

Barclays USA PATRIOT ACT Certificate

Pursuant to the USA Patriot Act and final rules issued by the U.S. Department of the Treasury, a U.S. bank or a U.S. broker-dealer in securities (a "Covered Financial Institution") is required to obtain certain information from any "Foreign Bank" that maintains a correspondent account with it.

As permitted by the final rules, the Barclays Group has prepared a Global Certificate for use by any financial institution that believes it requires a USA PATRIOT ACT Certificate from a Barclays entity, for example, an overseas branch of Barclays bank PLC.

Please use this certificate in preference to requesting individual Barclays businesses to complete a separate certificate. If the particular Barclays business that maintains a correspondent account with your institution is not listed in our certificate, or if you have any questions with regard to this Certificate, please advise us by e-mailing Barclays.

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)).¹

¹ 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.

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, Barclays Bank PLC and its foreign branches and entities listed in the attachment (collectively, the “**Foreign Bank**”) hereby certifies as follows:

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:
- Each of the Foreign Banks has a place of business at the following street address set out 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.
 - The address is in the country where the particular Foreign Bank is authorised to conduct banking activities.
 - The particular Foreign Bank is subject to inspection by the banking authority that licenses the particular Foreign bank to conduct banking activities as set out in the attachment hereto.
- 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. Each of the Foreign Banks

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. Each of the Foreign Banks 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 family² shall be considered one **person**.

In the case of Barclays Bank PLC and all branches thereof, Barclays PLC (Whose registered address is 1 Churchill place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of the entities listed in the section headed "wholly owned subsidiaries" in the attachment hereto, Barclays Bank PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the sole shareholder.

In the case of the entities listed in the section headed "Majority owned subsidiaries" in the attachment hereto, Barclays Bank PLC (whose address is 1 Churchill Place, London, E14 5HP, United Kingdom) is the majority shareholder with a shareholding of the percentage shown alongside the particular entity. Other owners of the relevant foreign bank for the purposes of this certification are listed alongside the relevant Foreign Bank in the attachment hereto, with a shareholding of the percentage shown alongside the entity.

F. Process Agent: complete the following.

The following individual or entity: Barclays Bank PLC, New York Branch is a resident of the United States at the following street address:

745 7th Avenue, New York, NY 10019 USA, 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

Each of the Foreign Banks 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.

Each of the Foreign Banks 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. Each of the Foreign Banks 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, Geraldine Lawlor, 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.

BARCLAYS PLC

[Name of Foreign Bank]

Geraldine Lawlor

[Signature]

GERALDINE LAWLOR

[Printed Name]

GLOBAL HEAD OF Financial Crime

[Title]

Executed on this 14th day of November 2016

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

Company Name	Type	Country	Address	Key Regulator(s)
Barclays Bank PLC	Company	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom (Registered Address)	Financial Conduct Authority (UK) Prudential Regulation Authority (UK)

