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|-----------------------------|------------------------------|
| Financial Institution Name: | Taishin Securities Co., Ltd. |
| Location (Country) :        | 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.

| No #                             | Question                                                                                          | Answer                                                                                      |
|----------------------------------|---------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
| <b>1. ENTITY &amp; OWNERSHIP</b> |                                                                                                   |                                                                                             |
| 1                                | Full Legal Name                                                                                   | Taishin Securities Co., Ltd.                                                                |
| 2                                | Append a list of foreign branches which are covered by this questionnaire                         | N/A                                                                                         |
| 3                                | Full Legal (Registered) Address                                                                   | 2F., No. 44, Sec. 2, Zhongshan N. Rd., Zhongshan Dist., Taipei City 104016, Taiwan (R.O.C.) |
| 4                                | Full Primary Business Address (if different from above)                                           | N/A                                                                                         |
| 5                                | Date of Entity incorporation/establishment                                                        | 1990.01.15                                                                                  |
| 6                                | Select type of ownership and append an ownership chart if available                               |                                                                                             |
| 6 a                              | Publicly Traded (25% of shares publicly traded)                                                   | <input checked="" type="checkbox"/> No                                                      |
| 6 a1                             | If Y, indicate the exchange traded on and ticker symbol                                           | N/A                                                                                         |
| 6 b                              | Member Owned/Mutual                                                                               | <input checked="" type="checkbox"/> No                                                      |
| 6 c                              | Government or State Owned by 25% or more                                                          | <input checked="" type="checkbox"/> No                                                      |
| 6 d                              | Privately Owned                                                                                   | <input checked="" type="checkbox"/> Yes                                                     |
| 6 d1                             | If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more | TS Financial Holding Co., Ltd.                                                              |
| 7                                | % of the Entity's total shares composed of bearer shares                                          | None                                                                                        |
| 8                                | Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL)?         | <input checked="" type="checkbox"/> No                                                      |
| 8 a                              | If Y, provide the name of the relevant branch/es which operate under an OBL                       |                                                                                             |
| 9                                | Does the Bank have a Virtual Bank License or provide services only through online channels?       | <input checked="" type="checkbox"/> No                                                      |
| 10                               | Name of primary financial regulator/supervisory authority                                         | Financial Supervisory Commission ROC(Taiwan)                                                |
| 11                               | Provide Legal Entity Identifier (LEI) if available.                                               | 2549008AL2RBF4T9L642                                                                        |

|                                   |                                                                                                                                                                                                                                                                                                 |                                                               |
|-----------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|
| 12                                | Provide the full legal name of the ultimate parent (if different from the Entity completing the DDQ)                                                                                                                                                                                            | TS Financial Holding Co., Ltd.                                |
| 13                                | Jurisdiction of licensing authority and regulator of ultimate parent                                                                                                                                                                                                                            | Financial Supervisory Commission ROC(Taiwan)                  |
| 14                                | Select the business areas applicable to the Entity                                                                                                                                                                                                                                              |                                                               |
| 14 a                              | Retail Banking                                                                                                                                                                                                                                                                                  | <input type="checkbox"/> No                                   |
| 14 b                              | Private Banking                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> No                                   |
| 14 c                              | Commercial Banking                                                                                                                                                                                                                                                                              | <input type="checkbox"/> No                                   |
| 14 d                              | Transactional Banking                                                                                                                                                                                                                                                                           | <input type="checkbox"/> No                                   |
| 14 e                              | Investment Banking                                                                                                                                                                                                                                                                              | <input type="checkbox"/> No                                   |
| 14 f                              | Financial Markets Trading                                                                                                                                                                                                                                                                       | <input type="checkbox"/> No                                   |
| 14 g                              | Securities Services/Custody                                                                                                                                                                                                                                                                     | <input checked="" type="checkbox"/> Yes                       |
| 14 h                              | Broker/Dealer                                                                                                                                                                                                                                                                                   | <input checked="" type="checkbox"/> Yes                       |
| 14 i                              | Multilateral Development Bank                                                                                                                                                                                                                                                                   | <input type="checkbox"/> No                                   |
