## the Wolfsberg Group

Financial Institution Name: Location (Country): Yuanta Commercial Bank Co.,LTD.
Taiwan(R.O.C.)

The questionnaire is required to be answered on a Legal Entity (LE) Level. The Financial Institution should answer the questionnaire at the legal entity level including any branches for which the client base, products and control model are materially similar to the LE Head Office. This questionnaire should not cover more than one LE. Each question in the CBDDQ will need to be addressed from the perspective of the LE and on behalf of all of its branches. If a response for the LE differs for one of its branches, this needs to be highlighted and details regarding this difference captured at the end of each sub-section. If a branch's business activity (products offered, client base etc.) is materially different than its Entity Head Office, a separate questionnaire can be completed for that branch.

1 FNT	Question Y & OWNERSHIP	
1	Full Legal Name	
1	Full Legal Name	
		Yuanta Commercial Bank Co.,LTD.
		Tauria Commercial Burk Coyer B.
2	Append a list of foreign branches which are covered by	
	this questionnaire	Please refer to our website.
		https://www.yuantabank.com.tw/bank/en/AboutUs_4.do
		Integs// www.ydantabank.com.tw/ bank/cn/ Abbatost.co
3 ·	Full Legal (Registered) Address	
		1 OF FOR NO 157 SEC 2 DENI ALDO DA ANDIST TAIDELSTY 10500E TAIMAN
		1-2F, 5-20F, NO.157, SEC.3, REN-AI RD., DA-AN DIST., TAIPEI CITY 106085, TAIWAN
4	Full Primary Business Address (if different from above)	
4	Full Frimary Business Address (if different from above)	
		Same as above
5	Date of Entity incorporation/establishment	
-		
		1992/1/14
6	Select type of ownership and append an ownership	
	chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	Yes
6 a 1	If Y, indicate the exchange traded on and ticker	
vai		Walter the second of the secon
	symbol	Yuanta Commercial Bank Co., LTD, is 100% owned by Yuanta Financial Holdings Co., LTD, which is publicly listed
		on Taiwan Stock Exchange Corp.(Stock ticker:2885)
6 b	Member Owned/Mutual	No
6 с	Government or State Owned by 25% or more	No ·
6 d	Privately Owned	No
6 d1	If Y, provide details of shareholders or ultimate	
OUT		
	beneficial owners with a holding of 10% or more	
7	% of the Entity's total shares composed of bearer shares	
,	70 Of the Effety State Shares composed of Source Shares	
		0% of the Entity's total shares composed of bearer shares.
		100% registered by Taiwan Law (The Banking Act of The Republic of China)
8		
	Does the Entity, or any of its branches, operate under an	Van
•		Yes
	Offshore Banking License (OBL)?	Yes
8 a	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es	res
	Offshore Banking License (OBL)?	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an
	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es	res
	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es which operate under an OBL	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an
	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an independent license granted by local authorities.
8 a	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es which operate under an OBL  Does the Bank have a Virtual Bank License or provide	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an
8 a	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es which operate under an OBL  Does the Bank have a Virtual Bank License or provide services only through online channels?	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an independent license granted by local authorities.
8 a	Offshore Banking License (OBL)?  If Y, provide the name of the relevant branch/es which operate under an OBL  Does the Bank have a Virtual Bank License or provide services only through online channels?  Name of primary financial regulator/supervisory	The Offshore Banking Unit is a virtual branch in office of Yuanta commercial bank and operates under an independent license granted by local authorities.
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13		
	Jurisdiction of licensing authority and regulator of	
	ultimate parent	
	'	Financial Supervisory Commission R.O.C. (Taiwan)
14	Select the business areas applicable to the Entity	
14 a	Retail Banking	Yes
14 b	Private Banking	Yes
14 c	Commercial Banking	Yes
14 d	Transactional Banking	Yes
14 e	Investment Banking	No
14 f	Financial Markets Trading	Yes
	Securities Services/Custody	Yes
14 g		
14 h	Broker/Dealer	No
14 i	Multilateral Development Bank	No
14 j	Wealth Management	Yes
14 k	Other (please explain)	
		L
		N.A.
4.5	D (1 5 () 1 2 () 1000()	
15	Does the Entity have a significant (10% or more)	
	portfolio of non-resident customers or does it derive	
	more than 10% of its revenue from non-resident	No
	customers? (Non-resident means customers primarily	
	resident in a different jurisdiction to the location where	
	bank services are provided)	
15 a	If Y, provide the top five countries where the non-	
	resident customers are located	
16	Select the closest value:	
16 a	Number of employees	1001-5000
16 b	Total Assets	Greater than \$500 million
17	Confirm that all responses provided in the above	
	Section are representative of all the LE's branches.	No
17 a	If N, clarify which questions the difference/s relate to	
1/a		
	and the branch/es that this applies to.	Q14: Some types of banking business are not offered by our HK branch e.g. private banking, wealth
		management, and securities services/custody.
18	If appropriate, provide any additional	
	information/context to the answers in this section.	
		N.A.
r======		
2. PRODU	JC 13 CC 3ERVICE3	
19	Does the Entity offer the following products and	
19 a	Correspondent Banking	No
19 a1	IfY	
19 a1a	Does the Entity offer Correspondent Banking	
	services to domestic banks?	
