

CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

[OMB CONTROL NUMBER 1506-0043]

*The information contained in this Certification is sought pursuant to Sections 5318(f) 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>

<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.

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, Société Générale ("**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:

- Foreign Bank has a place of business at the following street address: Tours Société Générale, 17 cours Valmy 92800 Paris-La Défense , 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 France, where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by Autorité de Contrôle Prudentiel et de Résolution,, 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**.

<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.

Name

Address

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

The following individual or entity: Société Générale is a resident of the United States at the following street address: Société Générale New York Branch, 245 Park Avenue 11 floor – Legal Department New York 10167, **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, Alain BOZZI, 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.

Société Générale  
Alain BOZZI



Head of Compliance

Executed on this 7<sup>th</sup> day of january, 2015.

Received and reviewed by :

Name: Alain Bozzi  
Title: Head of Compliance  
For: Société Générale

Date: 7<sup>th</sup> of january 2016

**SOCIETE GENERALE**  
Tours Société Générale  
SEGL/CFT  
189 rue d'Aubervilliers  
75886 Paris cedex 18

I, Alain BOZZI, certify that I have read and understand this Recertification, that the statements made in this Recertification are complete and correct, and that I am authorized to execute this Recertification on behalf of Société Générale

Société Générale

[Signature]

Head of Compliance 

Executed on this 7<sup>th</sup> day of january, 2016.

**Received and reviewed by:**

Name: Alain Bozzi

Title: Head of Compliance

For: Société Générale

Date: 7<sup>th</sup> of january 2016

**SOCIETE GENERALE**  
Tours Société Générale  
SEGL/CFT  
189 rue d'Aubervilliers  
75886 Paris cedex 18

[67 FR 60573, Sept. 26, 2002]

RECERTIFICATION 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).*

The undersigned financial institution, Société Générale ("Foreign Bank"), hereby certifies as follows:

1. Foreign Bank has executed a Certification dated 7 November, 2002 (the "Certification") relating to one or more Correspondent Accounts maintained by one or more Covered Financial Institutions for Foreign Bank. Terms defined in the Certification have the same meaning in this Recertification.

2. The information contained in the Certification:

remains true and correct.

is revised by the information provided within this Recertification (attach a statement describing the information that is no longer correct and stating the correct information).

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

Country	Branch	Branch Address	Local Regulator
AUSTRIA	SG VIENNA	Prinz Eugen-Strasse 32 A -1040 VIENNA AUSTRIA	Financial Market Authority (Österreichische Finanzmarktaufsicht - FMA)
BELGIUM	SG BRUXELLES	Atrium Building, Rue des Colonies 11, 4th Floor, 1000 BRUXELLES BELGIUM	Financial Services and Market Authority (FSMA) National Bank of Belgium (BNB)
CANADA	SG CANADA BRANCH	1501 McGill College Suite 1800 H3A 3M8 - Montréal QUEBEC CANADA	Financial Transactions and Reports Analysis Centre of Canada (FINTRAC)
GERMANY	SG FRANKFURT	Neue Mainzer Strasse 46-50, 60311 FRANKFURT AM MAIN GERMANY	Federal Financial Supervisory Authority (Bundesanstalt für Finanzdienstleistungsaufsicht - BaFin)
HONG KONG	SG HONG KONG	Level 38, Three Pacific Place, 1 Queen's Road East, HONG KONG	Hong Kong Monetary Authority
INDIA	SG MUMBAI	Maker Chambers IV, (7th & 13th Floor) Jammalal Bajaj Marg, Nariman Point, MUMBAI 400 021 INDIA	Reserve Bank of India
IRELAND	SG DUBLIN	6, Exchange Place, IFSC House, 3 <sup>rd</sup> floor, IFSC DUBLIN 1, IRELAND	Central Bank of Ireland
ITALY	SG MILANO	Via Olona,2 20123 MILANO ITALY	Bank of Italy
JAPAN	SG TOKYO	Ark Mori Bldg., 12-32 Akasaka 1 Chome Minato-ku TOKYO 107-6015 JAPAN	Ministry of Finance (MOF) -Financial Services Agency (FSA)
MONACO	SG SUCCURSALE MONACO	16 Avenue de la Costa Palais de la Scala -BP 249 MC 98007 MONACO CEDEX	Autorité de Contrôle Prudentiel et de Résolution (ACPR - France)
NETHERLAND	SG AMSTERDAM	Amstelplein 1 « Rembrandt Tower » 1096 HA AMSTERDAM NETHERLAND	Netherlands Authority for the Financial Markets (AFM) Dutch Central Bank (DNB)
POLAND	SG S.A ODZIAL W POLSCE	Societe Generale S.A. Oddzial w Polsce Ul.Marszałkowska 111 SASKI POINT 00-102 WARSZAWA POLAND	Financial Supervision Authority (Komisja Nadzoru Finansowego)
SINGAPORE	SG SINGAPORE	8 Marina Boulevard #07-01 Marina Bay Financial Centre Tower 1 SINGAPORE 018981	Monetary Authority of Singapore
SOUTH AFRICA	SG JOHANNESBURG	2ND FLOOR 160 Jan Smuts Avenue Rosebank 2096 - PO Box 6872 JOHANNESBURG 2000 SOUTH AFRICA	South African Reserve Bank (SARB)
SOUTH KOREA	SG SEOUL	10/F Seah Building 116,Shinmunro, 1-Ka, Chongro-Ku, SEOUL 110-700 SOUTH KOREA	Financial Supervisory Service
SPAIN	SG SUCCURSAL EN ESPAÑA	Torre Picasso Plaza Picasso Pablo Ruiz Picasso 28020 MADRID SPAIN	Banco de España
SWITZERLAND	SG ZURICH	Talacker 50, Case Postale 1928, CH-8021, ZURICH SWITZERLAND	Swiss Financial Market Supervisory Authority FINMA
TAIWAN	SG TAIPEI	7th Floor No.109, Min Sheng East Road Section 3,Taipei 105, TAIWAN	Financial Advisory Commission and Central Bank of China, R.O.C.
TURKEY	SG ISTANBUL	Nispetiye Cad.Akmerkez E-3 Blok Kat 10 80600 ISTANBUL TURKEY	Banking Regulation and Supervision Agency -BRSA Central Bank of Turkey Capital Market Board
UNITED ARAB EMIRATES	SG DUBAI	Societe Generale DIFC Branch (Middle East) Dubai International Financial Center (DIFC), The Gate Village, Building 6, Dubai, UAE	Dubai Financial Services Authority (DFSA) The Central Bank of United Arab Emirates
UNITED KINGDOM	SG LONDON	SG House 41Tower Hill LONDON EC3N UK	Financial Conduct Authority (FCA)
UNITED STATES	SG NEW YORK	245 Park Avenue NEW YORK,NY 10167 USA	Federal Reserve
	SG CHICAGO	190 S. LaSalle Street Suite 3850 Chicago, IL 60603 USA	Federal Reserve
	SG DALLAS	Two Lincoln Center 5420 LBJ Freeway/Suite 1940 Dallas, Texas 75240 USA	Federal Reserve
CAYMAN ISLANDS	SG GRAND CAYMAN	Care of SG New York 245 Park Avenue NEW YORK,NY 10020 USA	Cayman Islands Monetary Authority (CIMA)

