

Senior Management and Beneficial Ownership Declaration

(Only applicable to legal persons, entities, and trustees)

The issuer _____ of this undertaking (hereinafter “the Issuer”), by virtue of banking with First Commercial Bank, do declare that the information below about beneficial owner(s) (Note 1) has been filled out based on facts, that **the attached latest registration documents, articles of association/incorporation (version for articles of association/incorporation: ____/____/____(day/month/year),** and related documents are accurate, and that the Issuer is responsible for all legal consequences of providing false information. The Issuer further agrees to immediately notify First Commercial Bank in writing of any changes to the declared facts, provide relevant documents, and take such actions as required by First Commercial Bank (including but not limited to closing the account):

I. If the identity of the Issuer or the person who holds controlling interest over the Issuer meets any of entity types or the criteria listed below (please check one, but do not check any if none applies), it does not need to fill in the columns about beneficial owner(s) under the third item, but these columns regarding the information of senior management must be filled out. If the proviso of Subparagraph 3, Paragraph 1 of Article 6 of *Regulations Governing Anti-Money Laundering of Financial Institutions* applies (Note 2) or **bearer shares have been issued, it is still necessary to fill in the columns about beneficial owner(s) under the third item.**

- ☐ 1 a R.O.C government entity;
- ☐ 2 an enterprise owned by the R.O.C government;
- ☐ 3 a foreign government entity;
- ☐ 4 a public company and its subsidiaries;
- ☐ 5 an entity listed on a stock exchange outside R.O.C. that is subject to regulatory disclosure requirements of its principal shareholders, and the subsidiaries of such entity;
- ☐ 6 a financial institution supervised by the R.O.C. government, and investment vehicles managed by such institution;
- ☐ 7 a financial institution established outside R.O.C. that is subject to and supervised for compliance with AML/CFT requirements consistent with standards set by the Financial Action Task Force on Money Laundering (FATF), and an investment vehicle managed by such institution;
- ☐ 8 a fund administered by a R.O.C. government entity;
- ☐ 9 an employee stock ownership trust or an employee savings trust; or
- ☐ 10 a property insurance, injury insurance, health insurance, or an insurance product with no policy value reserve that First Commercial Bank offers. And the proviso of Subparagraph 3, Paragraph 1 of Article 6 of *Regulations Governing Anti-Money Laundering of Financial Institutions* does not apply at the time the Issuer purchased such an insurance product.



II. Identity Information of Senior Management (required, if more space is needed, please fill out the addendum.)

Item No.	Name	Identity document number	Date of birth (DD/MM/YYYY)	Nationality	Job title	Remarks
1					<input type="checkbox"/> CEO <input type="checkbox"/> CFO <input type="checkbox"/> Other:	
2					<input type="checkbox"/> CEO <input type="checkbox"/> CFO <input type="checkbox"/> Other:	
3					<input type="checkbox"/> CEO <input type="checkbox"/> CFO <input type="checkbox"/> Other:	

* If the senior manager is not a national, put her/his UI No. in the “Identity document number” column. If she/he doesn't have UI No., fill out her/his birth date in the format of yyyymmdd (8 digits) followed immediately by the first two letter of her/his English name.

III. Beneficial owner(s)

(I.) Type

Type of beneficial owner	Required verification document (Note 3)
<input type="checkbox"/> 1. When the Issuer is a legal person or an entity, the ultimate natural person directly or indirectly controls more than 25% of the shares or capital 	1. Documents such as the list of stockholders or the Issuer's registered information in Company Transparency Platform, showing stockholder's name, shares, and percentage of share 2. The latest registration documents, articles of association/incorporation, company's annual report, partnership agreement, Certification of Incumbency, or such similar document of ownership 3. Identification document of the beneficial owner 4. If the Issuer has legal person shareholders, it is also necessary to attach documents such as the legal person shareholders' list of stockholders or registered information in Company Transparency Platform, showing stockholder's name, shares, and percentage of share of those legal person stockholders.
<input type="checkbox"/> 2. When the Issuer is a legal person or an entity, the ultimate natural person exercises control over the Issuer through other means not listed above. (<u>Please fill in the specific reasons for judgement</u>) *reason: 	
<input type="checkbox"/> 3. When the Issuer is a legal person or an entity, the natural person is not either one listed above but holds the position as a senior manager.	
<input type="checkbox"/> 4. When the Issuer is a trustee of trust (including legal agreements that are similar to a trust), the settlor, the trustee, the trust supervisor, the beneficiary of the trust relationship and any other person exercising ultimate effective control over the trust, or the person in equivalent or similar position should be identified.	1. Documents, such as a trust agreement, to verify the settlor, the trustee, the trust supervisor, the beneficiary, and any other person ultimately exercising effective control over the trust, or the person in equivalent or similar position. 2. If the above-mentioned party of a trust is not a natural person, then articles of incorporation or similar rights documents of such non-natural person and the identification document of their ultimate natural person should be required