Branches of Barclays Bank PLC with a Physical Presence

Company Name	Type	Country	Address	Key Regulator(s)
Barclays Bank PLC	Branch	AUSTRALIA	Floor 42, 225 George Street, Sydney, NSW 2000, Australia	Australian Prudential Regulatory Authority Australian Securities and Investment Commission
Barclays Bank PLC	Branch	CANADA	Bay Adelaide Centre, 333 Bay Street, Suite 4910, Box 9, Toronto, Ontario M5H 2R2, Canada	The Office of the Superintendent of Financial Institutions Canada (OSFI) Investment Industry Regulatory Organisation of Canada (IIROC) Ontario Securities Commission (OSC) Quebec Securities Commission (QSC) Alberta Securities Commission (ASC) British Columbia Securities Commission (BCSC)
Barclays Bank PLC	Branch	CAYMAN ISLANDS	CIBC Financial Centre, 11 Dr. Roy's Drive, P.O. Box 694, Grand Cayman JY1 – 1107, Cayman Islands (registered address)	Cayman Islands Monetary Authority (CIMA)
Barclays Bank PLC	Branch	CHINA, HONG KONG	41/F, Cheung Kong Center, 2 Queen's Road Central, Hong Kong, P.R.C.	Hong Kong Monetary Authority (HKMA) Securities & Futures Commission (SFC)
Barclays Bank PLC	Branch	CHINA, SHANGHAI	Suite 3101, 3102B, Azia Centre, 1233 Lujiazui Ring Road, Pudong, Shanghai, 200120, P.R.C	China Banking Regulatory Commission People's Bank of China (PBOC) State Administration of Foreign Exchange China Securities Regulatory Commission
Barclays Bank PLC	Branch	CYPRUS	Globe House, 23 Kennedy Avenue, 1075 Nicosia, Cyprus	Central Bank of Cyprus Cyprus Securities and Exchange Commission
Barclays Bank PLC	Branch	United Arab Emirates – Dubai International Financial Centre	Level 6, Building No.10, Gate Village, DIFC, Dubai	Dubai Financial Services Authority
Barclays Bank PLC	Branch	FRANCE	32 Avenue George V, 75008 Paris, France	(UK)Banque de France Autorité des Marchés Financiers (AMF) Autorité de Contrôle Prudentielle (ACP)
Barclays Bank PLC	Branch	GERMANY	Bockenheimer Landstrasse 38-40, 60323 Frankfurt, Germany	Bundesanstalt Für Finanzdienstleistungsaufsicht (Bafin) Deutsche Bundesbank
Barclays Bank PLC	Branch	GIBRALTAR	Regal House, 3 Queensway, Gibraltar PO Box 196, 84/90 Main Street, Gibraltar	Gibraltar Financial Services Commission (FSC)
Barclays Bank PLC	Branch	GUERNSEY	PO Box 41, Le Marchant House, Le Truchot, St Peter Port, Guernsey, GY1 3BE	Guernsey Financial Services Commission(GFSC)
Barclays Bank PLC	Branch	INDIA	801-808, Ceejay House, Shivsagar Estate, Dr Annie Besant Road, Worli, Mumbai 400018, India	Reserve Bank of India (RBI) Securities & Exchange Board of India (SEBI) Insurance Regulatory & Development Authority of India (IRDI)

Branches of Barclays Bank PLC with a Physical Presence

Barclays Bank PLC	Branch	ISLE OF MAN	Barclays House, Victoria Street, Douglas, IM1 2LE, Isle of Man	Isle of Man Financial Supervision Commission
Barclays Bank PLC	Branch	ITALY	Via della Moscova 18, 20121 Milan, Italy	The Commissione Nazionale per le Società e la Borsa (CONSOB) Bank Of Italy
Barclays Bank PLC	Branch	JAPAN	31F Roppongo Hills, Mori Tower, 6-10-1, Minato-ku, Tokyo 106-6131, JAPAN	Bank of Japan Japan Financial Services Agency (JFSA)
Barclays Bank PLC	Branch	JERSEY	PO Box 82, 39/41 Borad Street, St Helier, Jersey JE4 8PU	Jersey Financial Services Commission
Barclays Bank PLC	Branch	KOREA (SOUTH)	23rd Floor, Ferrum Tower Building, 66 Suha-Dong, Jung-gu, Seoul 100-210, Korea	Financial Supervisory Service (FSS_ Financial Services Commission
Barclays Bank PLC	Branch	LABUAN (Malaysia)	Level 5(A), Main Office Tower, Financial Park Labuan, Jalan Merdeka 87000 Federal Territory Of Labuan, Malaysia	Labuan Offshore Financial Services Authority (LOFSA) Securities Commission Malaysia
Barclays Bank PLC	Branch	MONACO	31, Avenue De La Costa, Monte Carlo, Monaco	Autorité de contrôle prudentiel et de résolution (ACPR) Commission de contrôle des activités financières (CCAF)
Barclays Bank PLC	Branch	PORTUGAL	Av. Colégio Militar, Torre Oriente nº 37 F, 13rd Floor, 1500-180 Lisboa, Portugal	(UK)The Portuguese Securities Market Commission (CMVM) The Bank of Portugal (BdP – Banco de Portugal) The Portuguese Insurance Institute (ISP – Instituto de Seguros de Portugal)
Barclays Bank PLC	Branch	SINGAPORE	10 Marina Boulevard, #23-01 Marina Bay Financial Centre Tower 2, Singapore, 01983	Monetary Authority of Singapore
Barclays Bank PLC	Branch	SPAIN	Plaza De Colon, 1, 28046 Madrid, Spain	Bank of Spain (Spain) National Commission for the Securities Market (CNMV) –(Spain) Dirección General Seguros y Fondos de Pensiones (DGSFP)- (Spain) Servicio Ejecutivo Comisión de Prevención de Blanqueo de Capitales e Infracciones Monetarias (SEPBLAC) – (Spain)