| 14 j                              | Wealth Management                                                                                                                                                                                                                                                                               | <input checked="" type="checkbox"/> Yes                       |
| 14 k                              | Other (please explain)                                                                                                                                                                                                                                                                          | Underwriting                                                  |
| 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 customers? (Non-resident means customers primarily resident in a different jurisdiction to the location where bank services are provided) | <input type="checkbox"/> No                                   |
| 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                                                                                                                                                                                                                                                                             | <input checked="" type="checkbox"/> 2500-2700                 |
| 16 b                              | Total Assets                                                                                                                                                                                                                                                                                    | <input checked="" type="checkbox"/> Greater than \$25 billion |
| 17                                | Confirm that all responses provided in the above Section are representative of all the LE's branches.                                                                                                                                                                                           | <input checked="" type="checkbox"/> Yes                       |
| 17 a                              | If N, clarify which questions the difference/s relate to and the branch/es that this applies to.                                                                                                                                                                                                |                                                               |
| 18                                | If appropriate, provide any additional information/context to the answers in this section.                                                                                                                                                                                                      |                                                               |
| <b>2. PRODUCTS &amp; SERVICES</b> |                                                                                                                                                                                                                                                                                                 |                                                               |
| 19                                | Does the Entity offer the following products and services:                                                                                                                                                                                                                                      |                                                               |
| 19 a                              | Correspondent Banking                                                                                                                                                                                                                                                                           | <input type="checkbox"/> No                                   |
| 19 a1                             | If Y                                                                                                                                                                                                                                                                                            |                                                               |
| 19 a1a                            | Does the Entity offer Correspondent                                                                                                                                                                                                                                                             |                                                               |

|         |                                                                                                                                          |                                        |
|---------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
|         | Banking services to domestic banks?                                                                                                      |                                        |
| 19 a1b  | Does the Entity allow domestic bank clients to provide downstream relationships?                                                         |                                        |
| 19 a1c  | Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?                         |                                        |
| 19 a1d  | Does the Entity offer Correspondent Banking services to foreign banks?                                                                   |                                        |
| 19 a1e  | Does the Entity allow downstream relationships with foreign banks?                                                                       |                                        |
| 19 a1f  | Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?                          |                                        |
| 19 a1g  | Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTs)? |                                        |
| 19 a1h  | Does the Entity allow downstream relationships with MSBs, MVTs, or Payment Service Provider (PSPs)?                                      |                                        |
| 19 a1h1 | MSBs                                                                                                                                     |                                        |
| 19 a1h2 | MVTs                                                                                                                                     |                                        |
| 19 a1h3 | PSPs                                                                                                                                     |                                        |
| 19 a1i  | Does the Entity have processes and procedures in place to identify downstream relationships with MSBs /MVTs/PSPs?                        |                                        |
| 19 b    | Cross-Border Bulk Cash Delivery                                                                                                          | <input checked="" type="checkbox"/> No |
| 19 c    | Cross-Border Remittances                                                                                                                 | <input checked="" type="checkbox"/> No |
| 19 d    | Domestic Bulk Cash Delivery                                                                                                              | <input checked="" type="checkbox"/> No |
| 19 e    | Hold Mail                                                                                                                                | <input checked="" type="checkbox"/> No |
| 19 f    | International Cash Letter                                                                                                                | <input checked="" type="checkbox"/> No |
| 19 g    | Low Price Securities                                                                                                                     | <input checked="" type="checkbox"/> No |
| 19 h    | Payable Through Accounts                                                                                                                 | <input checked="" type="checkbox"/> No |
| 19 i    | Payment services to non-bank entities who may then offer third party payment services to their customers?                                | <input checked="" type="checkbox"/> No |
| 19 i1   | If Y, please select all that apply below?                                                                                                |                                        |
| 19 i2   | Third Party Payment Service Providers                                                                                                    |                                        |
| 19 i3   | Virtual Asset Service Providers (VASPs)                                                                                                  |                                        |
| 19 i4   | eCommerce Platforms                                                                                                                      |                                        |
