



B #:	6510-17
Date:	August 18, 2017
To:	All Participants
Category:	Dividends
From:	International Services
Attention:	Operations, Reorg & Dividend Managers, Partners & Cashiers
Subject:	<u>Tax Country:</u> Belgium UMICORE <u>CUSIP:</u> 90420M104 <u>Record Date</u> 08/28/2017 <u>Payment Date:</u> 09/13/2017

NOT CA WEB ELIGIBLE

As directed in the notice, participants that have qualified beneficial holders that expect to benefit from this procedure should secure the required documentation. Any questions, please call GlobeTax at 212-747-9100.

Important Legal Information: The Depository Trust Company (“DTC”) does not represent or warrant the accuracy, adequacy, timeliness, completeness or fitness for any particular purpose of the information contained in this communication, which is based in part on information obtained from third parties and not independently verified by DTC and which is provided as is. The information contained in this communication is not intended to be a substitute for obtaining tax advice from an appropriate professional advisor. In providing this communication, DTC shall not be liable for (1) any loss resulting directly or indirectly from mistakes, errors, omissions, interruptions, delays or defects in such communication, unless caused directly by gross negligence or willful misconduct on the part of DTC, and (2) any special, consequential, exemplary, incidental or punitive damages. To ensure compliance with Internal Revenue Service Circular 230, you are hereby notified that: (a) any discussion of federal tax issues contained or referred to herein is not intended or written to be used, and cannot be used, for the purpose of avoiding penalties that may be imposed under the Internal Revenue Code; and (b) as a matter of policy, DTC does not provide tax, legal or accounting advice and accordingly, you should consult your own tax, legal and accounting advisor before engaging in any transaction.

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Non-Confidential

UMICORE has announced a cash dividend. BNY Mellon acts as Depository for the company's Depository Receipt ("DR") program.

On DR pay date, all beneficial owners will receive this dividend net of the full Belgium statutory withholding tax of 30% with the possibility to reclaim as outlined in the below Eligibility Matrix.

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DIVIDEND EVENT DETAILS	
COUNTRY OF ISSUANCE	BELGIUM
ISSUE	UMICORE
CUSIP#	90420M104
UNDERLYING ISIN	BE0003884047
DEPOSITARY	MULTIPLE
DR RECORD DATE	AUGUST 28, 2017
ORD PAY DATE	AUGUST 29, 2017
DR PAY DATE	SEPTEMBER 13, 2017
RATIO (DR to ORD)	2 DR : 1 ORD
ORD RATE	EUR 0.65
STATUTORY WITHHOLDING RATE	30%
	DOUBLE CLICK ICON BELOW TO DOWNLOAD 

STATUTORY RATE IN BELGIUM HAS INCREASED FROM 27% TO 30% AS OF JANUARY 1, 2017.

RECLAIMS OVER EUR 100,000 NEED A TRANSACTION STATEMENT, PLEASE REFER TO PAGE 4

FEES & DEADLINES

FILING METHOD	BATCH	PAYMENT METHOD	DSC FEE	MINIMUM FEE PER BENEFICIAL OWNER	FINAL SUBMISSION DEADLINE (ALL TIMES EST)
PRIMARY LONG FORM	POST-CA WEB PROCESS; ONGOING	VIA CHECK	Up to \$0.01 per DR	\$25.00	OCTOBER 30, 2017 (8 PM)
LONG FORM	POST-CA WEB PROCESS; ONGOING	VIA CHECK	Up to \$0.01 per DR	\$25.00	OCTOBER 30, 2021 (8 PM)

Agreements, Fees, Representations, and Indemnification of Participants and Beneficial Owners

This tax relief assistance service is wholly voluntary and discretionary, and outside the terms and conditions of any applicable deposit agreement. BNY Mellon undertakes no duty or obligation to provide this service, and may reject or decline any or all proposed electing participants or holders in its sole discretion. We hereby accept and agree to pay the fees of BNY Mellon of up to \$0.01 per Depository Receipt for Primary Long Form and Long Form (with a minimum of \$25) and any other charges, fees or expenses payable by or due to BNY Mellon or its agents, including any custodian, in connection with the tax reclaim process, or to tax authorities or regulators (which fees, charges or expenses may be deducted from the dividend or any other distribution or by billing or otherwise in BNY Mellon's discretion). We hereby agree that any such fees, charges or expenses may be due and payable whether or not a successful reduction in rate or reclamation is obtained. We hereby acknowledge that fees paid to BNY Mellon may be shared with its agents and affiliates.