19 a1 h	services to domestic banks?  Does the Entity allow domestic bank clients to	
19 a1b	Does the Entity allow domestic bank clients to	
	Does the Entity allow domestic bank clients to provide downstream relationships?	
19 alb	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in	
	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with	
19 a1c	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?	
	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking	
19 alc	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?	
19 a1c	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships	
19 ald 19 ale	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?	
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19 ald 19 ale 19 alf	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity allow downstream relationships with foreign banks?	
19 ald 19 ale	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking	
19 ald 19 ale 19 alf	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses	
19 ald 19 ald 19 ale 19 alf 19 alg	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?	
19 ald 19 ale 19 alf	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?  Does the Entity allow downstream relationships	
19 alc  19 ald  19 ale  19 alf  19 alg  19 alh	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?  Does the Entity allow downstream relationships with MSBs, MVTSs, or Payment Service Provider	
19 alc  19 ald  19 ale  19 alf  19 alg  19 alh	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?  Does the Entity allow downstream relationships with MSBs, MVTSs, or Payment Service Provider MSBs	
19 alc  19 ald  19 ale  19 alf  19 alg  19 alh  19 alh1  19 alh2	Does the Entity allow domestic bank clients to provide downstream relationships?  Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?  Does the Entity offer Correspondent Banking services to foreign banks?  Does the Entity allow downstream relationships with foreign banks?  Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?  Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?  Does the Entity allow downstream relationships with MSBs, MVTSs, or Payment Service Provider	
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19 a1i Does the Entity have processes and procedures in place to identify downstream relationships with MSBs /MVTSs/PSPs?  19 b Cross-Border Bulk Cash Delivery No  19 c Cross-Border Remittances Yes  19 d Domestic Bulk Cash Delivery No  19 e Hold Mail No	
place to identify downstream relationships with   MSBs /MVTSs/PSPs?	
MSBs /MVTSs/PSPs?           19 b         Cross-Border Bulk Cash Delivery         No           19 c         Cross-Border Remittances         Yes           19 d         Domestic Bulk Cash Delivery         No           19 e         Hold Mail         No	
19 b         Cross-Border Bulk Cash Delivery         No           19 c         Cross-Border Remittances         Yes           19 d         Domestic Bulk Cash Delivery         No           19 e         Hold Mail         No	
19 c         Cross-Border Remittances         Yes           19 d         Domestic Bulk Cash Delivery         No           19 e         Hold Mail         No	
19 d         Domestic Bulk Cash Delivery         No           19 e         Hold Mail         No	
19 e Hold Mail No	
19 e Hold Mail No	
19 f International Cash Letter Yes	
19 g Low Price Securities No	
19 h Payable Through Accounts No	
19 i Payment services to non-bank entities who may then	
offer third party payment services to their Yes	
customers?	
19 il If Y, please select all that apply below?	
19 i2 Third Party Payment Service Providers Yes	
19 i3 Virtual Asset Service Providers (VASPs) Yes	
19 i4 eCommerce Platforms Yes	
19 i5 Other - Please explain	
1915 Other - Flease explain	i
	1
19 j Private Banking Domestic	
19 k Remote Deposit Capture (RDC) No	
19   Sponsoring Private ATMs   No	
19 m Stored Value Instruments No	
19 n Trade Finance Yes	
19 o Virtual Assets No	- "
19 p For each of the following please state whether you	
offer the service to walk-in customers and if so, the	
applicable level of due diligence:	
19 p1 Check cashing service No	
19 pla If yes, state the applicable level of due diligence	1
19 p2 Wire transfers Yes	
19 p2a If yes, state the applicable level of due diligence Due Diligence	
19 p3 Foreign currency conversion Yes	
19 p3a If yes, state the applicable level of due diligence Due Diligence	
19 p4 Sale of Monetary Instruments No	
19 p4a If yes, state the applicable level of due diligence	
19 p5 If you offer other services to walk-in customers	
please provide more detail here, including	
describing the level of due diligence.	
describing the level of due diligence.	
·	1
19 q Other high-risk products and services identified by	
the Entity (please specify)	
N.A.	
110,A	
N.S.	
Confirm that all searches regulated in the above	
20 Confirm that all responses provided in the above	
20 Confirm that all responses provided in the above Section are representative of all the LE's branches.	
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40 a Potential liability created by intermediaries and other third-party providers as appropriate  40 b Corruption risks associated with the countries and industries in which the Entity does business, directly Yes	10		
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40 b Corruption risks associated with the countries and industries in which the Entity does business, directly Yes	ŧ∪ a		Yes
industries in which the Entity does business, directly Yes	10 h		
	70 D		Yes
		or through intermediaries	
40 c Transactions, products or services, including those	10 с		
that involve state-owned or state-controlled entities   Yes		that involve state-owned or state-controlled entities	Yes
or public officials		or public officials	