| 19 i5   | Other - Please explain                                                                                                                   |                                        |
| 19 j    | Private Banking                                                                                                                          | <input checked="" type="checkbox"/> No |

|                                              |                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 19 k                                         | Remote Deposit Capture (RDC)                                                                                                                | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 l                                         | Sponsoring Private ATMs                                                                                                                     | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 m                                         | Stored Value Instruments                                                                                                                    | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 n                                         | Trade Finance                                                                                                                               | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 o                                         | Virtual Assets                                                                                                                              | <input checked="" type="checkbox"/> 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: | 19P3. Foreign currency conversion will only be provided to our customers under the securities transactions settled by foreign currency requirements.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 19 p1                                        | Check cashing service                                                                                                                       | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 p1a                                       | If yes, state the applicable level of due diligence                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 19 p2                                        | Wire transfers                                                                                                                              | <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 19 p2a                                       | If yes, state the applicable level of due diligence                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 19 p3                                        | Foreign currency conversion                                                                                                                 | <input checked="" type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 19 p3a                                       | If yes, state the applicable level of due diligence                                                                                         | due diligence.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 19 p4                                        | Sale of Monetary Instruments                                                                                                                | <input checked="" type="checkbox"/> 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.          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 19 q                                         | Other high-risk products and services identified by the Entity (please specify)                                                             | <p>19q Our following business was identified as high-risk products and services</p> <ol style="list-style-type: none"> <li>1. Providing brokerage services of securities on the Taiwan Stock Exchange (TWSE), Taipei Exchange (TPEX), and TPEX Emerging Stock Board (ESB).</li> <li>2. Providing services ranging from margin purchases and short sales of securities</li> <li>3. Providing non-restricted purpose loan business</li> <li>4. Retaining customers' settlement funds in our Settlement Account with customers' consent</li> <li>5. Offering sub-brokerage services for trading foreign securities.</li> <li>6. Accepting customers' asset allocation execution through trust</li> <li>7. Engaging in bonds sales and trading execution, bond outright transactions, Repo transactions</li> <li>8. Engaging in proprietary trading and brokerage of foreign bonds</li> <li>9. Conducting foreign exchange financial derivative business</li> <li>10. Engaging in interest rate derivatives</li> <li>11. Buying and selling of foreign currency denominated securities.</li> </ol> |
| 20                                           | Confirm that all responses provided in the above Section are representative of all the LE's branches.                                       | <input checked="" type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 20 a                                         | If N, clarify which questions the difference/s relate to and the branch/es that this applies to.                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 21                                           | If appropriate, provide any additional information/context to the answers in this section.                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>3. AML, CTF &amp; SANCTIONS PROGRAMME</b> |                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 22                                           | Does the Entity have a programme that sets minimum AML, CTF and Sanctions                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

|                                         |                                                                                                                                                                             |                                                                                                                                         |
|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
|                                         | standards regarding the following components:                                                                                                                               |                                                                                                                                         |
| 22 a                                    | Appointed Officer with sufficient                                                                                                                                           | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 b                                    | Adverse Information Screening                                                                                                                                               | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 c                                    | Beneficial Ownership                                                                                                                                                        | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 d                                    | Cash Reporting                                                                                                                                                              | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 e                                    | CDD                                                                                                                                                                         | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 f                                    | EDD                                                                                                                                                                         | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 g                                    | Independent Testing                                                                                                                                                         | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 h                                    | Periodic Review                                                                                                                                                             | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 i                                    | Policies and Procedures                                                                                                                                                     | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 j                                    | PEP Screening                                                                                                                                                               | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 k                                    | Risk Assessment                                                                                                                                                             | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 l                                    | Sanctions                                                                                                                                                                   | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 m                                    | Suspicious Activity Reporting                                                                                                                                               | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 n                                    | Training and Education                                                                                                                                                      | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 22 o                                    | Transaction Monitoring                                                                                                                                                      | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 23                                      | How many full time employees are in the Entity's AML, CTF & Sanctions Compliance Department?                                                                                | <input checked="" type="checkbox"/> 11-100                                                                                              |