We hereby agree that in addition to statutory and documentation requirements, and the deduction of fees, tax relief benefits will be subject to review and approval, and potential audits by the applicable custodian and applicable tax regulators, and that BNY Mellon is not providing any legal, tax, accounting or other professional advice on these matters and has expressly disclaimed any liability whatsoever for any loss howsoever arising from or in reliance hereto. Participants and/or investors should seek advice based upon their own particular circumstances from an independent tax advisor.

We certify that to the best of our knowledge that each of the beneficial owners identified are eligible for the preferential rates as stated and we declare that we have performed all the necessary due diligence to satisfy ourselves as to the accuracy of the information submitted to us by these beneficial owners.

We will be fully liable for any and all claims, penalties and / or interest, including without limitation, any foreign exchange fluctuations associated therewith. BNY Mellon shall not be liable for the failure to secure any tax relief. We expressly agree that BNY Mellon and its agents or affiliates shall not have any liability for, and we shall indemnify, defend and hold each of BNY Mellon and its agents and affiliates harmless from and against, any and all loss, liability, damage, judgment, settlement, fine, penalty, demand, claim, cost or expense (including without limitation fees and expenses of defending itself or enforcing this agreement) arising out of or in connection herewith.

ELIGIBILITY MATRIX – PRIMARY LONG FORM

RATE DESCRIPTION	RECLAIM RATE	ELIGIBLE RESIDENTS	DOCUMENTATION REQUIRED (BLUE = GENERATED BY ESP)	SIGNATURE REQUIRED
UNFAVORABLE - 30%	0%	NON-TREATY COUNTRIES	NO DOCS OR ESP SUBMISSION NEEDED	N/A
FAVORABLE - 15%	15%	U.S. INDIVIDUALS (IRAs & SEPs INCLUDED) U.S. CHARITIES U.S. CORPORATIONS U.S. OTHER ENTITIES (S-CORP, PARTNERSHIP, TRUST OR ESTATE)	1. COVER LETTER 2. FORM DIV 276 3. CERTIFICATE OF DIVIDEND PAYMENT AUTHORIZATION LETTER 4. AUTHORIZATION LETTER 5. POWER OF ATTORNEY 6. ORIGINAL CERTIFICATE OF RESIDENCY (2017)	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY
EXEMPT - 0%	30%	U.S. PENSIONS UNDER IRS SECTIONS 401(a)	1. COVER LETTER 2. FORM DIV 276 3. ANNEXE 26 OR 29 4. CERTIFICATE OF DIVIDEND PAYMENT AUTHORIZATION LETTER 5. AUTHORIZATION LETTER 6. POWER OF ATTORNEY 7. ORIGINAL CERTIFICATE OF RESIDENCY (2017)	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY

*NOTE: All documents listed in [BLUE font](#) are generated by GlobeTax's ESP website after submission of beneficial owner data

N.B.: EFFECTIVE JANUARY 1, 2013, DUE TO THE AMENDMENT OF THE ROYAL DECREE EXECUTING THE BELGIAN INCOME TAX CODE ARTICLE 106 PARAGRAPH 2 AND PARAGRAPH 4, ONLY PENSION FUNDS ARE ENTITLED TO EXEMPTION FROM BELGIAN WITHHOLDING TAX ON DIVIDENDS.

NOTE ON REDUCED WITHHOLDING TAX FOR DIVIDEND DISTRIBUTIONS TO CERTAIN MINORITY CORPORATE SHAREHOLDERS

Reduced rate for participations of at least 2.5 million EUR: Belgian domestic law provides for a reduced withholding tax rate of 1.6995% for dividends distributed to qualifying non-resident companies (i) which are resident in the European Economic Area (EEA) or in a state with which Belgium concluded a DTT that includes an exchange of information clause, and (ii) which hold (or will hold) a participation of less than 10% with an acquisition value of at least 2.5 million EUR for at least one year. The reduced rate does not apply to the extent that the non-resident shareholder can credit or obtain a reimbursement of the Belgian withholding tax. Please contact your tax advisor or GlobeTax for specific details.

