

Certification of Compliance with Anti-Money Laundering and Know Your Customer Requirements 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 5th 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.106, 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: <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. 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 designed to combat money laundering.
2. All of our overseas branches are subject to the anti-money laundering laws and regulations applicable to our head office and to the jurisdictions in which they are located.
3. Our bank has been examined by government regulators and Financial Supervisory Commission for compliance with anti-money laundering laws and regulations in the past year.
4. Our bank has not been subject to criminal investigations, prosecutions, or other actions related 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 verification of the identity of all customers prior to opening an account.
5. Our bank has written Know Your Customer policies and procedures that require obtaining background information and documentation from customers.
6. Our bank has established policies prohibiting the opening of accounts for foreign banks that do not have a physical presence in the countries in which they operate (i.e.: "shell banks").
7. Our bank does not maintain any accounts or relationships with foreign shell banks.
8. Our bank does not maintain anonymous accounts.
9. Our bank keeps records of customers and their transactions for at least five years after the termination of the 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 records of significant cash transactions.
3. Our bank reports suspicious activities to the relevant government regulators.

Part V. Training

Our bank provides annual training to employees on anti-money laundering laws and regulations, as well as on its anti-money laundering policies and procedures.

Part VI. Compliance Function & Independent Audits

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

Name: Hsih-Hui Chen

Title: Chief Compliance Officer

Tel: +886 2 2559 7171


E-mail: h25@mail.tbb.com.tw

2. Our bank has an established audit and compliance review function to assess the adequacy of its anti-money laundering policies and procedures.
3. Our bank engages both external and internal independent auditors to ensure compliance with anti-money laundering laws and regulations.
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 the Bank's anti-money laundering policies, procedures and program.

Signature:

Date: Jan. 30, 2026



Name: Jane Chen
Title: S.V.P. & General Manager