| 24                                      | Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee? If N, describe your practice in Question 29. | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 25                                      | Does the Board receive, assess, and challenge regular reporting on the status of the AML, CTF, & Sanctions programme?                                                       | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 26                                      | Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?                                                                        | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 26 a                                    | If Y, provide further details                                                                                                                                               | We only use the Dow Jones screening platform for name screening, but all customer identification and due diligence are conducted by us. |
| 27                                      | Does the entity have a whistleblower policy?                                                                                                                                | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 28                                      | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                                        | <input checked="" type="checkbox"/> Yes                                                                                                 |
| 28 a                                    | If N, clarify which questions the difference/s relate to and the branch/es that this applies to.                                                                            |                                                                                                                                         |
| 29                                      | If appropriate, provide any additional information/context to the answers in this section.                                                                                  |                                                                                                                                         |
| <b>4. ANTI BRIBERY &amp; CORRUPTION</b> |                                                                                                                                                                             |                                                                                                                                         |
| 30                                      | Has the Entity documented policies and                                                                                                                                      | <input checked="" type="checkbox"/> Yes                                                                                                 |

|      |                                                                                                                                                                                                                                     |                                                                      |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|
|      | procedures consistent with applicable ABC regulations and requirements to reasonably prevent, detect and report bribery and corruption?                                                                                             |                                                                      |
| 31   | Does the Entity have an enterprise wide programme that sets minimum ABC standards?                                                                                                                                                  | <input checked="" type="checkbox"/> Yes                              |
| 32   | Has the Entity appointed a designated officer or officers with sufficient experience/expertise responsible for coordinating the ABC programme?                                                                                      | <input checked="" type="checkbox"/> Yes                              |
| 33   | Does the Entity have adequate staff with appropriate levels of experience/expertise to implement the ABC programme?                                                                                                                 | <input checked="" type="checkbox"/> Yes                              |
| 34   | Is the Entity's ABC programme applicable to:                                                                                                                                                                                        | Both joint ventures and third parties acting on behalf of the Entity |
| 35   | Does the Entity have a global ABC policy that:                                                                                                                                                                                      |                                                                      |
| 35 a | Prohibits the giving and receiving of bribes? This includes promising, offering, giving, solicitation or receiving of anything of value, directly or indirectly, if improperly intended to influence action or obtain an advantage. | <input checked="" type="checkbox"/> Yes                              |
| 35 b | Includes enhanced requirements regarding interaction with public officials?                                                                                                                                                         | <input checked="" type="checkbox"/> Yes                              |
| 35 c | Includes a prohibition against the falsification of books and records (this may be within the ABC policy or any other policy applicable to the Legal Entity)?                                                                       | <input checked="" type="checkbox"/> Yes                              |
| 36   | Does the Entity have controls in place to monitor the effectiveness of their ABC programme?                                                                                                                                         | <input checked="" type="checkbox"/> Yes                              |
| 37   | Does the Board receive, assess, and challenge regular reporting on the status of the ABC programme?                                                                                                                                 | <input checked="" type="checkbox"/> Yes                              |
| 38   | Has the Entity's ABC Enterprise Wide Risk Assessment (EWRA) been completed in the last 12 months?                                                                                                                                   | <input checked="" type="checkbox"/> Yes                              |
| 38 a | If N, provide the date when the last ABC EWRA was completed.                                                                                                                                                                        |                                                                      |
| 39   | Does the Entity have an ABC residual risk rating that is the net result of the controls effectiveness and the inherent risk assessment?                                                                                             | <input checked="" type="checkbox"/> Yes                              |
| 40   | Does the Entity's ABC EWRA cover the                                                                                                                                                                                                | <input checked="" type="checkbox"/> Yes                              |

|                                                              |                                                                                                                                     |                                         |
|--------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
