

US Patriot Act Certification

Appendix A to Subpart I of part 103- Certification Regarding Correspondent Accounts For Foreign Banks (OMB Control Number 1505-0184)

The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United States Code, as added by sections 313 and 319(b) of the USA PATRIOT Act 2001 (Public Law 107-56).

This certification should be completed by any **foreign bank** that maintains a **correspondent account** with any U.S. bank or U.S. broker-dealer in securities (a covered financial institution as defined in C.F.R. 103.175(f)). An entity that is not a foreign bank is not required to complete this Certification.

A **foreign bank** is a bank organized under foreign law and located outside of the United States (see definition at 31 C.F.R. 103.11(o)). A **bank** includes offices, branches, and agencies of commercial banks or trust companies, private banks, national banks, thrift institutions, credit unions, and other organisations chartered under banking laws and supervised by banking supervisors of any state (see definition at 31 C.F.R. 103.11(c)).

A Correspondent Account for a foreign bank is any account to receive deposits from, make payments or other disbursements on behalf of a foreign bank, or handle other financial transactions related to the foreign bank.

Special instructions for foreign branches of U.S. banks: A branch or office of a U.S. bank outside the United States is a foreign bank. Such a branch or office is not required to complete this certification with respect to Correspondent Accounts with U.S. branches and offices of the same U.S. bank.

Special instructions for covering multiple branches on a single Certification: A foreign bank may complete one Certification for its branches and offices outside the United States. The Certification must list all of the branches and offices that are covered and must include the information required in Part C for each branch or office that maintains a Correspondent Account with a Covered Financial Institution. Use attachment sheets as necessary.

A. The undersigned financial institution, Sparkasse Dortmund, hereby certifies as follows:

B. Correspondent Accounts Covered by the Certification

This Certification applies to **all** accounts established for Sparkasse Dortmund by Covered Financial Institutions.

C. Physical Presence/Regulated Affiliate Status:

Sparkasse Dortmund maintains a **physical presence**. That means:

- Sparkasse Dortmund has a place of business at the following street address:
Freistuhl 2, 44137 Dortmund, where Sparkasse Dortmund employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- The above address is in Germany, where Sparkasse Dortmund is authorized to conduct banking activities.
- Sparkasse Dortmund is subject to inspection by BaFin (Bundesanstalt für Finanzdienstleistungsaufsicht, Graurheindorfer Str. 108, 53117 Bonn), the banking authority that licensed Sparkasse Dortmund to conduct banking activities.

D. Indirect Use of Correspondent Accounts:

No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. Sparkasse Dortmund hereby certifies that it does **not** use any Correspondent Account with a Covered Financial Institution to indirectly provide banking services to any foreign bank that does not maintain a physical presence in any country and that is not a regulated affiliate.

E. Ownership Information:

Sparkasse Dortmund has no **owner(s)** except as set forth below. For purposes of this Certification, **owner** means any person who, directly or indirectly, (a) owns, controls, or has power to vote 25 percent or more of any class of voting securities or other voting interests of Sparkasse Dortmund; or (b) controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of Sparkasse Dortmund. For purposes of this Certification, (i) **person** means any individual, bank, corporation, partnership, limited liability company or any other legal entity; (ii) **voting securities or other**



voting interests means securities or other interests that entitle the holder to vote for or select directors (or individuals exercising similar functions); and (iii) members of the same family* shall be considered one **person**.
*The same family means parent, spouses, children, siblings, uncles, aunts, grandparents, grandchildren, first cousins, stepchildren, stepsiblings, parents-in-law and spouses of any of the foregoing. In determining the ownership interest of the same family, any voting interest of any family member shall be taken into account.

<u>Name:</u> Sparkasse Dortmund	<u>Address:</u> Freistuhl 2, 44137 Dortmund -Germany-
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The Sparkasse Dortmund as the responsible body (Träger) for the Sparkasse Dortmund is owned by the city of Dortmund (100%).

F. Process Agent:

The following individuals or entities:

- Landesbank Hessen-Thüringen, New York Branch, is a resident of the United States at the following address: 24th Floor, 420 Fifth Avenue, New York, NY 10018-2729.

Landesbank Hessen Thüringen is authorized to accept service of legal process on behalf of Sparkasse Dortmund from the Secretary of the Treasury or the Attorney General of the United States pursuant to Section 5318(k) of title 31, United States Code.

G. General

Sparkasse Dortmund hereby agrees to notify in writing each Covered Financial Institution at which it maintains any Correspondent Account of any change in facts or circumstances reported in this Certification. Notification shall be given within 30 calendar days of such change.

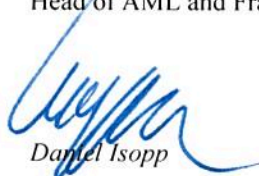
Sparkasse Dortmund understands that the statements contained in this Certification may be transmitted to one or more departments or agencies of the United States of America for the purpose of fulfilling such departments' and agencies' governmental functions.

We, Sparkasse Dortmund, certify that we have read and understood this Certification, that the statements made in this Certification are complete and correct, and that we are authorized to execute this Certification on behalf of Sparkasse Dortmund.

Sparkasse Dortmund
Freistuhl 2
44137 Dortmund
Germany

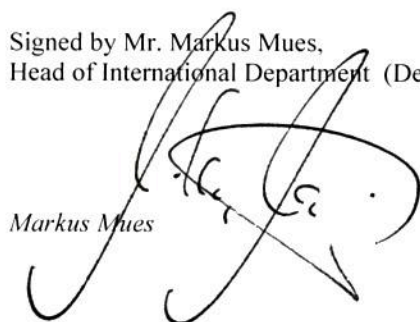
Dortmund, 19th April 2018

Signed by Mr. Daniel Isopp,
Head of AML and Fraud Prevention (Beaufragter) Sparkasse Dortmund



Daniel Isopp

Signed by Mr. Markus Mues,
Head of International Department (Dezernatsleiter Internationales Geschäft) Sparkasse Dortmund



Markus Mues