

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, **BANK OF INDIA** (“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 \_\_\_\_\_ (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: **Star House, Bandra- Kurla Complex, Bandra (E), Mumbai- 400051** 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 **India** (insert country), where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by **Reserve Bank of India**, (insert Banking Authority), the banking authority that licensed Foreign Bank to conduct banking activities.

**Please refer to Annexure, for the list of branches of Bank of India, which have a physical presence overseas and their respective banking authorities.**



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.

**(Please refer to Annexure-I for details of Ownership of the Bank)**

- 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 |
|------|---------|
|      |         |
|      |         |
|      |         |
|      |         |

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.



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

The following individual or entity: **Bank of India, New York Branch** is a resident of the United States at the following street address: **277, Park Avenue, New York, NY 10172-0083, 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.

**Please find the details in Annexure-II**

**G. General**

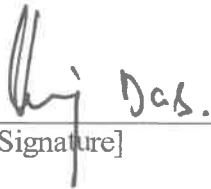
Foreign Bank hereby agrees to notify in writing each Covered Financial Institution at which it maintains any Correspondent Account of any change in facts or circumstances reported in this Certification. Notification shall be given within 30 calendar days of such change.

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, **Monoj Das** (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.

**Bank of India**

[Name of Foreign Bank]



[Signature]

**Monoj Das**

[Printed Name]

**Chief General Manager**

[Title]

Executed on this **08<sup>th</sup> day of June, 2023.**



**Received and reviewed by:**

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

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

**For:** \_\_\_\_\_

[Name of Covered Financial Institution]

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

[67 FR 60573, Sept. 26, 2002]



## ANNEXURE

## List of Foreign Branches

| SN | Centre/<br>Branch          | Address  | Monitory Authority  |
|----|----------------------------|--|---|
| 1  | Singapore                  | 158 Cecil Street, #01-01, #02-01, & #09-01, Singapore 069545   | Monetary Authority of Singapore   |
| 2  | Ho Chi Minh City (Vietnam) | Unit 202 & 203, Saigon Trade Centre, 37, Ton Duc Thang Street, District-HCMC, Vietnam.                                 | State Bank of Vietnam   |
| 3  | Tokyo                      | Marunouchi Nakadori Bldg, 2-2, Marunouchi, 2- Chome, Chiyoda-Ku, Tokyo- 100-0005, Japan                                | Bank of Japan   |
| 4  | Osaka                      | Nihon Seimei Sakaisuji, Honmachi Bldg., 2 <sup>nd</sup> floor, 8-12, Honmachi, 1-Chome, Chuo-Ku, Osaka 541-0053, Japan | Bank of Japan   |
| 5  | Hong Kong                  | Ruttonjee Centre, 2 <sup>nd</sup> Floor, 11, duddell Street, Central Hong Kong SAR                                     | Hong Kong (SAR) Monitory Authority Hong Kong  |
| 6  | London                     | 4 <sup>th</sup> Floor, 63, Queen Victoria St, London EC4N 4UA U.K.   | Prudential Regulatory Authority & the Financial Conduct Authority   |
| 7  | Birmingham                 | 182, Soho Road, Handsworth, Birmingham, B21 9LP  | Prudential Regulatory Authority & the Financial Conduct Authority   |
| 8  | Leicester                  | 105-107, Belgrave Road, Leicester LE4 6AS, UK  | Prudential Regulatory Authority & the Financial Conduct Authority   |
| 9  | Wembley                    | 714-716 Kenton Road, Harrow, HA3 9QX, UK   | Prudential Regulatory Authority & the Financial Conduct Authority   |
| 10 | Paris                      | 3 <sup>rd</sup> Floor, 4, Rue Halevy, Paris-75009, France  | 1. Commission Bonaire<br>2. Autorite de controle prudential et de resolution  |
| 11 | Antwerp, Belgium           | 18-20, Schupstraat, 2018, Antwerpen, Antwerp, Belgium  | 1. Commission Bancaire<br>2. Financiere et des Assurance<br>3. National Bank of Belgium<br>4. Autorite des marches financiers |
| 12 | Glasgow, Scotland          | 161, North Street, Glasgow G3 7DA United Kingdom   | Prudential Regulatory Authority & the Financial Conduct Authority   |