NOTE ON QUALIFYING NON-U.S. PENSIONS

According to Belgian Statutory law, all foreign pension funds are exempt as long as certain conditions are met. The Exempt 0% rate applies on dividends paid to pension funds if they comply with the following cumulative conditions:

- They are non-resident,
- They are the Beneficial Owners of the income,
- They are tax exempt,
- They must have legal personality of which the only purpose is managing and investing funds for the purpose of paying pensions AND with a non-profit purpose in activities
- They must not be under a contractual arrangement to pay the income to another entity.

TRANSACTION STATEMENT

REQUIRED FOR CLAIMS EXCEEDING EUR 100,000. A TRANSACTION STATEMENT MUST SHOW:

- The name of the security
- The ISIN of the security
- The nature of the transaction: purchase, sale, or loan
- The date of the transaction
- The value of each transaction
- The number of shares
- The name of the counter party if shares were sold by agreement between the parties
- The current position per transaction

ELIGIBILITY MATRIX – LONG FORM

RATE DESCRIPTION	RECLAIM RATE	ELIGIBLE RESIDENTS	DOCUMENTATION REQUIRED	SIGNATURE REQUIRED
UNFAVORABLE - 30%	0%	NON-TREATY COUNTRIES	NO DOCS OR ESP SUBMISSION NEEDED	N/A
FAVORABLE - 20%	10%	EGYPT, THAILAND, TURKEY	<ol style="list-style-type: none"> 1. COVER LETTER 2. FORM DIV 276 3. CERTIFICATE OF DIVIDEND PAYMENT 4. AUTHORIZATION LETTER 5. POWER OF ATTORNEY 	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY
FAVORABLE - 15%	15%	ALBANIA, ALGERIA, ARGENTINA, ARMENIA, AUSTRALIA, AUSTRIA, AZERBAIJAN, BANGLADESH, BELARUS, BOSNIA HERZEGOVINA (former YUGOSLAVIA), BRAZIL, CANADA, CHILE, COTE D'IVOIRE, CROATIA, CYPRUS, CZECH REPUBLIC, DENMARK, ECUADOR, ESTONIA, FINLAND, FRANCE, GABON, GEORGIA, GERMANY, GHANA, GREECE, HONG KONG, ICELAND, INDIA, INDONESIA, IRELAND, ISRAEL, ITALY, JAPAN, KAZAKHSTAN, KOSOVO, KYRGYZSTAN (former USSR), LATVIA, LITHUANIA, LUXEMBOURG, MACEDONIA, MALAYSIA, MALTA, MEXICO, MOLDOVA (former USSR), MONGOLIA, MONTENEGRO, NETHERLANDS, NEW ZEALAND, NIGERIA, NORWAY, PAKISTAN, PHILIPPINES, POLAND, PORTUGAL, ROMANIA, RWANDA, SAN MARINO, SENEGAL, SERBIA, SINGAPORE, SLOVAK REPUBLIC, SLOVENIA, SOUTH AFRICA, SOUTH KOREA, SPAIN, SRI LANKA, SWEDEN, SWITZERLAND, TAJIKISTAN (former USSR), TUNISIA, TURKMENISTAN (former USSR), UKRAINE, UZBEKISTAN, VENEZUELA, VIETNAM	<ol style="list-style-type: none"> 1. COVER LETTER 2. FORM DIV 276 3. CERTIFICATE OF DIVIDEND PAYMENT 4. AUTHORIZATION LETTER 5. POWER OF ATTORNEY 6. ORIGINAL CERTIFICATE OF RESIDENCY (2017) 	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY MUST BE ORIGINAL
FAVORABLE - 15%	15%	U.S. INDIVIDUALS (IRAs & SEPs INCLUDED) U.S. CHARITIES U.S. CORPORATIONS U.S. OTHER ENTITIES (S-CORP, PARTNERSHIP, TRUST)	<ol style="list-style-type: none"> 1. COVER LETTER 2. FORM DIV 276 3. CERTIFICATE OF DIVIDEND PAYMENT 4. AUTHORIZATION LETTER 5. POWER OF ATTORNEY 6. ORIGINAL CERTIFICATE OF RESIDENCY (2017) 	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY MUST BE ORIGINAL
FAVORABLE - 10%	20%	BAHRAIN, BULGARIA, CHINA, CONGO, HUNGARY, KUWAIT, MAURITIUS, MOROCCO, RUSSIA, TAIWAN, UNITED ARAB EMIRATES, UNITED KINGDOM	<ol style="list-style-type: none"> 1. COVER LETTER 2. FORM DIV 276 3. CERTIFICATE OF DIVIDEND PAYMENT 4. AUTHORIZATION LETTER 5. POWER OF ATTORNEY 	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL / COPY
EXEMPT - 0%	30%	U.S. PENSIONS UNDER IRS SECTIONS 401(a) QUALIFYING NON-U.S. PENSIONS, WORLD EXEMPTS	<ol style="list-style-type: none"> 1. COVER LETTER 2. FORM DIV 276 3. ANNEXE 26 OR 29 4. CERTIFICATE OF DIVIDEND PAYMENT 	ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE ORIGINAL SIGNATURE

