

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

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, REYL & CIE SA ("Foreign Bank") hereby certifies as follows:

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.

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: 62, rue du Rhône - CH - 1204 Geneva, 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 Switzerland (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by FINMA (www.finma.ch), (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 family² shall be considered one person.

Name	Address
Reyl Family	62, rue du Rhône - CH - 1204 Geneva
RB Participations SA	62, rue du Rhône - CH - 1204 Geneva
Reyl & Cie Holding SA	62, rue du Rhône - CH - 1204 Geneva
F.C.O. Participations SA	62, rue du Rhône - CH - 1204 Geneva
62 Rhône Participations SA	62, rue du Rhône - CH - 1204 Geneva

² 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: WUERSCH & GERING LLP
is a resident of the United States at the following street address:
100 Wall Street, 10th Fl. - New York - New York 10005, 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, Dominique Paladini/Eric Bühler (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.

REYL & CIE SA
[Name of Foreign Bank]


[Signature]
Dominique PALADINI
Deputy CEO


Eric Buehler
Head of Compliance

[Printed Name]

[Title]

Executed on this 22nd day of March, 2021.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

[67 FR 60573, Sept. 26, 2002]

Paperwork Reduction Act Notice

Public recordkeeping burden for this collection of information is estimated to average 20 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The OMB control number for this information collection is 1506-0043. You may submit comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, by calling the FinCEN Resource Center at 800-767-2825 or by email at ffc@fincen.gov. Alternatively, you may mail us comments at Policy Division, Financial Crimes Enforcement Network, P.O. Box 39, Vienna, VA 22183. Please include 1506-0043 in the body of the text.

**ATTACHMENT TO USA PATRIOT ACT CERTIFICATIONS
GLOBAL LISTING OF ALL RELATED AFFILIATES, SUBSIDIARIES AND BRANCHES**

Entity Name and Relationship to Entity Indicated in Section A (i.e. affiliate, subsidiary or branch)	Street Address				Country	Banking Authority
	Street	City	State	Postal Code		
Reyl (Singapore) Pte Ltd.	10 Marina Boulevard #16-06 Marina Bay Financial Centre Tower Two	Singapore		018983	Singapore	MAS
Reyl & Cie (Malta) Ltd.	Swiss Urban Factory - Office 5 5, Saint Frederick Street	Malta		VL T 1470	Malta	MFSA
Reyl & Cie AG, Zurich Branch	Talstrasse 65	Zurich		8001	Switzerland	FINMA
Reyl & Cie SA, Lugano Branch	Palazzo Riforma, Crocicchio Cortogna 6	Lugano		6900	Switzerland	FINMA
Reyl Finance (MEA) Ltd.	Burj Daman, DIFC, Level 4, Unit C404	Dubai			UAE	DFSA
Reyl & Co (UK) LLP	28 Savile Row	London		W1S 2EU	UK	FCA
Reyl Overseas Ltd.	Talstrasse 65	Zurich		8001	Switzerland	SEC
Asteria Investment Managers SA	Rue du Rhône 62	Geneva		1204	Switzerland	FINMA