APPENDIX A TO SUBPART I OF PART 103 –
CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS
FOR FOREIGN BANKS

[OMB Control Number 1505-0184]

The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United States 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 U.S. broker-dealer in securities (a **covered financial institution** as defined in 31 C.F.R. 103.175(f)). 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. 103.11(o)). 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. 103.11(c)).*

> * 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 instruction for foreign branches of U.S. banks: A branch or office of a U.S. bank outside the United States 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 instruction 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, **HSBC Bank Plc** ("**Foreign Bank**") hereby certifies as follows:

B. Correspondent Accounts Covered by this Certification: Check **one** box.

X 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.

X Foreign Bank maintains a **physical presence** in any country. That means:

- Foreign Bank has a place of business at the following street address: **See attached "Matrix of principal branches covered by this Certificate**", 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 **See attached "Matrix of principal branches covered by this Certificate**), where Foreign Bank is authorized to conduct banking activities.

- Foreign Bank is subject to inspection by **See attached "Matrix of principal branches covered by this Certificate,** 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 institutions, 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.

X No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. 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 Exchange Act of 1934 (15 U.S.C. 78c(a)(50)).

If **neither** box 1 or 2 of Part E are checked, complete item 3 below, **if applicable**.

X 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* shall be considered one **person**.

Name	Address
HSBC Holdings Plc	8 Canada Square, London, E14 5HQ

F. Process Agent: complete the following.

The following individual or entity: **HSBC Bank USA, NA**, is a resident of the United States at the following street address:
Legal Processing, 12th Floor, One HSBC Centre, Buffalo, NY 14203, **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.

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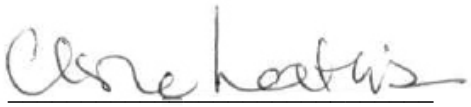
* The same family means parents, spouses, children, siblings, uncles, aunts, grandparents, grandchildren, first cousins, stepchildren, stepsiblings, parents-in-law and spouses of any of the foregoing. In determining the ownership interests of the same family, any voting interest of any family member shall be taken into account.

I, **Christine Lowthian**, 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.

HSBC Bank Plc



Christine E. Lowthian
Money Laundering Reporting Officer – HSBC Bank Plc

Executed on this **19** day of **May, 2011.**

Received and reviewed by:

Name: _____
Title: _____
For: _____
[Name of Covered Financial Institution]

Date: _____

MATRIX OF PRINCIPAL BRANCHES COVERED BY THIS CERTIFICATE

Branch Location	Address	Country	Regulator
Amsterdam	De Entrée 242 1101 EE Amsterdam	Netherlands	De Nederlandsche Bank
Athens	109-111 Messoghion Avenue Building B-3rd 115 26 Athens	Greece	Bank of Greece
Bratislavia	European Business Centre Suche Myto 1 81101, Bratislava.	Slovak Republic	National Bank of Slovakia
Brussels	Avenue de Tervueren 270 Box 4, 1150 Brussels	Belgium	Banking, Finance and Insurance Commission
Douglas	HSBC House, Ridgeway Street, Douglas IM99 1BU	Isle of Man	Financial Supervision Commission
Dublin	HSBC House, Harcourt Centre, Harcourt Street, Dublin 2	Ireland	Irish Financial Services Regulatory Authority
Hong Kong	1 Queens Road, Hong Kong	Hong Kong	Hong Kong Monetray Authority
London	8 Canada Square, London, E14 5 HQ	United Kingdom	Financial Services Authority
Madrid	Torre Picasso Floor 33, Plaza Pablo Ruiz Picasso s/n, 28020 Madrid	Spain	Banco de Espana
Milan	Piazzetta M. Bossi 1 20121 Milan	Italy	Bank of Italy
Paris	16 Rue Vernet 75419 Paris Cedex 08	France	Banque de France
Prague	Millenium Plaza, U Celnnici 10, 117 21 Praha 1	Czech Republic	Czech National Bank
St. Helier	PO Box 14, St Helier, Jersey, JE4 8NJ	Jersey	Jersey Financial Services Commission
St. Peters Port	13 High Street, St Peter Port Guernsey, GY1 3 AT	Guernsey	Guernsey Financial Services Commission
Tel Aviv	Beit Moses, 74 Rothschild Boulevard, Tel Aviv 65785	Israel	Bank of Israel