|                                                              | inherent risk components detailed below:                                                                                            |                                         |
| 40 a                                                         | Potential liability created by intermediaries and other third-party providers as appropriate                                        | <input checked="" type="checkbox"/> Yes |
| 40 b                                                         | Corruption risks associated with the countries and industries in which the Entity does business, directly or through intermediaries | <input checked="" type="checkbox"/> Yes |
| 40 c                                                         | Transactions, products or services, including those that involve state-owned or state-controlled entities or public officials       | <input checked="" type="checkbox"/> Yes |
| 40 d                                                         | Corruption risks associated with gifts and hospitality, hiring/internships, charitable donations and political contributions        | <input checked="" type="checkbox"/> Yes |
| 40 e                                                         | Changes in business activities that may materially increase the Entity's corruption risk                                            | <input checked="" type="checkbox"/> Yes |
| 41                                                           | Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?                       | <input checked="" type="checkbox"/> Yes |
| 42                                                           | Does the Entity provide mandatory ABC training to:                                                                                  |                                         |
| 42 a                                                         | Board and senior Committee Management                                                                                               | <input checked="" type="checkbox"/> Yes |
| 42 b                                                         | 1st Line of Defence                                                                                                                 | <input checked="" type="checkbox"/> Yes |
| 42 c                                                         | 2nd Line of Defence                                                                                                                 | <input checked="" type="checkbox"/> Yes |
| 42 d                                                         | 3rd Line of Defence                                                                                                                 | <input checked="" type="checkbox"/> Yes |
| 42 e                                                         | Third parties to which specific compliance activities subject to ABC risk have been outsourced                                      | <input checked="" type="checkbox"/> No  |
| 42 f                                                         | Non-employed workers as appropriate (contractors/consultants)                                                                       | <input checked="" type="checkbox"/> Yes |
| 43                                                           | Does the Entity provide ABC training that is targeted to specific roles, responsibilities and activities?                           | <input checked="" type="checkbox"/> Yes |
| 44                                                           | Confirm that all responses provided in the above Section are representative of all the LE's branches                                | <input checked="" type="checkbox"/> Yes |
| 44 a                                                         | If N, clarify which questions the difference/s relate to and the branch/es that this applies to.                                    |                                         |
| 45                                                           | If appropriate, provide any additional information/context to the answers in this section.                                          |                                         |
| <b>5. AML, CTF &amp; SANCTIONS POLICIES &amp; PROCEDURES</b> |                                                                                                                                     |                                         |
| 46                                                           | Has the Entity documented policies and                                                                                              |                                         |

|       |                                                                                                                                                                            |                                         |
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|       | procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:                                          |                                         |
| 46 a  | Money laundering                                                                                                                                                           | <input checked="" type="checkbox"/> Yes |
| 46 b  | Terrorist financing                                                                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 46 c  | Sanctions violations                                                                                                                                                       | <input checked="" type="checkbox"/> Yes |
| 47    | Are the Entity's policies and procedures updated at least annually?                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 48    | Has the Entity chosen to compare its policies and procedures against:                                                                                                      |                                         |
| 48 a  | U.S. Standards                                                                                                                                                             | <input checked="" type="checkbox"/> No  |
| 48 a1 | If Y, does the Entity retain a record of the results?                                                                                                                      |                                         |
| 48 b  | EU Standards                                                                                                                                                               | <input checked="" type="checkbox"/> No  |
| 48 b1 | If Y, does the Entity retain a record of the results?                                                                                                                      |                                         |
| 49    | Does the Entity have policies and procedures that:                                                                                                                         |                                         |
| 49 a  | Prohibit the opening and keeping of anonymous and fictitious named accounts                                                                                                | <input checked="" type="checkbox"/> Yes |
| 49 b  | Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs                                                                                             | <input checked="" type="checkbox"/> Yes |
| 49 c  | Prohibit dealing with other entities that provide banking services to unlicensed banks                                                                                     | <input checked="" type="checkbox"/> Yes |
| 49 d  | Prohibit accounts/relationships with shell banks                                                                                                                           | <input checked="" type="checkbox"/> Yes |
| 49 e  | Prohibit dealing with another entity that provides services to shell banks                                                                                                 | <input checked="" type="checkbox"/> Yes |
| 49 f  | Prohibit opening and keeping of accounts for Section 311 designated entities                                                                                               | <input checked="" type="checkbox"/> Yes |
| 49 g  | 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 | <input checked="" type="checkbox"/> Yes |
| 49 h  | Assess the risks of relationships with domestic and foreign PEPs, including their family and close associates                                                              | <input checked="" type="checkbox"/> Yes |
| 49 i  | Define the process for escalating financial crime risk issues/potentially suspicious activity identified by employees                                                      | <input checked="" type="checkbox"/> Yes |
| 49 j  | Define the process, where appropriate, for terminating existing customer relationships                                                                                     | <input checked="" type="checkbox"/> Yes |



|                                                    |                                                                                                                                                                      |                                                     |