Branches of Barclays Bank PLC with a Physical Presence

Barclays Bank PLC	Branch	QATAR	QFC Tower, Level 10, Office 1002, West Bay, PO Box 15891, Doha, Qatar	Qatar Financial Centre Regulatory Authority
Barclays Bank PLC	Branch	SWITZERLAND	Beethovenstrasse 19, 8027 Zurich, Switzerland	Swiss Financial Market Supervisory Authority (FINMA)
Barclays Bank PLC	Branch	TAIWAN	5F Cathay Xin-Yi Trading Building, #108, Xin-Yi Road Sec. 5, Taipei City, Taiwan 110	Taiwan Financial Supervisory Commission
Barclays Bank PLC	Branch	UNITED ARAB EMIRATES	Level 1, Building No.6, Emaar Square, Sheikh Zayed Road, PO Box 1891, U.A.E	UAE Central Bank Dubai Financial Services Authority

Wholly-owned (100%) Subsidiaries

Company Name	Country	Address	Key Regulator(s)
Barclays Bank Ireland PLC	IRELAND	2 Park Place, Hatch Street, Dublin 2, Ireland.	Central Bank of Ireland
Barclays Capital Securities Limited	UNITED KINGDOM	5 The North Colonnade, Canary Wharf, London, E14 4BB, United Kingdom (Trading Address) 1 Churchill Place, London. E14 5HP, United Kingdom (Registered Office Address)	Financial Conduct Authority (UK) Prudential Regulation Authority (UK)
	AUSTRALIA	GPO Box 1592, Sydney NSW 2001, Australia (Foreign Entity Address)	Australian Prudential Regulatory Authority Australian Securities and Investment Commission Securities Commission (SC)
Barclays Capital Asia Limited	CHINA, HONG KONG	41/F, Cheung Kong Center, 2 Queen's Road Central, Central, Hong Kong SAR, PRC	Securities and Futures Commission (SFC)
Barclays Private Clients International Limited	GUERNSEY	PO Box 41, Le Marchant House, Le Truchot, St Peter Port, Guernsey, GY1 3BE (Branch Address)	Guernsey Financial Services Commission
	ISLE OF MAN	PO Box 9, Douglas, Isle of Man, UK, IM99 1AJ (Registered Office Address)	Isle of Man Financial Supervision Commission
	JERSEY	PO Box 8, 13 Library Place, St Helier, Jersey JE4 8NE (Branch Address)	Jersey Financial Services Commission
Barclays Trust Company (Jersey) Limited Barclays Wealth Management Jersey Limited	JERSEY	39/41 Broad Street, St Helier, Jersey, JE4 8PU, Channel Islands	Jersey Financial Services Commission
BIFML PTC Limited	JERSEY	39/41 Broad Street, St Helier, Jersey, JE4 8PU, Channel Islands	Jersey Financial Services Commission
Barclays Securities (India) Private Limited	INDIA	208 Ceejay House, Shivsagar Estate, Dr A Beasant Road, Worli, Mumbai, 400 018, India	Securities and Exchange Board of India (SEBI)
Barclays Capital Securities Indonesia PT	INDONESIA	Wisma GKBI 39th Floor, Suite 3906, Jl. Jend. Sudirman No.28, Jakarta, 10210, Indonesia	Otoritas Jasa Keuangan (Financial Services Authority) Bapepam (Capital Market Supervisory Agency and Financial Institutions)
Barclays Capital Markets Malaysia Sdn Bhd	MALAYSIA	Level 45, Menara Maxis, Kuala Lumpur City Centre, 50088 Kuala Lumpur, Wilayah Persekutuan, Malaysia	Securities Commission Malaysia
Barclays Bank (Suisse) S.A.	SWITZERLAND	18-20 Chemin de Grange-Canal, P.O. Box 3941, 1211 Geneva, Switzerland	Swiss Financial Market Supervisory Authority (FINMA)