40 d	Corruption risks associated with gifts and hospitality,	
	hiring/internships, charitable donations and political	Yes
	contributions	
40 e	Changes in business activities that may materially	
40 e		Yes
	increase the Entity's corruption risk	
41	Does the Entity's internal audit function or other	
	independent third party cover ABC Policies and	Yes
	Procedures?	
42	Does the Entity provide mandatory ABC training to:	
42 a	Board and senior Committee Management	Yes
42 b	1st Line of Defence	Yes
42 c	2nd Line of Defence	Yes
42 d	3rd Line of Defence	Yes
42 e	Third parties to which specific compliance activities	
-12 C	subject to ABC risk have been outsourced	Not Applicable
42.5		
42 f	Non-employed workers as appropriate	Not Applicable
	(contractors/consultants)	
43	Does the Entity provide ABC training that is targeted to	Yes
	specific roles, responsibilities and activities?	
44	Confirm that all responses provided in the above	Vec.
	Section are representative of all the LE's branches	Yes
44 a	If N, clarify which questions the difference/s relate to	
77 0	and the branch/es that this applies to.	
	and the branchyes that this applies to.	]
		<b> </b>
45	If appropriate, provide any additional	
43		
	information/context to the answers in this section.	N.A.
		No.
E A KALL	CTE D. CANICTIONS DOLLGIES 9. DEOCEDURES	
	CIT OF BUILDING TO THE CASE CASE CASE CASE	
46	Has the Entity documented policies and procedures	
	consistent with applicable AML, CTF & Sanctions	
	regulations and requirements to reasonably prevent,	
	detect and report:	·
46 a		V.
	Money laundering	l Yes
	Money laundering	Yes Vec
46 b	Terrorist financing	Yes
46 b 46 c	Terrorist financing Sanctions violations	Yes Yes
46 b	Terrorist financing	Yes Yes
46 b 46 c	Terrorist financing Sanctions violations	Yes Yes
46 b 46 c 47	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually?	Yes Yes
46 b 46 c	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and	Yes Yes
46 b 46 c 47 48	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against:	Yes Yes Yes
46 b 46 c 47 48	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards	Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a1	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results?	Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a 48 a1 48 b	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards	Yes Yes Yes Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a1	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results?	Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results?	Yes Yes Yes Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity retain a record of the results?	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and	Yes Yes Yes Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 a	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 a	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 a	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 a	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 c	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit accounts/relationships with shell banks	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 c	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit accounts/relationships with shell banks Prohibit dealing with another entity that provides	Yes
48 b 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e 49 f	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit dealing and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e 49 f	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit dealing and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities	Yes
48 b 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit dealing and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e 49 f	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit accounts/relationships with shell banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents,	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e 49 f	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de	Yes
48 b 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 d 49 g	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e 49 f	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer acents Assess the risks of relationships with domestic and	Yes         Yes
48 b 48 a 48 a 48 a1 48 b 49 b 49 c 49 d 49 d 49 g	Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for Section 311 designated entities Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	Yes

