

# Certificate of Registration

## INFORMATION SECURITY MANAGEMENT SYSTEM - ISO/IEC 27001:2013

This is to certify that:

Globe Tax Services, Inc.  
One New York Plaza  
34th Floor  
New York  
New York  
10004-1936  
USA

Holds Certificate No:

**IS 549996**

and operates an Information Security Management System which complies with the requirements of ISO/IEC 27001:2013 for the following scope:

The management of information security in the following areas, Data Proprietary Software Applications, Network Infrastructure used by the Executive, Human Resources, Systems, Finance, Marketing and Sales, Relationship Management, Product Management, Program Management, and Operations, including Depository, Central Securities Depository, and Issuer Services, Reclaim Services, EDS Assist, Client Services, Research, Tax Information Reporting Departments at Globe Tax Services, as per Statement of Applicability version 9 dated August 16, 2016.

For and on behalf of BSI:

  
\_\_\_\_\_  
Carlos Pitanga, SVP, System Certification and Compliance

Original Registration Date: 03/30/2010

Latest Revision Date: 11/29/2016

Effective Date: 03/30/2016

Expiry Date: 03/29/2019

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Certificate No: **IS 549996**

Location

Globe Tax Services, Inc.  
One New York Plaza  
34th Floor  
New York  
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USA

Registered Activities

The management of information security in the following areas, Data Proprietary Software Applications, Network Infrastructure used by the Executive, Human Resources, Systems, Finance, Marketing and Sales, Relationship Management, Product Management, Program Management, and Operations, including Depository, Central Securities Depository, and Issuer Services, Reclaim Services, EDS Assist, Client Services, Research, Tax Information Reporting Departments at Globe Tax Services, as per Statement of Applicability version 9 dated August 16, 2016.



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This certificate relates to the information security management system, and not to the products or services of the certified organization. The certificate reference number, the mark of the certification body and/or the accreditation mark may not be shown on products or stated in documents regarding products or services. Promotion material, advertisements or other documents showing or referring to this certificate, the trademark of the certification body, or the accreditation mark, must comply with the intention of the certificate. The certificate does not of itself confer immunity on the certified organization from legal obligations.

This certificate remains the property of BSI and shall be returned immediately upon request.

An electronic certificate can be authenticated [online](http://www.bsigroup.com/ClientDirectory). Printed copies can be validated at [www.bsigroup.com/ClientDirectory](http://www.bsigroup.com/ClientDirectory) To be read in conjunction with the scope above or the attached appendix.

Information and Contact: BSI, Kitemark Court, Davy Avenue, Knowlhill, Milton Keynes MK5 8PP. Tel: + 44 345 080 9000  
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