Wholly-owned (100%) Subsidiaries

Barclays Merchant Bank (Singapore) Ltd	SINGAPORE	10 Marina Boulevard, #23-01 Marina Bay Financial Centre, Singapore, 018983, Singapore	Monetary Authority of Singapore (MAS)
Barclays Capital Futures (Singapore) Private Limited	SINGAPORE	10 Marina Boulevard, #23-01 Marina Bay Financial Centre, Singapore, 018983, Singapore	Monetary Authority of Singapore (MAS)
Barclays Capital Securities Taiwan Limited	TAIWAN	11/F, 106 Xin-Yi Road, Sec. 5, Taipei 110, Taiwan, ROC, Taiwan, Province of China	Securities and Futures Bureau (SFB) of Financial Supervisory Commission (FSC)
Barclays Capital Securities (Thailand) Ltd	THAILAND	21st Floor, CRC Tower, All Seasons Place, 87/2 Wireless Road, Kwaeng Lumpini, Khet Phatumwan Bangkok 10330	Securities and Exchange Commission (SEC) Thailand
Barclays Bank Egypt SAE	EGYPT	Barclays Star Capital A1 building-City Stars, Omar Ibn El Khattab St. Nasr City, Cairo, Egypt	Central Bank of Egypt
Barclays Bank Mexico SA	MEXICO	Paseo de la Reforma 505 Piso 41, Torre Mayor Col. Cuauhtemoc C.P. 06500 Mexico City, Mexico	Mercado Mexicano de Derivados (Mexican Derivatives Exchange) Secretaría de Hacienda y Crédito Público de México (Ministry of Finance and Public Credit)
Barclays Capital Casa de Bolsa S.A.	MEXICO	Paseo de la Reforma 505 Piso 41, Torre Mayor Col. Cuauhtemoc C.P. 06500 Mexico City, Mexico	Bolsa Mexicana de Valores (Mexican Stock Exchange) Comision Nacional Bancaria y de Valores (National Banking and Securities Commission) Comision Nacional Bancaria y de Valores (National Banking and Securities Commission) Comisión Nacional Bancaria y de Valores (CNBV) Insrgentes Sur No. 1971 Col Guadalupe Inn C.P. 01020 Mexico City
Grupo Financiero Barclays México, S.A. de C.V.	MEXICO	Paseo de la Reforma 505 Piso 41, Torre Mayor Col. Cuauhtemoc C.P. 06500 Mexico City, Mexico	Banco de Mexico (Mexican central bank) Comision Nacional Bancaria y de Valores (National Banking and Securities Commission) Comision Nacional para la Protección y Defensa de los Usuarios de Servicios Financieros (National Financial Services Users Protection and Defense Commission) Secretaría de Hacienda y Crédito Público de México (Ministry of Finance and Public Credit)
Barclays Securities Japan Limited	JAPAN	10-1, Roppongi 6-chome, Minato-ku, Tokyo, JAPAN	Bank of Japan Japan Financial Services Agency (JFSA)
Barclays Funds and Advisory Japan Limited	JAPAN	31F Roppongo Hills, Mori Tower, 6-10-1, Minato-ku, Tokyo 106-6131, JAPAN	Japan Financial Services Agency (JFSA)

Wholly-owned (100%) Subsidiaries

Barclays Asset Management Limited Barclays Sharedealing	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK)
Barclays Stockbrokers Limited	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK)
Barclays Bank Trust Company Limited	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK) Prudential Regulation Authority (UK)
Gerrard Financial Planning Limited	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK)
Gerrard Investment Management Limited	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK)
Barclays Insurance Services Company Limited	UNITED KINGDOM	1 Churchill Place, London, E14 5HP, United Kingdom	Financial Conduct Authority (UK)
Barclays Assurance (Dublin) Limited	IRELAND	2 Park Place, Hatch Street, Dublin 2, Ireland (Registered Office Address) 47 St. Stephen's Green, Dublin 2, Co Dublin	The Financial Regulator (Ireland)
Barclays Insurance (Dublin) Limited	IRELAND	2 Park Place, Hatch Street, Dublin 2, Ireland	The Financial Regulator (Ireland)

Majority-owned (50 %+) Subsidiaries

Company Name	Country	Address	Barclays Bank PLC Shareholding %	Other Owner(s)	Other Owner(s) shareholding (%)	Key Regulator(s)
Barclays Africa Group Limited	SOUTH AFRICA	7 th Floor, Barclays Towers West, 15 Troye Street, Johannesburg 2001, South Africa	50.1	Multiple, with no single shareholder holding > 10%.	49.9	South African Reserve Bank
Barclays Bank of Zimbabwe Limited	ZIMBABWE	2nd Floor Barclay House, Cnr First Street/Jason Moyo Avenue, PO Box 1279, Harare, Zimbabwe	67.68	Multiple, with no single shareholder holding > 10%.	32.32%	Reserve Bank of Zimbabwe
Banco Barclays SA	BRAZIL	Avenida Brig. Faria Lima, 4440, 120 andar, Bairro Itaim Bibi, 04538-132 São Paulo - SP - Brazil	99.996	Barclays Corporation Limited	0.004	Central Bank of Brazil