49 i	Define the process for escalating financial crime risk	
,	issues/potentially suspicious activity identified by	Yes
	employees	
49 j	Define the process, where appropriate, for	
,	terminating existing customer relationships due to	Yes
49 k	Define the process for exiting clients for financial	
	crime reasons that applies across the entity,	Yes
	including foreign branches and affiliates	· •
49	Define the process and controls to identify and	
	handle customers that were previously exited for	Yes
	financial crime reasons if they seek to re-establish a	
49 m	Outline the processes regarding screening for	
	sanctions, PEPs and Adverse Media/Negative News	Yes
49 n	Outline the processes for the maintenance of internal	
1511	"watchlists"	Yes
50	Has the Entity defined a risk tolerance statement or	
	similar document which defines a risk boundary around	Yes
	their business?	
51	Does the Entity have record retention procedures that	v
	comply with applicable laws?	Yes
51 a	If Y, what is the retention period?	
	· ·	-
		5 years or more
52	Confirm that all responses provided in the above	
	Section are representative of all the LE's branches	Yes
52 a	If N, clarify which questions the difference/s relate to	
	and the branch/es that this applies to.	
F2	US a consequiate a manifold a manifold the set	
53	If appropriate, provide any additional information/context to the answers in this section.	Q48:Our policies and procedures are set up in accordance with Taiwan's "MLCA", "CTFA", and so on, Those
	information/context to the answers in this section.	regulations and requirements are consistent with FATF 40 Recommendations, Basel Committee on Banking
		Supervision-"Sound management of risks related to money laundering and financing of terrorism" and etc.
6. AML, C	the second of th	
6. AML, C	Does the Entity's AML & CTF EWRA cover the inherent	
54	Does the Entity's AML & CTF EWRA cover the Inherent risk components detailed below:	
54 54 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client	Yes
54 a 54 b	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client  Product	Yes Yes
54 a 54 b 54 c	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client  Product  Channel	Yes Yes Yes
54 a 54 b 54 c 54 d	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography	Yes Yes
54 a 54 b 54 c	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls	Yes Yes Yes
54 a 54 b 54 c 54 d 55	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below:	Yes Yes Yes Yes Yes
54 a 54 b 54 c 54 d 55 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring	Yes Yes Yes Yes Yes Yes
54 a 54 b 54 c 54 d 55 55 a 55 b	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence	Yes Yes Yes Yes Yes Yes Yes
54 a 54 b 54 c 54 d 55 a 55 b 55 c	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening	Yes
54 a 54 b 54 c 54 d 55 c 55 c 55 d 55 e	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education	Yes
54 a 54 b 54 c 54 d 55 a 55 b 55 c 55 d 55 e 55 f 55 g	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information	Yes
54 a 54 b 54 c 54 d 55 a 55 b 55 c 55 d 55 e 55 f 55 g	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?  If N, provide the date when the last AML & CTF EWRA was completed.	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF	Yes
54 a 54 b 54 c 54 d 55 a 55 b 55 c 55 d 55 c 55 d 55 e 55 f 55 g 55 h 56	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?  If N, provide the date when the last AML & CTF EWRA was completed.	Yes
54 a 54 b 54 c 54 c 55 c 55 a 55 c 55 c 55 d 55 c 55 f 55 g 55 h 56 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?  If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below:	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 56 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography	Yes
54 a 54 b 54 c 54 d 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 56 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel	Yes
54 a 54 b 54 a 54 b 54 c 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a  57 a 57 a 57 c 57 d 58	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below:	Yes
54 a 54 b 54 c 54 c 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a  57 a 57 b 57 c 57 d 58 a	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months?  If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls	Yes
54 a 54 b 54 a 54 b 54 c 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a  57 a 57 a 57 c 57 d 58	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence Governance	Yes
54 a 54 a 54 b 554 c 554 d 555 55 a 555 c 555 d 555 e 555 f 55 g 556 a 57 a 57 a 57 a 57 a 57 c 57 d 58 a 58 a 58 b 58 c	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence Governance List Management	Yes
54 a 54 b 54 c 54 c 55 c 55 a 55 b 55 c 55 d 55 e 55 f 55 g 55 h 56 a  57 a 57 b 57 c 57 d 58 a 58 a 58 b	Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:  Client Product Channel Geography Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: Transaction Monitoring Customer Due Diligence PEP Identification Transaction Screening Name Screening against Adverse Media/Negative Training and Education Governance Management Information Has the Entity's AML & CTF EWRA been completed in the last 12 months? If N, provide the date when the last AML & CTF EWRA was completed.  Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence Governance	Yes

