

**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, Taiwan Business Bank, Ltd. (“**Foreign Bank**”) hereby certifies as follows:

BRANCH	ENTITY ADDRESS	BANKING AUTHORITY
OFFSHORE BANKING BRANCH.	NO. 30, TA CHENG ST., TAIPEI, TAIWAN, R.O.C.	FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
LOS ANGELES BRANCH	633, WEST 5 TH ST. SUITE 2280, LA CA 90071, U.S.A.	FEDERAL RESERVE BANK, U.S.A. DEPARTMENT OF FINANCIAL INSTITUTIONS- STATE OF CALIFORNIA FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
NEW YORK BRANCH	5F, 32 OLD SLIP, NEW YORK, NEW YORK 10005, U.S.A.	FEDERAL RESERVE BANK, U.S.A. NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
HONG KONG BRANCH	SUITE 2705-9, 27/F, TOWER 6, THE GATEWAY, HARBOUR CITY, KOWLOON, HONG KONG	HONG KONG MONETARY AUTHORITY FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
SYDNEY BRANCH	SUITE 601, LEVEL 6, 60 CARRINGTON STREET, SYDNEY NSW 2000,AUSTRALIA	AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
BRISBANE BRANCH	SUITE 903, LEVEL 9, 239 GEORGE STREET, BRISBANE, QLD. 4000 AUSTRALIA	AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
SHANGHAI BRANCH	ROOM 3806, 38F, LONGEMONT YES TOWER, 399 KAIXUAN ROAD, CHANGNING DISTRICT, SHANGHAI 200051, CHINA	CHINA BANKING REGULATORY COMMISSON FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
WUHAN BRANCH	17F, BUILDING 2, NO.108, ZHONGBEI ROAD, WUCHANG DISTRICT, WUHAN, HUBEI PROVINCE 430077 , CHINA	CHINA BANKING REGULATORY COMMISSON FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)
TOKYO BRANCH	707 ROOM, 7F, TEKKO BUILDING, MARUNOUCHI 1-8-2, CHIYODA-KU, TOKYO 100-0005, JAPAN	FINANCIAL SERVICES AGENCY, THE JAPANESE GOVERNMENT FINANCIAL SUPERVISORY COMMISSION, R.O.C. CENTRAL BANK OF REPUBLIC OF CHINA(TAIWAN)

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: NO. 30, TA CHENG STREET, TAIPEI, TAIWAN, 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 TAIWAN, R.O.C. (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by FINANCIAL SUPERVISORY COMMISSION, R.O.C., (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**.

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: TAIWAN BUSINESS BANK, L.A. BRANCH
is a resident of the United States at the following street address:
633, WEST 5TH STREET, SUITE 2280, L.A., CA 90071, U.S.A., 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, JASON JEAN (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.

TAIWAN BUSINESS BANK, LTD

[Name of Foreign Bank]



[Signature]

JASON JEAN

[Printed Name]

S.V.P. & General Manager

[Title]

Date: Jan. 3, 2022

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____