

CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

[OMB CONTROL NUMBER 1506-0043]

*The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United State Code, as added by sections 313 and 319(b) of the USA PATRIOT Act of 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 broker-dealer in securities (a **covered financial institution** as defined in 31 CFR 1010.605(e)). 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 CFR 1010.100(u)). A **bank** includes offices, branches, and agencies of commercial banks or trust companies, private banks, national banks, thrift institutions, credit unions, and other organizations chartered under banking laws and supervised by banking supervisors of any state (see definition at 31 CFR 1010.100(d)).<sup>1</sup>

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 State 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, KASIKORNBANK PUBLIC COMPANY LIMITED (“**Foreign Bank**”) hereby certifies as follows:

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<sup>1</sup> A “foreign bank” does not include any foreign central bank or monetary authority that functions as a central bank, or any international financial institution or regional development bank formed by treaty or international agreement.

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**B. Correspondent Accounts Covered by this Certification:** Check one box.

- This Certification applies to **all** accounts established for Foreign Bank by Covered Financial Institutions.
- This Certification applies to Correspondent Accounts established by \_\_\_\_\_ (name of Covered Financial Institution(s)) for Foreign Bank.

**C. Physical Presence/Regulated Affiliate Status:** Check one box and complete the blanks.

- Foreign Banks maintains a **physical presence** in any country. That means:
- Foreign Bank has a place of business at the following street address: 400/22 PHAHON YOTHIN ROAD, SAM SEN NAI SUB-DISTRICT, PHAYA THAI DISTRICT, BANGKOK 10400, where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
  - The above address is in THAILAND (insert country), where Foreign Bank is authorized to conduct banking activities.
  - Foreign Bank is subject to inspection by BANK OF THAILAND, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.
- Foreign Bank does not have a physical presence in any country, but Foreign Bank is a **regulated affiliate**. That means:
- Foreign Bank is an affiliate of a depository institution, credit union, or a foreign bank that maintains a physical presence at the following street address: \_\_\_\_\_, where it employs one or more persons on a full-time basis and maintains operating records related to its banking activities.
  - The above address is in \_\_\_\_\_ (insert country), where the depository institution, credit union, or foreign bank is authorized to conduct banking activities.
  - Foreign Bank is subject to supervision by \_\_\_\_\_, (insert Banking Authority), the same banking authority that regulates the depository institution, credit union, or foreign bank.
- Foreign Bank does **not** have a physical presence in a country and is **not** a regulated affiliate.

**D. Indirect Use of Correspondent Accounts:** Check box to certify.

- No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. Foreign Bank

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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:** Check box 1 or 2 below, **if applicable.**

- 1. **Form FR Y-7 is on file.** Foreign Bank has filed with the Federal Reserve Board a current Form FR Y-7 and has disclosed its ownership information on Item 4 of Form FR Y-7.
- 2. **Foreign Bank's shares are publicly traded.** Publicly traded means that the shares are traded on an exchange or an organized over-the-counter market that is regulated by a foreign securities authority as defined in section 3(a)(50) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)(50)).

If **neither** box 1 or 2 of Part E is checked, complete Item 3 below, **if applicable.**

- 3. Foreign Bank 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 Foreign Bank; or (b) controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of Foreign Bank. 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<sup>2</sup> shall be considered one **person**.

Name	Address

<sup>2</sup> The same family means parents, 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 interests of the same family, any voting interest of any family member shall be taken into account.

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**F. Process Agent:** complete the following.

The following individual or entity: GPAG, LLC ATTN: JOHN SANTOPIETRO  
is a resident of the United States at the following street address:  
90 VILLAGE GREEN, BARDONIA, NEW YORK, 10954, and  
is authorized to accept service of legal process on behalf of Foreign Bank 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**

Foreign Bank 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.

Foreign Bank understands that each Covered Financial Institution at which it  
maintains a Correspondent Account may provide a copy of this Certification to the  
Secretary of the Treasury and the Attorney General of the United States. Foreign  
Bank further 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.

I, MR. WORAWUT WESARATCHAKIT (name of signatory), certify that I have read  
and understand this Certification, that the statements made in this Certification are  
complete and correct, and that I am authorized to execute this Certification on behalf  
of Foreign Bank.

KASIKORNBANK PUBLIC COMPANY LIMITED  
[Name of Foreign Bank]

[Signature]

MR. WORAWUT WESARATCHAKIT  
[Printed Name]

FIRST SENIOR VICE PRESIDENT  
[Title]

Executed on this 12 day of SEPTEMBER, 2023.

*and W*

**Received and reviewed by:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

For: \_\_\_\_\_  
[Name of Covered Financial Institution]

Date: \_\_\_\_\_

[67 FR 60573, Sept. 26, 2002]

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Principle Branches and Subsidiaries covered by this Certification.