58 e		Yes
58 f	Transaction Screening	Yes
58 g	Training and Education	Yes
59	Has the Entity's Sanctions EWRA been completed in the last 12 months?	Yes
59 a	If N, provide the date when the last Sanctions EWRA was completed.	
60	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
60 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
61	If appropriate, provide any additional information/context to the answers in this section.	N.A.
7. KYC, C	DD and EDD	
62		Yes
63	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days?	Yes
64	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
64 a	Customer identification	Yes
64 b	Expected activity	Yes
64 c	Nature of business/employment	Yes
64 d	Ownership structure	Yes Yes
64 e 64 f	Product usage Purpose and nature of relationship	Yes
64 g		Yes
64 h	Source of wealth	Yes
65	Are each of the following identified:	
65 a	Ultimate beneficial ownership	Yes
65 a1	Are ultimate beneficial owners verified?	Yes
65 b	Authorised signatories (where applicable)	Yes
65 c	Key controllers	Yes
65 d	Other relevant parties What is the Entity's minimum (lowest) threshold	Yes
66	applied to beneficial ownership identification?  Does the due diligence process result in customers	25%
67	receiving a risk classification?  If Y, what factors/criteria are used to determine the	Yes
67 a	customer's risk classification? Select all that apply:	•
67 a1	Product Usage	Yes
67 a2	Geography	Yes
67 a3	Business Type/Industry	Yes
67 a4	Legal Entity type	Yes
67 a5	Adverse Information	Yes
67 a6	Other (specify)	Channel usage(e.g. Internet, mobile, phone banking), account opening channel, and so on.
68	For high risk non-individual customers, is a site visit a part of your KYC process?	Yes .
68 a	If Y, is this at:	
68 a1	Onboarding	Yes
68 a2	KYC renewal	Yes
68 a3 68 a4	Trigger event Other	Yes No
68 a4a	If yes, please specify "Other"	
69 69 a	Does the Entity have a risk based approach to screening customers for Adverse Media/Negative News?  If Y, is this at:	Yes
69 a1	Onboarding	Yes
		Yes
69 a1 69 a2	KYC renewal	

	compliance approval?	1103
78	Does EDD require senior business management and/or	Yes
77	If restricted, provide details of the restriction	The bank does not provide services to entitle with restricted business activities.  The restrictions mentioned above refer to customers located in countries classified as serious deficiencies or insufficient compliance with recommendations of international organizations AML/CFT.
		N.A
76 y	Other (specify)	
76 x	Virtual Asset Service Providers	Always subject to EDD
76 w	Used Car Dealers	EDD on risk-based approach
76 v	Unregulated charities	Restricted
76 t 76 u	Shell banks Travel and Tour Companies	Prohibited EDD on risk-based approach
76 s	Regulated charities	EDD on risk-based approach
76 r	Red light businesses/Adult entertainment	EDD on risk-based approach
76 q	Precious metals and stones	EDD on risk-based approach
76 p	PEP Related	EDD on risk-based approach
76 o	PEP Close Associates	EDD on risk-based approach
76 n	PEPs	EDD on risk-based approach
76 m	Payment Service Providers	EDD on risk-based approach
76 I	Nuclear power	Prohibited
76 k	Non-resident customers	EDD on risk-based approach
76 i 76 j	Non-account customers Non-Government Organisations	EDD on risk-based approach EDD on risk-based approach
76 h	MSB/MVTS customers	Prohibited  EDD on visit hose de appeach
76 g	Marijuana-related Entities	Prohibited
76 f	General Trading Companies	EDD on risk-based approach
76 e	Gambling customers	Prohibited
76 d	Extractive industries	EDD on risk-based approach
76 c	Correspondent Banking Principles 2022? Embassies/Consulates	EDD on risk-based approach
	contain the elements as set out in the Wolfsberg	
76 b1	If EDD or restricted, does the EDD assessment	
76 b	Respondent Banks	Do not have this category of customer or industry
76 a	Arms, defence, military	Restricted
	prohibited by the Entity's FCC programme?	
, 0	industries are subject to EDD and/or are restricted, or	
76	and past periodic or trigger event due diligence From the list below, which categories of customers or	
75	Does the Entity maintain and report metrics on current	Yes
		least every 7 years. For some event trigger cases, we review KYC information and conduct CDD/EDD on a timely basis.
74 a6	Other (Please specify)	For high-risk customers, we update their KYC information at least once a year; for medium-risk customers, we update their KYC information at least every 5 years; for low-risk customers, we update their KYC information at
74 a5	Trigger-based or perpetual monitoring reviews	Yes
74 a4	5 years or more	Yes
74 a3	3 – 4 years	No
74 a2	1 – 2 years	Yes
74 al	Less than one year	No
74 a	If yes, select all that apply:	
/ <del>-</del>	rating (Periodic Reviews)?	Yes
74	determine whether they are PEPs, or controlled by PEPs?  Is KYC renewed at defined frequencies based on risk	
75	to review and escalate potential matches from screening customers and connected parties to	Yes
72	What is the method used by the Entity to screen PEPs?  Does the Entity have policies, procedures and processes	Combination of automated and manual
71 a3	Trigger event	Yes
71 a2	KYC renewal	Yes
71 a1	Onboarding	Yes
71 a	If Y, is this at:	
	they are PEPs, or controlled by PEPs?	
/1	customers and connected parties to determine whether	Yes
71	Adverse Media/Negative News?  Does the Entity have a risk based approach to screening	
70	What is the method used by the Entity to screen for	Combination of automated and manual