|----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
|                                                    | due to financial crime risk                                                                                                                                          |                                                     |
| 49 k                                               | Define the process for exiting clients for financial crime reasons that applies across the entity, including foreign branches and affiliates                         | <input checked="" type="checkbox"/> Yes             |
| 49 l                                               | Define the process and controls to identify and handle customers that were previously exited for financial crime reasons if they seek to re-establish a relationship | <input checked="" type="checkbox"/> Yes             |
| 49 m                                               | Outline the processes regarding screening for sanctions, PEPs and Adverse Media/Negative News                                                                        | <input checked="" type="checkbox"/> Yes             |
| 49 n                                               | Outline the processes for the maintenance of internal "watchlists"                                                                                                   | <input checked="" type="checkbox"/> Yes             |
| 50                                                 | Has the Entity defined a risk tolerance statement or similar document which defines a risk boundary around their business?                                           | <input checked="" type="checkbox"/> Yes             |
| 51                                                 | Does the Entity have record retention procedures that comply with applicable laws?                                                                                   | <input checked="" type="checkbox"/> Yes             |
| 51 a                                               | If Y, what is the retention period?                                                                                                                                  | <input checked="" type="checkbox"/> 5 years or more |
| 52                                                 | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                                 | <input checked="" type="checkbox"/> Yes             |
| 52 a                                               | If N, clarify which questions the difference/s relate to and the branch/es that this applies to.                                                                     |                                                     |
| 53                                                 | If appropriate, provide any additional information/context to the answers in this section.                                                                           |                                                     |
| <b>6. AML, CTF &amp; SANCTIONS RISK ASSESSMENT</b> |                                                                                                                                                                      |                                                     |
| 54                                                 | Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below:                                                                                  |                                                     |
| 54 a                                               | Client                                                                                                                                                               | <input checked="" type="checkbox"/> Yes             |
| 54 b                                               | Product                                                                                                                                                              | <input checked="" type="checkbox"/> Yes             |
| 54 c                                               | Channel                                                                                                                                                              | <input checked="" type="checkbox"/> Yes             |
| 54 d                                               | Geography                                                                                                                                                            | <input checked="" type="checkbox"/> Yes             |
| 55                                                 | Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below:                                                                         |                                                     |
| 55 a                                               | Transaction Monitoring                                                                                                                                               | <input checked="" type="checkbox"/> Yes             |
| 55 b                                               | Customer Due Diligence                                                                                                                                               | <input checked="" type="checkbox"/> Yes             |
| 55 c                                               | PEP Identification                                                                                                                                                   | <input checked="" type="checkbox"/> Yes             |
| 55 d                                               | Transaction Screening                                                                                                                                                | <input checked="" type="checkbox"/> Yes             |

|                            |                                                                                                                               |                                         |
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| 55 e                       | Name Screening against Adverse Media/Negative News                                                                            | <input checked="" type="checkbox"/> Yes |
| 55 f                       | Training and Education                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 55 g                       | Governance                                                                                                                    | <input checked="" type="checkbox"/> Yes |
| 55 h                       | Management Information                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 56                         | Has the Entity's AML & CTF EWRA been completed in the last 12 months?                                                         | <input checked="" type="checkbox"/> Yes |
| 56 a                       | If N, provide the date when the last AML & CTF EWRA was completed.                                                            |                                         |
| 57                         | Does the Entity's Sanctions EWRA cover the inherent risk components detailed below:                                           |                                         |
| 57 a                       | Client                                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 57 b                       | Product                                                                                                                       | <input checked="" type="checkbox"/> Yes |
| 57 c                       | Channel                                                                                                                       | <input checked="" type="checkbox"/> Yes |
| 57 d                       | Geography                                                                                                                     | <input checked="" type="checkbox"/> Yes |
| 58                         | Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below:                                  |                                         |
| 58 a                       | Customer Due Diligence                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 58 b                       | Governance                                                                                                                    | <input checked="" type="checkbox"/> Yes |
| 58 c                       | List Management                                                                                                               | <input checked="" type="checkbox"/> Yes |
| 58 d                       | Management Information                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 58 e                       | Name Screening                                                                                                                | <input checked="" type="checkbox"/> Yes |
| 58 f                       | Transaction Screening                                                                                                         | <input checked="" type="checkbox"/> Yes |
| 58 g                       | Training and Education                                                                                                        | <input checked="" type="checkbox"/> Yes |
