

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 States 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 U.S. 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 instruction for foreign branches of U.S. banks: A branch or office of a U.S. bank outside the United States 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 instruction 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, **Hua Nan Commercial Bank, Ltd. Head Office (including all domestic branches) and all of its overseas branches as listed in the attachment (“Foreign Bank”)** hereby certifies as follows:

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:

This Certification applies to all accounts established for Foreign Bank by Covered Financial Institutions.

C. Physical Presence/Regulated Affiliate Status:

- Foreign Bank maintains a physical presence in any country. That means:
 - Foreign Bank has a place of business at the following street address: **No. 123 Songren Rd., Xinyi Dist., 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 **Republic of China**. (insert country), where Foreign Bank is authorized to conduct banking activities.
 - Foreign Bank is subject to inspection by **Central Bank of China / Financial Supervisory Commission**, the banking authority that licensed Foreign Bank to conduct banking activities.

D. Indirect Use of Correspondent Accounts:

- 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:

- 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.

Immediate ownership

| | |
|---------|---|
| Name | HUA NAN FINANCIAL HOLDINGS CO., LTD. |
| Address | No. 123 Songren Rd., Xinyi Dist., Taipei, Taiwan R.O.C. |

Ultimate owner

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|---------|--|
| Name | MINISTRY OF FINANCE, R.O.C. |
| Address | 2, Aiguo W. Road, Taipei, Taiwan, R.O.C. |

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:

Hua Nan Commercial Bank, Ltd. Los Angeles Branch is a resident of the United States at **707 Wilshire Blvd. Suite 3100, Los Angeles, CA90017, USA**, 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.

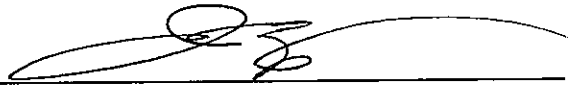
G. General

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, **Cheng-Chih Tsai**(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.

Hua Nan Commercial Bank, Ltd.



[Signature]
Cheng-Chih Tsai
Senior Vice President & General Manager
International Banking Department
Executed on JUL 29 2020

Received and reviewed by:
Name: _____
Title: _____
For: _____
[Name of Covered Financial Institution]
Date: _____

**ATTACHMENT TO CERTIFICATION REGARDING
CORRESPONDENT ACCOUNTS FOR
HUA NAN COMMERCIAL BANK, LTD.,
HEAD OFFICE & ITS OVERSEAS BRANCHES**

| H.O. & OVERSEAS BRANCHES | ADDRESS | BANKING AUTHORITY |
|--------------------------|---|---|
| HEAD OFFICE | No. 123 Songren Rd., Xinyi Dist., Taipei, Taiwan R.O.C. | Central Bank of the Republic of China (Taiwan) Ministry of Finance Financial Supervisory Commission, R.O.C. |
| OFFSHORE BANKING BRANCH | 15F, No. 123 Songren Rd., Xinyi Dist., Taipei, Taiwan R.O.C. | Central Bank of the Republic of China (Taiwan) Ministry of Finance Financial Supervisory Commission, R.O.C. |
| HONG KONG BRANCH | Suite 5601-05, 56th Floor, Central Plaza, 18 Harbour Road, Wanchai, Hong Kong | HKMA Hong Kong |
| SINGAPORE BRANCH | 80 Robinson Road, #14-03, Singapore 068898 | MAS singapore |
| LONDONDN BRANCH | 6th Floor, 140 Fenchurch Street, London EC3M 6BL, U.K. | FCA PRA U.K. |
| NEW YORK AGENCY | 330 Madison Ave., 38th Floor, New York, NY 10017, U.S.A. | FED U.S.A. |
| LOS ANGELES BRANCH | 707 Wilshire Blvd., Suite 3100, Los Angeles, CA 90017, U.S.A. | FED U.S.A. |
| HO CHI MINH CITY BRANCH | 10th Floor, Royal Tower, 235 Nguyen Van Cu Street, District 1, Ho Chi Minh City, Vietnam | State Bank of Vietnam Vietnam |
| SHENZHEN BRANCH | Room 03-04, 18th Floor Tower One, Kerry Plaza, 1 Zhongxinsi Futian District, Shenzhen, China 518048 | China Banking Regulatory Commission China |
| SHANGHAI BRANCH | Unit 03-04, 35 Floor, No.1788 Nan-Jing West Road, Jing-An | China Banking Regulatory Commission |

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| | District, Shanghai, China 200040 | China |
| FUZHOU BRANCH | Suite 2808, 28 Floor, Sheng Long Building, No. 1, Guangming South Road, Taijiang District, Fuzhou City, Fujian Province, China 350000 | China Banking Regulatory Commission China |
| SYDNEY BRANCH | Suite 603 Level 6, 60 Carrington Street, Sydney NSW 2000 Australia | Australian Prudential Regulation Authority Australia |
| MACAU BRANCH | Avenida Doutor Mario Soares, Finance and IT Center of Macau, 17th Floor B, C, Macau | Monetary Authority of Macao (AMCM) |
| SHENZHEN BAOAN SUB- BRANCH | Unit 1901A.B.C, Block D, Wealth Harbour Building, Baoyuan Road, Xixiang Street, Baoan District, Shenzhen, China 518101 | China Banking Regulatory Commission China |
| MANILA BRANCH | Units 2&3, 26F, No. 6789 Ayala Avenue, Makati City, Metro Manila, Philippines | The Bangko Sentral ng Pilipinas (BSP) Philippines |