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78 a	If Y indicate who provides the approval:	Senior business management
79	Does the Entity have specific procedures for	Serior business management
, ,	onboarding entities that handle client money such as	Yes
	lawyers, accountants, consultants, real estate agents?	
80	Does the Entity perform an additional control or quality	Yes
81	review on clients subject to EDD?  Confirm that all responses provided in the above	
	Section are representative of all the LE's branches	Yes
81 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
82	If appropriate, provide any additional information/context to the answers in this section.	N.A.
8. MONI	TORING & REPORTING	
83	Does the Entity have risk based policies, procedures and	
	monitoring processes for the identification and reporting of suspicious activity?	Yes
84	What is the method used by the Entity to monitor transactions for suspicious activities?	Combination of automated and manual
84 a	If manual or combination selected, specify what type of transactions are monitored manually	Transactions are monitored either by system, front line staff or combination of the two. For example, trade finance and safe deposit box related are done manually.
84 b	If automated or combination selected, are internal system or vendor-sourced tools used?	Both
84 bl	If 'Vendor-sourced tool' or 'Both' selected, what is the name of the vendor/tool?	Patriot Officer
84 b2	When was the tool last updated?	< 1 year
84 b3	When was the automated Transaction Monitoring application last calibrated?	< 1 year
85	Does the Entity have regulatory requirements to report suspicious transactions?	Yes
85 a	If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?	Yes
86	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	Yes
87	Does the Entity have a data quality management programme to ensure that complete data for all transactions are subject to monitoring?	Yes
88	Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner?	Yes
89	Does the Entity have processes in place to send Requests for Information (RFIs) to their customers in a timely manner?	Yes
90	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
90 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
91	If appropriate, provide any additional information/context to the answers in this section.	N.A.
9 PAYM	ENT TRANSPARENCY	
92	Does the Entity adhere to the Wolfsberg Group	Yes
···	Payment Transparency Standards?	165