| 59                         | Has the Entity's Sanctions EWRA been completed in the last 12 months?                                                         | <input checked="" type="checkbox"/> 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                          | <input checked="" type="checkbox"/> 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.                                    |                                         |
| <b>7. KYC, CDD and EDD</b> |                                                                                                                               |                                         |
| 62                         | Does the Entity verify the identity of the customer?                                                                          | <input checked="" type="checkbox"/> 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? | <input checked="" type="checkbox"/> Yes |
| 64                         | Which of the following does the Entity gather and retain when conducting CDD?                                                 |                                         |

|        |                                                                                                              |                                                                         |
|--------|--------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|
|        | Select all that apply:                                                                                       |                                                                         |
| 64 a   | Customer identification                                                                                      | <input checked="" type="checkbox"/> Yes                                 |
| 64 b   | Expected activity                                                                                            | <input checked="" type="checkbox"/> Yes                                 |
| 64 c   | Nature of business/employment                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 64 d   | Ownership structure                                                                                          | <input checked="" type="checkbox"/> Yes                                 |
| 64 e   | Product usage                                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 64 f   | Purpose and nature of relationship                                                                           | <input checked="" type="checkbox"/> Yes                                 |
| 64 g   | Source of funds                                                                                              | <input checked="" type="checkbox"/> Yes                                 |
| 64 h   | Source of wealth                                                                                             | <input checked="" type="checkbox"/> Yes                                 |
| 65     | Are each of the following identified:                                                                        |                                                                         |
| 65 a   | Ultimate beneficial ownership                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 65 a1  | Are ultimate beneficial owners verified?                                                                     | <input checked="" type="checkbox"/> Yes                                 |
| 65 b   | Authorised signatories (where applicable)                                                                    | <input checked="" type="checkbox"/> Yes                                 |
| 65 c   | Key controllers                                                                                              | <input checked="" type="checkbox"/> Yes                                 |
| 65 d   | Other relevant parties                                                                                       |                                                                         |
| 66     | What is the Entity' s minimum (lowest) threshold applied to beneficial ownership identification?             | 25%                                                                     |
| 67     | Does the due diligence process result in customers receiving a risk classification?                          | <input checked="" type="checkbox"/> Yes                                 |
| 67 a   | If Y, what factors/criteria are used to determine the customer's risk classification? Select all that apply: |                                                                         |
| 67 a1  | Product Usage                                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 67 a2  | Geography                                                                                                    | <input checked="" type="checkbox"/> Yes                                 |
| 67 a3  | Business Type/Industry                                                                                       | <input checked="" type="checkbox"/> Yes                                 |
| 67 a4  | Legal Entity type                                                                                            | <input checked="" type="checkbox"/> Yes                                 |
| 67 a5  | Adverse Information                                                                                          | <input checked="" type="checkbox"/> Yes                                 |
| 67 a6  | Other (specify)                                                                                              |                                                                         |
| 68     | For high risk non-individual customers, is a site visit a part of your KYC process?                          | <input checked="" type="checkbox"/> Yes                                 |
| 68 a   | If Y, is this at:                                                                                            |                                                                         |
| 68 a1  | Onboarding                                                                                                   | <input checked="" type="checkbox"/> Yes                                 |
| 68 a2  | KYC renewal                                                                                                  | <input checked="" type="checkbox"/> Yes                                 |
| 68 a3  | Trigger event                                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 68 a4  | Other                                                                                                        | <input checked="" type="checkbox"/> No                                  |
| 68 a4a | If yes, please specify "Other"                                                                               |                                                                         |
| 69     | Does the Entity have a risk based approach to screening customers for Adverse Media/Negative News?           | <input checked="" type="checkbox"/> Yes                                 |
| 69 a   | If Y, is this at:                                                                                            |                                                                         |
| 69 a1  | Onboarding                                                                                                   | <input checked="" type="checkbox"/> Yes                                 |
| 69 a2  | KYC renewal                                                                                                  | <input checked="" type="checkbox"/> Yes                                 |
| 69 a3  | Trigger event                                                                                                | <input checked="" type="checkbox"/> Yes                                 |
| 70     | What is the method used by the Entity to screen for Adverse Media/Negative News?                             | <input checked="" type="checkbox"/> Combination of automated and manual |

|       |                                                                                                                                                                                                            |                                                                                       |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| 71    | Does the Entity have a risk based approach to screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?                                                         | <input checked="" type="checkbox"/> Yes                                               |
| 71 a  | If Y, is this at:                                                                                                                                                                                          |                                                                                       |
| 71 a1 | Onboarding                                                                                                                                                                                                 | <input checked="" type="checkbox"/> Yes                                               |
| 71 a2 | KYC renewal                                                                                                                                                                                                | <input checked="" type="checkbox"/> Yes                                               |
