



## CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

**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 C.F.R. 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 C.F.R.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 C.F.R. 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 **Banque Internationale à Luxembourg SA** and its entities<sup>2</sup> ("**Foreign Bank**") 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.

<sup>2</sup> See attachment.



**B. Correspondent Accounts Covered by this Certification:**

This Certification applies to all accounts established for Foreign Bank by Covered Financial Institutions.

**C. Physical Presence/Regulated Affiliate Status:**

Foreign Bank maintains a **physical presence** in any country. That means that Banque Internationale à Luxembourg and each of its entities listed in the attachment:

- Has a place of business at the street address set forth in the attachment hereto, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities;
- Is authorized to conduct banking activities in the country where its place of business is located; and
- Is subject to inspection by the banking authority identified in the attachment hereto that licensed the particular entity 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. Foreign Bank 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.**

- 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.
- 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.**

- 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>3</sup> shall be considered one **person**.

Beyond Leap Limited	Suite 06, 70/F Two International Finance Centre No.8 Finance Street, Central, Hong Kong
Right Lane Limited	Suite 06, 70/F Two International Finance Centre No.8 Finance Street, Central, Hong Kong
Legend Holdings Corporation	1701, B-17, Raycom Info Tech Park, No.2 Ke Xue Yuan South Road, Haidian District, Beijing 100190, P.R.China
Chinese Academy of Sciences Holdings Co., Ltd.	1412, 14/F, Building No.1, Community No. 2, Kexueyuan South Road, Haidian District, Beijing, China (100190)
Chinese Academy of Sciences	52 Sanlihe Rd., Xicheng District, Beijing, China (100864)

**F. Process Agent:**

The following individual or entity CT Corporation System is a resident of the United States at the following street address 28 Liberty St, New York, NY, 10005 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


<sup>3</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.




agencies of the United States of America for the purpose of fulfilling such departments' and agencies' governmental functions.

We, Marie Bourlond and Laurent Frosio, certify that we have read and understand 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 Foreign Bank.

Banque Internationale à Luxembourg  
société anonyme



Marie Bourlond  
Chief Compliance Officer



Laurent Frosio  
Head of Financial Crime Prevention

Executed on this October 13, 2023



**USA PATRIOT ACT CERTIFICATION  
REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS  
AS OF October 13, 2023**

REGULATED AFFILIATES WITH A PHYSICAL PRESENCE

Country	City	Company Name	Address	Supervisory authority
Luxembourg	Luxembourg	Banque Internationale à Luxembourg SA,	69 route d'Esch L-2953 Luxembourg	European Central Bank (ECB) & Commission de Surveillance du Secteur Financier (CSSF)
Switzerland	Zurich	Banque Internationale à Luxembourg (Suisse) SA	Beethovenstrasse 48, CH - 8002 Zurich	Swiss Financial Market Supervisory Authority (FINMA)
Hong Kong	Hong Kong	BIL Wealth Management Limited	Suite 3414-3417, 34/F., Jardine House 1 Connaught Place, Central Hong Kong	Securities and Futures Commission of Hong Kong

Banque Internationale à Luxembourg  
société anonyme fondée en 1856  
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Banque Internationale à Luxembourg société anonyme - USA PATRIOT Act Global Certification October 13, 2023