	I.E. GOVERNMENT OF KUWAIT, GOVERNMENT OF SINGAPORE, GOVERNMENT OF UNITED ARAB EMIRATES, GOVERNMENT OF BAHRAIN	5. AUTHORIZATION LETTER 6. POWER OF ATTORNEY 7. ORIGINAL CERTIFICATE OF RESIDENCY (2017)	ORIGINAL SIGNATURE ORIGINAL / COPY
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*NOTE: All documents listed in [BLUE font](#) are generated by GlobeTax's ESP website after submission of beneficial owner data

DESCRIPTION OF VARIOUS DOCUMENTATION

DOCUMENT NAME	DESCRIPTION
COVER LETTER	COVER LETTER REQUIRED FOR ALL CLAIMS WHICH ADVISES BNY MELLON / GLOBETAX OF THE SALIENT DETAILS OF THE CLAIM.
FORM 276 DIV	THIS IS THE BELGIAN TAX FORM. <u>FAVORABLE:</u> THIS FORM <u>MUST BE STAMPED (CERTIFIED)</u> BY THE LOCAL TAX AUTHORITY—ONLY U.S. IRS FORM 6166 MAY BE SUBMITTED AS A STAND-ALONE DOCUMENT. <u>EXEMPT:</u> CLAIMANTS DO NOT NEED TO HAVE THIS STAMPED. A STAND-ALONE CERTIFICATE OF RESIDENCY IS REQUIRED, SEE COR BELOW.
ANNEXE 29	THIS IS A CERTIFICATE OF EXEMPTION AND IS ONLY REQUIRED FOR THOSE SEEKING EXEMPTION FROM BELGIUM WITHHOLDING TAX. PROVIDED BY THE DTC PARTICIPANT.
ANNEXE 26	THIS IS A CERTIFICATE OF EXEMPTION AND IS ONLY REQUIRED FOR THOSE SEEKING EXEMPTION FROM BELGIUM WITHHOLDING TAX. PROVIDED BY THE FINANACIAL INSTITUTION.
IRS FORM 6166	ISSUED BY THE INTERNAL REVENUE SERVICE, STATING THE NAME OF THE BENEFICIAL OWNER. THE TAX YEAR MUST BE THE SAME AS THE YEAR OF THE DIVIDEND PAYMENT.
CERTIFICATE OF RESIDENCY (COR)	ISSUED BY THE FOREIGN TAX AUTHORITY, STATING THE NAME OF THE BENEFICIAL OWNER. THE TAX YEAR MUST BE THE SAME AS THE YEAR OF DIVIDEND PAYMENT. <u>TAX EXEMPTION MUST BE EXPLICITLY STATED.</u>
ATTESTATION FOR GROUP TRUSTS UNDER IRS 81-100 RULING	REQUIRED FOR IRS 81-100 RULINGS. CERTIFIES THAT THE DIVIDENDS ARE DERIVED FROM ASSETS INVESTED IN THE FRAMEWORK OF THE BASIC ACTIVITY OF A PENSION FUND TO PROVIDE RETIREMENT BENEFITS. <u>CONTACT GLOBETAX FOR TEMPLATE.</u>
ATTESTATION FOR UCITS	REQUIRED FOR IRISH & SOUTH AFRICAN UCITS. PROVES STANDING AS A UCIT FUND.
CERTIFICATION OF DIVIDEND PAYMENT	PROVIDES A BREAKDOWN OF THE DIVIDEND PAYMENT. MUST BE SUBMITTED ON YOUR COMPANY'S LETTERHEAD.
POWER OF ATTORNEY	TWO POWER OF ATTORNEYS ARE REQUESTED IN ALL CASES WHERE A DTC PARTICIPANT IS SIGNING ON BEHALF OF THE BENEFICIAL OWNER ON THE FORM 276 DIV, OR THE ANNEXE 29. POAs ARE REQUIRED, ONE FROM THE BENEFICIAL OWNER TO THE DTC PARTICIPANT AND ONE FROM THE DTC PARTICIPANT TO BNY MELLON / GLOBETAX.
AUTHORIZATION LETTER	ALLOWS BNY MELLON / GLOBETAX TO: 1. CREATE THE NECESSARY DOCUMENTATION (FORM 276 DIV OR ANNEXE 26/29) 2. CREDIT ADVICE 3. SUBMIT APPLICATION ON BEHALF OF THE BENEFICIAL OWNER AND 4. RECEIVE THE REIMBURSEMENT AMOUNT