93	Does the Entity have policies, procedures and processes	
	to comply with and have controls in place to ensure	<b> </b>
	compliance with:	l i
		N
93 a	FATF Recommendation 16	Yes
93 b	Local Regulations	Yes
93 b1	If Y, specify the regulation	Money Laundering Control Act, Counter-Terrorism Financing Act, Regulations Governing AML of Finanacial Institutions,Regulations Governing Internal Audit and Internal Control System of AML and CTF of Banking Business and other Financial Institutions designated by the FSC.
93 c	If N, explain	
94	Does the Entity have controls to support the inclusion of required and accurate originator information in cross border payment messages?	Yes
95	Does the Entity have controls to support the inclusion of required beneficiary information cross-border payment messages?	Yes
95 a	If Y, does the Entity have procedures to include beneficiary address including country in cross border payments?	Yes
96	Confirm that all responses provided in the above	Yes
	Section are representative of all the LE's branches	
96 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	·
97	If appropriate, provide any additional information/context to the answers in this section.	Q95a:Yuanta Commercial Bank has to acquire complete payment message including name of beneficiary and remitter, address, account NO., docs evidence(if necessary) and conduct screening procedeure. However, the address of beneficiary is optional. It depends on the the requirements in different countries.
10. SANC	TIONS	
98	Does the Entity have a Sanctions Policy approved by	
	management regarding compliance with sanctions law applicable to the Entity, including with respect to its business conducted with, or through accounts held at foreign financial institutions?	Yes
99	Does the Entity have policies, procedures, or other controls reasonably designed to prevent the use of	
	another entity's accounts or services in a manner causing the other entity to violate sanctions prohibitions applicable to the other entity (including prohibitions within the other entity's local jurisdiction)?	Yes
100	Does the Entity have policies, procedures or other	
	controls reasonably designed to prohibit and/or detect actions taken to evade applicable sanctions prohibitions, such as stripping, or the resubmission and/or masking, of sanctions relevant information in cross border transactions?	Yes
101	Does the Entity screen its customers, including	
	beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?	Yes
102	What is the method used by the Entity for sanctions screening?	Both Automated and Manual
102 a	If 'automated' or 'both automated and manual'	
102 a1	Are internal system of vendor-sourced tools used?	Roth
102 a1a	If a 'vendor-sourced tool' or 'both' selected,	OUT TO THE PROPERTY OF THE PRO
102 818	what is the name of the vendor/tool?	Patriot Officer
102 a2	When did you last test the effectiveness (of finding true matches) and completeness (lack of missing data) of the matching configuration of the automated tool? (If 'Other' please explain in	< 1 year
103	Does the Entity screen all sanctions relevant data, including at a minimum, entity and location information, contained in cross border transactions	Yes
104	What is the method used by the Entity?	Combination of automated and manual
105	Does the Entity have a data quality management	
	programme to ensure that complete data for all transactions are subject to sanctions screening?	Yes
106	Select the Sanctions Lists used by the Entity in its sanctions screening processes:	
106 a	Consolidated United Nations Security Council	Used for screening customers and beneficial owners and for filtering transactional data
	Sanctions List (UN)	assa is salasing easieries and serional orintals and for intenting transactions and

106 b	United States Department of the Treasury's Office of Foreign Assets Control (OFAC)	Used for screening customers and beneficial owners and for filtering transactional data
106 с	Office of Financial Sanctions Implementation HMT	Used for screening customers and beneficial owners and for filtering transactional data
106 d	European Union Consolidated List (EU)	Used for screening customers and beneficial owners and for filtering transactional data
106 e	Lists maintained by other G7 member countries	Used for screening customers and beneficial owners and for filtering transactional data
106 f	Other (specify)	The Ministry of Justice of the Republic of China (FINCEN):Section 311 UKHMT
107	When regulatory authorities make updates to their Sanctions list, how many business days before the entity updates their active manual and/or automated screening systems against:	
107 a	Customer Data	Same day to 2 business days
107 b	Transactions	Same day to 2 business days
108	Does the Entity have a physical presence, e.g. branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU or G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	No
109	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
109 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
110	If appropriate, provide any additional information/context to the answers in this section.	N.A.
11. TRAIN	ING & EDUCATION	
111	Does the Entity provide mandatory training, which includes:	
111 a	Identification and reporting of transactions to government authorities	Yes
111 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	Yes
111 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	Yes
111 d	New issues that occur in the market, e.g. significant regulatory actions or new regulations	Yes
111 e	Conduct and Culture	Yes
111 f	Fraud	Yes
112	Is the above mandatory training provided to:	
112 a	Board and Senior Committee Management	Yes
112 b	1st Line of Defence	Yes
112 c	2nd Line of Defence	Yes
112 d	3rd Line of Defence	Yes
112 e	Third parties to which specific FCC activities have been outsourced	Not Applicable
112 f	Non-employed workers (contractors/consultants)	Not Applicable
113	Does the Entity provide AML, CTF & Sanctions training that is targeted to specific roles, responsibilities and high risk products, services and activities?	Yes
114	Does the Entity provide customised training for AML, CTF and Sanctions staff?	Yes
114 114 a	Does the Entity provide customised training for AML, CTF and Sanctions staff?  If Y, how frequently is training delivered?	Yes Annually