(II.) Identity information (If more space is needed, please fill out the addendum)

Item No.	Name	Identity document number	Date of birth (DD/MM/YYYY)	Nationality	Job title	Type No.
1						
		Mailing address:				
2						
		Mailing address:				
3						
		Mailing address:				

IV. The shareholding structure:

- ☐ No need to judge (the issuer who meets the identity or the criteria of the item I.)
- ☐ Less than three layers (all of shareholders are natural persons on the shareholders' list of the Issuer) or no ownership structure
- ☐ Three layers or more.

V. Have bearer shares been issued by the Issuer or its legal person shareholder(s) (hereinafter referred to as a primary stockholder) who directly or indirectly holds ten percent or more of shares of the Issuer? (Please check one of the choices based on facts)

- ☐ 0 Neither the Issuer nor its primary stockholders is a company limited by shares.
- ☐ 1 The articles of association/incorporation of the Issuer or the primary stockholder does not allow the issuance of bearer shares.
- ☐ 2 The articles of association/incorporation of the Issuer or the primary stockholder does allow the issuance of bearer shares, and have been issued (please provide the following information)

The beneficial owner of the bearer shares	Name	Identity document number	Date of birth (DD/MM/YYYY)	Nationality

- ☐ 3 The articles of association/incorporation of the Issuer or the primary stockholder does allow the issuance of bearer shares but such shares have never been issued, or bearer shares were issued in the past but there are now no bearer shares outstanding.

*** The Issuer (customer of First Commercial Bank) shall request bearer share holders who ultimately have a controlling ownership interest to notify the Issuer to record their identity, and notify First Commercial Bank immediately when the identity of such share holder changes. In addition, after each shareholders' meeting, the Issuer shall provide First Commercial Bank with the updated information of beneficial owner(s) and identification information of any shareholder that holds a certain percentage (or above) of bearer shares. However, the Issuer should notify First Commercial Bank immediately if, through other means, it is aware of the identity of any shareholder who ultimately has a controlling ownership interest changes.**

*** When the Issuer who is a company limited by shares and has been issuing bearer shares intends to establish new or additional business relationships with First Commercial Bank, First Commercial Bank reserves the right to decide whether to establish new or additional business relationships.**

To: First Commercial Bank

Undertaking issued by: _____ (Please affix the original signature/seal kept in the Bank's record, or affix the seal on the Registration(Change) Form)

ID number:

Legal representative:

The address of the office as registered (required):

The address of the primary place of business (required):

Date: ____ day ____ month ____ year

Documents verified by:	Processed by/ Seal verified by:	Approved by

Bank seal:

Is addendum attached? ☐ Yes, ____ pages; ☐ No.

Note 1: Beneficial owner: a natural person who ultimately owns or controls a customer and/or the natural person on whose behalf a transaction is being conducted, including those persons who exercise ultimate effective control over a legal person or legal arrangement.

Note 2: The proviso of Subparagraph 3, Paragraph 1 of Article 6 of *Regulations Governing Anti-Money Laundering of Financial Institutions* states:

- (1) Where the customers are from or in countries and jurisdictions known to have inadequate AML / CFT regimes, including but not limited to those which designated by international organizations on AML / CFT as countries or regions with serious deficiencies in their AML / CFT regime , and other countries or regions that do not or insufficiently comply with the recommendations of international organizations on AML / CFT as forwarded by the Financial Supervisory Commission (FSC) ; or
- (2) Where there is a suspicion of money laundering or terrorist financing in relation to the customer or the transaction.

Note 3: In accordance with Subparagraph 5, Paragraph 1 of Article 3 of *Regulations Governing Anti-Money Laundering of Financial Institutions* states that Articles of association/incorporation or similar power documents may be waived if customers/entities are just engaged in electronic stored value card registration business or if the customer who is an organization (such as temples, associations of people hailing from the same town, and family associations) acknowledges that it does not provide a charter or similar power document.