

FOREIGN FINANCIAL INSTITUTION DUE DILIGENCE WORKSHEET

COMPLETE THIS WORKSHEET FOR EACH CORRESPONDENT ACCOUNT TO BE ESTABLISHED BY A FOREIGN FINANCIAL INSTITUTION ("FFI").

Name of Foreign Financial Institution

Country of Domicile

Date

"Correspondent Account" is an account for which the FFI is not the beneficial owner, and established for the purpose of:

1. purchase, sell, lend, or hold securities (including repurchase programs)
2. prime brokerage accounts to clear and settle securities transactions
3. trade foreign currency
4. custody or hold securities or other assets as collateral
5. transact over-the-counter derivative contracts

INDICATE THE TYPE OR TYPES OF BUSINESS CONDUCTED BY THE FFI:

<input type="checkbox"/> A foreign bank organized/chartered in the country of: _____ and with a physical presence in: _____
<input type="checkbox"/> A branch office located outside the United States of a (check all that apply): _____ <input type="checkbox"/> Broker-Dealer <input type="checkbox"/> Introducing Broker <input type="checkbox"/> Futures Commission Merchant <input type="checkbox"/> Open-End Mutual Fund Company
<input type="checkbox"/> An entity organized under foreign law that, if it were located in the United States, would be a (check all that apply): <input type="checkbox"/> Broker-Dealer <input type="checkbox"/> Introducing Broker <input type="checkbox"/> Futures Commission Merchant <input type="checkbox"/> Open-End Mutual Fund Company
<input type="checkbox"/> An entity organized under foreign law that is engaged in the business of (check all that apply): <input type="checkbox"/> A currency dealer or exchanger <input type="checkbox"/> A money transmitter <input type="checkbox"/> Other: _____

(an entity is not "engaged in the business" of a currency dealer, a currency exchanger or a money transmitter, if such transactions are incidental to the entity's business)

<p>Will this FFI Establish Correspondent Accounts for Foreign Senior Political Officials? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p> <p>If yes, list Correspondent Accounts which will be established, maintained, administered or managed for any Foreign Senior Political Official who is:</p> <ol style="list-style-type: none"> a) a current or former senior official in the executive, legislative, administrative, military or judicial branches of a foreign government (whether elected or not) b) a senior official of a major foreign political party c) a senior executive of a foreign government-owned commercial enterprise d) a corporation or other entity formed by or for the benefit of any such individual e) an immediate family member of such an individual f) any individual widely and publicly known (or actually known by the firm) to be a close personal or professional associate of such an individual <p>_____ Name and Position of Foreign Official</p> <p>_____ Country / Jurisdiction of Authority</p> <p><i>Attach all documentation and information obtained regarding any Foreign Senior Political Official which is used to determine if the filing of Form 101 - SAR-SF is or is not applicable to this account.</i></p>
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<p>Will this FFI Establish Correspondent Accounts as Private Banking Accounts? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, list the Correspondent Accounts which will be established, maintained, administered or managed as Private Banking Accounts and which meet the following criteria:</p> <ol style="list-style-type: none"> a) any account (or any combination of accounts) that requires a minimum aggregate deposit of \$1,000,000 b) is established for one or more individuals c) is assigned to or administered or managed by an officer, employee or agent of a financial institution acting as a liaison to the direct or beneficial owner of the account <p>_____ Names of all Beneficial Owners</p> <p><i>Attach all documentation and information obtained regarding the beneficial ownership of a Private Banking Account which is used to determine if the filing of Form 101 - SAR-SF is or is not applicable to this account.</i></p>

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Is the FFI a foreign bank organized under foreign law and located outside the United States as defined in 31 C.F.R. 1010.100(u)? Yes No

If yes, please confirm that the FFI has completed the following forms:

- Foreign Financial Institution AML Risk Assessment; and
- Certification Regarding Foreign Accounts for Foreign Banks.

PLEASE SIGN BELOW:

Representative certifies that the above due diligence was performed and completed by him/her for the Account listed above.

Account is: Approved Rejected

Representative Signature

X

Print Representative Name

Date

Principal Signature

X

Print Principal Name

Date