115 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
116	If appropriate, provide any additional information/context to the answers in this section.	Q112e: We require third parties to provide integrity management policy and sustainability guideline, which need to include related AML&CFT, ABCregulation. Q112f: Non-employed workers do not handle related business mentioned above.
12 OUALI	TY ASSURANCE /COMPLIANCE TESTING	
117	Does the Entity have a program wide risk based Quality	
117	Assurance programme for financial crime (separate from the independent Audit function)?	Yes
118	Does the Entity have a program wide risk based Compliance Testing process (separate from the independent Audit function)?	Yes
119	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
119 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
120	If appropriate, provide any additional information/context to the answers in this section.	N.A.
12 ALIDIT		
13. AUDIT 121	In addition to inspections by the government	
	supervisors/regulators, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, CTF, ABC, Fraud and Sanctions policies and practices on a regular basis?	Yes
122	How often is the Entity audited on its AML, CTF, ABC, Fraud and Sanctions programme by the following:	
122 a	Internal Audit Department	Yearly
122 b	External Third Party	Yearly
123	Does the internal audit function or other independent third party cover the following areas:	
123 a	AML, CTF, ABC, Fraud and Sanctions policy and procedures	Yes
123 b	Enterprise Wide Risk Assessment	Yes
123 c	Governance	Yes
123 d	KYC/CDD/EDD and underlying methodologies	Yes
123 e	Name Screening & List Management	Yes
123 f	Reporting/Metrics & Management Information	Yes
123 g	Suspicious Activity Filing	Yes .
123 h	Technology	Yes
123 i	Transaction Monitoring	Yes
12 <b>3</b> j	Transaction Screening including for sanctions	Yes
123 k	Training & Education	Yes
123	Other (specify)	N.A.
124	Are adverse findings from internal & external audit tracked to completion and assessed for adequacy and completeness?	Yes
125	Confirm that all responses provided in the above section are representative of all the LE's branches	Yes
125 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
126	If appropriate, provide any additional	
	information/context to the answers in this section.	N.A.
14 FDA	ID :	<u></u>
14. FRAU		
127	Does the Entity have policies in place addressing fraud	Yes
128	Does the Entity have a dedicated team responsible for preventing & detecting fraud?	Yes

129	Does the Entity have real time monitoring to detect	Yes
130	Do the Entity's processes include gathering additional information to support its fraud controls, for example: IP address, GPS location, and/or device ID?	Yes
131	Confirm that all responses provided in the above section are representative of all the LE's branches	Yes
131 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
132	If appropriate, provide any additional information/context to the answers in this section.	N.A.

Dac	aration	Statement

Wolfsberg Group Correspondent Banking Due Diligence Questionnaire 2023 (CBDDQ V1.4) Declaration Statement (To be signed by Global Head of Correspondent Banking or equivalent position holder AND Group Money Laundering Prevention Officer, Global Head of Anti- Money Laundering, Chief Compliance Officer, Global Head of Financial Crimes Compliance OR equivalent)
Yuanta Commercial Bank CO.,LTD (Financial Institution name) is fully committed to the fight against financial crime and makes every effort to remain in full compliance with all applicable financial crime laws, regulations and standards in all of the jurisdictions in which it does business and holds accounts.
The Financial Institution understands the critical importance of having effective and sustainable controls to combat financial crime in order to protect its reputation and to meet its legal and regulatory obligations.
The Financial Institution recognises the importance of transparency regarding parties to transactions in international payments and has adopted/is committed to adopting these standards.
The Financial Institution further certifies it complies with / is working to comply with the Wolfsberg Correspondent Banking Principles and the Wolfsberg Trade Finance Principles. The information provided in this Wolfsberg CBDDQ will be kept current and will be updated no less frequently than every eighteen months.
The Financial Institution commits to file accurate supplemental information on a timely basis.

I, \_\_\_Julie Chou\_\_\_\_\_\_(Global Head of Correspondent Banking or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Institution.

I, \_\_Ming-Hung Tsai\_\_\_\_\_\_ (MLRO or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that tam authorised to execute this declaration on behalf of the Financial Institution.

OCT 0 1 2024

(Signature & Date)

OCT 0 1 2024 (Signature & Date)