|    |  |   |  |
|----|--|---|--|
| 13 | Nairobi  | Kenyatta Avenue, P.O. Box 30246<br>00100, Nairobi, Kenya  | Central Bank of Kenya  |
| 14 | Industrial Area                                    | Unit 1B, Block D, Sameer Business<br>Park, Mombasa Road, Nairobi PB-<br>18415-004                               | Central Bank of Kenya  |
| 15 | Westlands  | The Oval, Second Floor, Jalaram<br>Mandir Road, Westlands, Nairobi  | Central Bank of Kenya  |
| 16 | Mombasa  | Bank of India Bldg., Nkumrah Road,<br>Treasury Square, P.O. Box 90684,<br>Mombasa, Kenya                        | Central Bank of Kenya  |
| 17 | Eldoret  | Tarita Centre, Ronald Ngala Street,<br>Eldoret, Kenya   | Central Bank of Kenya  |
| 18 | Dubai (Dubai<br>International<br>Financial Centre) | 1902, 19 <sup>th</sup> floor, (South Tower),<br>Emirates Financial Towers, P.O.<br>Box 507310, DIFC, Dubai, UAE | Dubai Financial Service<br>Authority   |
| 19 | New York   | 277, Park Avenue, New York, NY-<br>10172, USA   | 1. Federal Reserve Bank of<br>New York<br>2. Federal Deposit<br>Insurance Corporation<br>3. New York State<br>Department of<br>Financial Services  |
| 20 | San Francisco<br>(Agency)                          | San Francisco Agency, 555<br>Mission Street Suite #1875, San<br>Francisco, CA-94105                             | 1. Federal Reserve bank<br>of San Francisco<br>2. California Department<br>of Financial Protection<br>and Innovation<br>(CDFPI)<br>(Previously known as<br>California Department<br>of Business Oversight) |
| 21 | Cayman Islands*                                    | P.O. Box 694, Grand Cayman,<br>Cayman Islands, C/o. New York<br>Branch  | Cayman Islands<br>Monetary Authority   |

\*Cayman Islands Branch of Bank of India does not maintain a physical presence or staff on the Cayman Islands. The branch is managed by Bank of India, New York, United States of America. The branch maintains a banking license issued by the Cayman Islands Monetary Authority and is regulated & under supervision of the Cayman Islands Monetary Authority. Cayman Islands branch is included under Bank of India's certification to the USA PATRIOT Act.





|    |   |  |                                  |                   |
|----|---|--|----------------------------------|-------------------|
| 22 | IFSC Banking Unit (IBU) – GIFT City – Gandhinagar | Unit 1501, 15th floor, Signature Building, Block 13 B, Zone 1, SEZ Area, GIFT City, Gandhinagar, Gujarat, India - 382355 | International Services Authority | Financial Centres |
|----|---|--|----------------------------------|-------------------|

| Other Indian Branches |   |  |                       |  |
|-----------------------|---|--|-----------------------|--|
| Treasury              | Bank of India, Head Office, Star House, C-5, 'G' Block, Bandra-Kurla Complex, Bandra (East)<br>Mumbai- 400 051. |  | Reserve Bank of India |  |
| Mumbai NRI            | Bank of India Building, 70/80, M.G. Road, Ground Floor, Fort, State: Maharashtra<br>City: Mumbai 400 001        |  | Reserve Bank of India |  |
| Mumbai Overseas       | Bank of India Building, 70/80, M.G. Road, Mezzanine Floor, Fort, State: Maharashtra<br>City: Mumbai 400 001     |  | Reserve Bank of India |  |





## NAME AND ADDRESS OF OWNER(S)

| Name                                      | Address  |
|---|--|
| GOVERNMENT OF INDIA<br>@ (81.41%)         | GOVERNMENT OF INDIA, NEW DELHI   |
| SHARES ISSUED TO THE PUBLIC<br>@ (18.59%) | SHARES HELD BY BANKS/ FINANCIAL INSTITUTIONS/ GENERAL PUBLIC/ EMPLOYEES/ OTHER CORPORATE BODIES, ETC., INCLUDING NRIs, OCBs, FOREIGN NATIONALS<br><br>BANK OF INDIA SHARES ARE LISTED WITH NATIONAL STOCK EXCHANGE & BOMBAY STOCK EXCHANGE |

(@ FIGURES IN BRACKET INDICATE SHAREHOLDING PERCENTAGE AS ON 31.03.2023)



NAME AND ADDRESS OF AGENT DESIGNATED  
TO ACCEPT SERVICES OF LEGAL PROCESS

| NAME                                    | ADDRESS<br>(No post office<br>boxes)                      | PHONE<br>NO.        | FAX NO.              | EMAIL ADDRESS  |
|---|---|---------------------|----------------------|--|
| BANK OF<br>INDIA, NEW<br>YORK<br>BRANCH | 277, PARK<br>AVENUE, NEW<br>YORK, NY- 10172-<br>0083, USA | 001212-<br>753 6100 | 001 212-<br>588-8958 | <u><a href="mailto:boiny@bankofindia.co.in">boiny@bankofindia.co.in</a></u><br><u><a href="mailto:boiny@usa.net">boiny@usa.net</a></u> |