Name of Branch	Hong Kong Branch
Address (Not a Postal Box)	Suite 3316, 33rd Floor, China Merchants Tower, Shun Tak Centre, No. 168-200, Connaught Road Central, Hong Kong Tel. (852) 2526 6811-5 Fax. (852) 2868 4342
Country	Hong Kong
Banking Authority with Jurisdiction	Hong Kong Monetary Authority
Check one box only (see instructions above)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Phnom Penh Branch
Address (Not a Postal Box)	No. 45, Preah Sihanouk Boulevard, Corner of Street 59, Chaktomuk Sub-District, Daun Penh District, Phnom Penh, Kingdom of Cambodia Tel. (855) (23) 214 998 (855) (23) 214 999 Fax. (855) (23) 214 275
Country	Kingdom of Cambodia
Banking Authority with Jurisdiction	National Bank of Cambodia
Check one box only (see instructions above)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Ho Chi Minh City Branch
Address (Not a Postal Box)	Sun Wah Tower, 115 Nguyen Hue Boulevard, Ben Nghe Ward, District 1, Ho Chi Minh City, The Socialist Republic of Vietnam Tel. (+84) 28 3915 3888 Fax. N/A
Country	Vietnam
Banking Authority with Jurisdiction	The State Bank of Vietnam
Check one box only (see instructions above)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Branch	Cayman Islands Branch
Address (Not a Postal Box)	5th Floor, Harbour Place, 103 South Church Street, P.O. Box 1353, George Town, Grand Cayman KY1- 1108, Cayman Islands Tel. (1) (345) 946 4733 Fax. (1) (345) 945 4757
Country	Cayman Islands
Banking Authority with Jurisdiction	The Cayman Islands Monetary Authority
Check one box only (see instructions above)	
<input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

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Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (HEAD OFFICE)
Address (Not a Postal Box)	Unit 1, 59/F, Tower A, Kingkey 100 Building, 5016, Shennan East Road, Guiyuan Sub-District, Luohu District, Shenzhen 518001, People's Republic of China Tel. (86) (755) 8229 1298 Fax. (86) (755) 8828 6897
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (Shenzhen Branch)
Address (Not a Postal Box)	Unit 2, 59/F, Tower A, Kingkey 100 Building, 5016, Shennan East Road, Guiyuan Sub-District, Luohu District, Shenzhen 518001, People's Republic of China Tel. (86) (755) 8229 1298 Fax. (86) (755) 8828 6897
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (Chengdu Branch)
Address (Not a Postal Box)	Unit 1801-1803, 18 fl. Baiyang Building, No. 18 Dongyu Street, Chengdu 610016, People's Republic of China Tel. (86) (28) 6520 9698 Fax. (86) (28) 8592 2639
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (Shanghai Branch)
Address (Not a Postal Box)	Unit 1402, 14th Fl., Jin Mao Tower, No. 88, Century Avenue, Pudong New Area, Shanghai 200120, People's Republic of China Tel. (86) (21) 8011 1515 Fax. (86) (21) 5098 8862
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

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Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (Beijing Branch)
Address (Not a Postal Box)	1601 (Unit 1-3), 16th Floor, East Tower, World Financial Center, No. 1, East Third Ring Middle Road, Chaoyang District, Beijing 100020, People's Republic of China Tel. (86) (10) 57911890 Fax. (86) (10) 65008400
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNBANK (CHINA) COMPANY LIMITED (Shenzhen, Longgang Sub-Branch)
Address (Not a Postal Box)	Unit 03, 05, and 06, Mezzanine, Genzon Times Squares, Longcheng Road No.99, Longgang CBD Area, Longgang District, Shenzhen 518172, China Tel. (86) (755) 3299 5070
Country	People's Republic of China
Banking Authority with Jurisdiction	The People's Bank of China China Banking Regulatory Commission
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNTHAI BANK SOLE LIMITED (HEAD OFFICE)
Address (Not a Postal Box)	Unit 12, Lane Xang Avenue, Xiangngeun Village, Chanthaboury District, Vientiane Capital, Lao People's Democratic Republic Tel. (856) (21) 410 888 (856) 20 59888905 Fax. (856) (21) 410 889
Country	Lao PDR
Banking Authority with Jurisdiction	Bank of the Lao PDR
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

Name of Subsidiary	KASIKORNTHAI BANK SOLE LIMITED (Ponesinuan Branch)
Address (Not a Postal Box)	Ban Ponesinuan, unit 14, Sysattanak, Vientiane Capital, Lao People's Democratic Republic Tel. (856) 21 410 888 (856) 20 59888826 Fax. (856) 21 410 889
Country	Lao PDR
Banking Authority with Jurisdiction	Bank of the Lao PDR
Check one box only (see instructions above) <input checked="" type="checkbox"/> Physical Presence <input type="checkbox"/> Regulated Affiliate <input type="checkbox"/> Neither	

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