

**USA PATRIOT Act of 2001 (Public Law 107-56)**  
**CSC Process Agent Instruction Form**

Upon receipt of the following three (3) requirements, Corporation Service Company (CSC) is able to accept appointment by a foreign bank as process agent to receive service of legal process in the U.S. from the Secretary of the Treasury and the Attorney General.

1 – CSC shall forward legal process received on behalf of the foreign bank to the following address:

Bank Name: UniCredit Bank Austria AG  
Contact Name: Mrs. Gabriele Payr  
Street Address: Rothschildplatz 1  
City, State, Postal Code: 1020 Vienna  
Country: Austria

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Fax Number: \_\_\_\_\_

E-mail address: gabriele.payr@unicreditgroup.at;8069\_PNM@unicreditgroup.at

Please make sure to list a street address and not a post office box number since Federal Express or similar courier service may require a street address for delivery.

2 – CSC needs to receive by email to [patriot@cscglobal.com](mailto:patriot@cscglobal.com), or by fax to + 302-636-5454, a copy of completed Certification Regarding Correspondent Accounts for Foreign Banks for each U.S. covered financial institution (U.S. bank or U.S. broker-dealer in securities), where CSC is named as the agent to receive service of legal process for the foreign bank. If your Certification applies to all accounts, please list the names of each of the covered financial institutions on an attachment to this form.

3 – CSC needs to receive payment of annual fee by wire transfer or check. Please make sure you reference CSC's invoice number if remitting funds by wire transfer to insure proper credit.

Orders for process agent representation service or questions may be directed to any Customer Service Representative via

Email: [Patriot@cscglobal.com](mailto:Patriot@cscglobal.com)

Fax: + 302-636-5454

Tel: + 302-636-5400 (8:00 a.m. to 8:00 p.m. U.S. Eastern Time)

If you contact CSC via fax, please include your email address and international telephone number including country code so CSC may contact you if needed.

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, UniCredit Bank Austria AG (“**Foreign Bank**”) hereby certifies as follows:

<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.

**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 the institutions listed in the Annex \_\_\_\_\_ (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: Rothschildplatz 1, 1020 Vienna, Austria, 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 Austria (insert country), where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by Finanzmarktaufsicht (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

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
UniCredit S.p.A.	Piazza Gae Aulenti 3, TowerA, 20154 Milano

<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.



ANNEX to the US Patriot Act Certification of UniCredit Bank Austria AG ("Bank Austria")

BIC	Name
SCBLUS33XXX	Standard Chartered Bank, New York
UNCRUS33XXX	UniCredit S.p.A., New York
WFBIUS6WXXX	Wells Fargo Bank N.A., San Francisco
BKTRUS33XXX	Deutsche Bank Trust Co. Americas, N.Y., New York
CITIUS33XXX	Citibank N.A., Sioux Falls
BOFAUS3DXXX	Bank of America N.A., Charlotte
IRVTUS3NXXX	Bank of New York Mellon, New York
CNORUS33XXX	Northern Trust International, Jersey City
CHASUS33XXX	JPMorgan Chase Bank N.A., Columbus

<https://www.bankaustria.at/firmenkunden-financial-institutions-group.jsp>