

**Certification Regarding the Compliance with Anti-Money Laundering and Know Your Customer of Taiwan Business Bank, Ltd.**

**Part I. General Information**

1. Bank Name: Taiwan Business Bank, Ltd.
2. Address of Head Office: No. 30, Ta Cheng Street, Taipei, Taiwan
3. Overseas Branches:
  - (1) Los Angeles Branch: 633, West 5<sup>th</sup> Street, Suite 2280, Los Angeles, CA 90071, U.S.A.
  - (2) New York Branch: 32 Old Slip, 5F, New York, NY 10005, U.S.A.
  - (3) Hong Kong Branch: Suite 2705-9, 27F, Tower 6, The Gateway, No. 9 Canton Road, Tsimshasui, Kowloon, Hong Kong
  - (4) Sydney Branch: Suite 601, Level 6, 60 Carrington Street, Sydney Nsw 2000, Australia
  - (5) Shanghai Branch: Room 3806, 38F, Longemont Yes Tower, 399 Kaixuan Road, Changning District, Shanghai 200051, China
  - (6) Brisbane Branch: Suite 903, Level 9, 239 George Street, Brisbane, Qld. 4000, Australia
  - (7) Wuhan Branch: 17F, Building 2, No.108, Zhongbei Road, Wuchang District, Wuhan, Hubei Province 430077, China
  - (8) Tokyo Branch: 707, 7F, Tekko Building, 1-8-2 Marunouchi, Chiyoda-Ku, Tokyo 100-0005, Japan
4. Website Address: <https://www.tbb.com.tw>
5. Regulatory Authority for Anti-Money Laundering Supervision: Financial Supervisory Commission, Executive Yuan
6. Name of External Auditor: PwC
7. Compliance Contact:

Name: Li-Yueh Hsu  
Title: Chief Compliance Officer  
Tel: +886 2 2559-7171  
E-mail: [h25@mail.tbb.com.tw](mailto:h25@mail.tbb.com.tw)
8. Ownership Structure:
  - 16.21% Bank of Taiwan
  - 5.87% National Development Fund, Executive Yuan, R.O.C.
  - 2.29% Land Bank of Taiwan
  - 2.08% Ministry of Finance, R.O.C.

## **Part II. Regulatory Information**

1. Our bank is subject to the laws and regulations designated to combat money laundering.
2. Our overseas branches are all subject to the anti-money laundering laws applicable to our head office and in the jurisdictions in which they are located.
3. Our bank has been examined by our government regulator and Financial Supervisory Commission for compliance with anti-money laundering laws or regulations in the past year.
4. To our knowledge, our bank has not been the subject of criminal investigations, prosecutions, or other actions relating to money laundering, narcotics trafficking, terrorism or fraud.

## **Part III. Anti-Money Laundering Policies and Procedures**

1. Our bank has established written policies designed to combat money laundering.
2. Our bank has established written internal procedures and controls to implement anti-money laundering policies.
3. The anti-money laundering policies applicable to our head office also apply to our overseas branches.
4. Our bank has written account opening and customer identification policies and procedures that require us to verify the identity of all customers prior to opening an account.
5. Our bank has written Know Your Customer policies and procedures that require us to obtain background information and documentations from our customers.
6. Our bank has established the policy to prohibit opening accounts for foreign banks that do not have a physical presence in the country in which they trade (i.e.: "Shell Banks").
7. Our bank does not maintain any account or relationship with foreign Shell Banks.
8. Our bank does not maintain anonymous accounts.
9. Our bank keeps the records of our customers and their transactions for at least five years after the termination of business relationship.

#### **Part IV. Significant Cash Transactions and Suspicious Activities**

1. Our bank monitors customer account activities and other transactions to identify significant cash transactions and suspicious activities.
2. Our bank obtains customer identification documents and maintains the records for significant cash transactions.
3. Our bank reports suspicious activities to the government regulator.

#### **Part V. Training**

Our bank provides annual trainings to employees on anti-money laundering laws and regulations, and our anti-money laundering policies and procedures.

#### **Part VI. Compliance Function & Independent Audits**

1. Our bank has a designated Chief Compliance Officer responsible for overseeing and monitoring the bank's compliance with the anti-money laundering program.

Name: Li-Yueh Hsu

Title: Chief Compliance Officer

Tel: +886 2 2559 7171

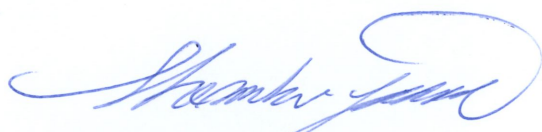
E-mail: [h25@mail.tbb.com.tw](mailto:h25@mail.tbb.com.tw)

2. Our bank has an established audit and compliance review function to test the adequacy of anti-money laundering policies and procedures.
3. Our bank has external and internal independent auditors to ensure the bank's compliance with anti-money laundering laws & regulations and anti-money laundering program.
4. Name of External Auditor: PwC

I hereby confirm that, to the best of my knowledge, the above information is correct, accurate and reflective of our bank's anti-money laundering policies, procedures and program.

Signature:

Date: Sep. 25, 2023



Name: Jason Jean

Title: S.V.P. & General Manager