FREQUENTLY ASKED QUESTIONS (FAQs)

PRIMARY LONG FORM QUESTIONS

ARE THERE ANY ADDITIONAL ELIGIBILITY REQUIREMENTS I SHOULD KNOW ABOUT?	YES. IF THE BENEFICIAL OWNER IS ENGAGED IN A TRADE OR BUSINESS IN BELGIUM THROUGH A PERMANENT ESTABLISHMENT IN BELGIUM THEY ARE INELIGIBLE TO CLAIM THROUGH THIS PROCESS.
DO I NEED TO PHYSICALLY SEND ANY DOCUMENTS TO BNY MELLON?	YES, ALONG WITH THE ELECTRONIC SUBMISSION WE NEED ALL REQUIRED DOCUMENTATION IN HARDCOPY FORM.
CAN I SIGN THE AUTHORIZATION ON BEHALF OF MY CLIENT?	YES. HOWEVER IN ADDITION TO THE AUTHORIZATION LETTER, YOU MUST PROVIDE A POWER OF ATTORNEY FROM THE BENEFICIAL OWNER GIVING YOU AUTHORIZATION TO SIGN ON THEIR BEHALF.
IS THE PROCESS FOR TAX RELIEF OFFERED BY BNY MELLON AN OPTIONAL PROCESS?	YES, THIS IS A DISCRETIONARY, OPTIONAL SERVICE.

LONG FORM QUESTIONS


WILL I BE PAID THROUGH DTC FOR CLAIMS SUBMITTED THROUGH THE LONG FORM PROCESS?	NO, YOU WILL BE PAID BY CHECK.
HOW LONG DOES IT TAKE FOR LONG FORM CLAIMS TO BE PAID?	GENERALLY 1-2 YEARS.
DOES THE LONG FORM PROCESS HAVE A MINIMUM POSITION PER BENEFICIAL OWNER REQUIREMENT?	YES, LONG FORM CLAIMS MUST RECLAIM AT LEAST \$25.00 OF VARIOUS DOCUMENTATION.
IS THIS LONG FORM PROCESS FREE OF CHARGE?	NO. THIS TAX RELIEF ASSISTANCE SERVICE IS WHOLLY VOLUNTARY AND DISCRETIONARY AND OUTSIDE THE TERMS AND CONDITIONS OF ANY APPLICABLE DEPOSIT AGREEMENT. BNY MELLON UNDERTAKES NO DUTY OR OBLIGATION TO PROVIDE THIS SERVICE, AND MAY REJECT OR DECLINE ANY OR ALL PROPOSED ELECTING PARTICIPANTS OR HOLDERS IN ITS SOLE DISCRETION. FEES WILL BE CHARGED FOR THIS SERVICE OF UP TO \$0.01 PER DR WITH NO MINIMUM, AND ANY OTHER CHARGES, FEES OR EXPENSES PAYABLE BY OR DUE TO BNY MELLON OR ITS AGENTS, INCLUDING THE CUSTODIAN OR TO TAX AUTHORITIES OR REGULATORS. FEES PAID TO BNY MELLON MAY BE SHARED WITH ITS AGENTS.

FREQUENTLY ASKED GENERAL QUESTIONS (FAQs)

ARE THERE ANY ADDITIONAL ELIGIBILITY REQUIREMENTS I SHOULD KNOW ABOUT?	YES. IF THE BENEFICIAL OWNER IS ENGAGED IN A TRADE OR BUSINESS IN BELGIUM THROUGH A PERMANENT ESTABLISHMENT IN BELGIUM THEY ARE INELIGIBLE TO CLAIM THROUGH THIS PROCESS.
DO I NEED TO PHYSICALLY SEND ANY DOCUMENTS TO BNY MELLON?	YES, ALONG WITH THE ELECTRONIC SUBMISSION WE NEED ALL REQUIRED DOCUMENTATION IN HARDCOPY FORM.
CAN I SIGN THE AUTHORIZATION ON BEHALF OF MY CLIENT?	YES. HOWEVER IN ADDITION TO THE AUTHORIZATION LETTER, YOU MUST PROVIDE A POWER OF ATTORNEY FROM THE BENEFICIAL OWNER GIVING YOU AUTHORIZATION TO SIGN ON THEIR BEHALF.
IS THE PROCESS FOR TAX RELIEF OFFERED BY BNY MELLON AN OPTIONAL PROCESS?	YES, THIS IS A DISCRETIONARY, OPTIONAL SERVICE.

CONTACT DETAILS

PRIMARY CONTACT	GEET CHAWLA
DOMESTIC PHONE (U.S.)	1-800-915-3536
DOMESTIC FAX (U.S.)	1-800-985-3536
INTERNATIONAL PHONE	1-212-747-9100
INTERNATIONAL FAX	1-212-747-0029
EMAIL ADDRESS	GEET_CHAWLA@GLOBETAX.COM
GROUP EMAIL	BELGIUMESP@GLOBETAX.COM
COMPANY	GLOBETAX SERVICES INC.
STREET ADDRESS	ONE NEW YORK PLAZA, 34 TH FLOOR
CITY/STATE/ZIP	NEW YORK, NY 10004
ADDITIONAL CONTACTS	SHERELLE ISAACS



powered by **GLOBETAX**

BNY Mellon offers ESP powered by GlobeTax, an electronic withholding tax submission system. This system allows for the secure and simplified transfer of beneficial owner level data from the Participant to BNY Mellon and creates applicable documentation on the Participants behalf. Submit the data online through the web site below, print out the document on letterhead, sign, and mail to BNY Mellon / GlobeTax.




These claims should be submitted through the following web site. (Requires a one-time registration)

<https://ESP.GlobeTax.com>

Please contact support@globetax.com at 212-747-9100 if you have any questions about this process.

FORMS AND ATTACHMENTS

**Double click on respective icon to view attachment.*

APPENDIX A – COVER LETTER <i>**For Non-ESP users ONLY</i>	APPENDIX A – EXCEL BREAKDOWN <i>**For Non-ESP users ONLY</i>	FORM DIV 276	ANNEXE 26 / ANNEXE 29	AUTHORIZATION LETTER	CERTIFICATE OF PAYMENT
 Appendix A.pdf	 EXCEL BREAKDOWN.xls	 DIV 276.pdf	 ANNEXE 26 & 29.pdf	 Authorization Letter.pdf	 Certificate of payment.pdf