| 71 a3 | Trigger event                                                                                                                                                                                              | <input checked="" type="checkbox"/> Yes                                               |
| 72    | What is the method used by the Entity to screen PEPs?                                                                                                                                                      | <input checked="" type="checkbox"/> Combination of automated and manual               |
| 73    | Does the Entity have policies, procedures and processes to review and escalate potential matches from screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs? | <input checked="" type="checkbox"/> Yes                                               |
| 74    | Is KYC renewed at defined frequencies based on risk rating (Periodic Reviews)?                                                                                                                             | <input checked="" type="checkbox"/> Yes                                               |
| 74 a  | If yes, select all that apply:                                                                                                                                                                             |                                                                                       |
| 74 a1 | Less than one year                                                                                                                                                                                         | <input type="checkbox"/> NO                                                           |
| 74 a2 | 1 – 2 years                                                                                                                                                                                                | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                   |
| 74 a3 | 3 – 4 years                                                                                                                                                                                                | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                   |
| 74 a4 | 5 years or more                                                                                                                                                                                            | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                   |
| 74 a5 | Trigger-based or perpetual monitoring reviews                                                                                                                                                              | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No                   |
| 74 a6 | Other (Please specify)                                                                                                                                                                                     |                                                                                       |
| 75    | Does the Entity maintain and report metrics on current and past periodic or trigger event due diligence reviews?                                                                                           | <input checked="" type="checkbox"/> Yes                                               |
| 76    | From the list below, which categories of customers or industries are subject to EDD and/or are restricted, or prohibited by the Entity's FCC programme?                                                    |                                                                                       |
| 76 a  | Arms, defence, military                                                                                                                                                                                    | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 b  | Respondent Banks                                                                                                                                                                                           | <input checked="" type="checkbox"/> Do not have this category of customer or industry |
| 76 b1 | If EDD or restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2022?                                                                      |                                                                                       |
| 76 c  | Embassies/Consulates                                                                                                                                                                                       | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 d  | Extractive industries                                                                                                                                                                                      | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 e  | Gambling customers                                                                                                                                                                                         | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 f  | General Trading Companies                                                                                                                                                                                  | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 g  | Marijuana-related Entities                                                                                                                                                                                 | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 h  | MSB/MVTS customers                                                                                                                                                                                         | <input checked="" type="checkbox"/> EDD on risk-based approach                        |
| 76 i  | Non-account customers                                                                                                                                                                                      | <input checked="" type="checkbox"/> EDD on risk-based approach                        |

|                                      |                                                                                                                                                          |                                                                         |
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| 76 j                                 | Non-Government Organisations                                                                                                                             | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 k                                 | Non-resident customers                                                                                                                                   | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 l                                 | Nuclear power                                                                                                                                            | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 m                                 | Payment Service Providers                                                                                                                                | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 n                                 | PEPs                                                                                                                                                     | <input checked="" type="checkbox"/> Always subject to EDD               |
| 76 o                                 | PEP Close Associate                                                                                                                                      | <input checked="" type="checkbox"/> Always subject to EDD               |
| 76 p                                 | PEP Related                                                                                                                                              | <input checked="" type="checkbox"/> Always subject to EDD               |
| 76 q                                 | Precious metals and stones                                                                                                                               | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 r                                 | Red light businesses/Adult entertainment                                                                                                                 | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 s                                 | Regulated charities                                                                                                                                      | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 t                                 | Shell banks                                                                                                                                              | <input checked="" type="checkbox"/> prohibited                          |
| 76 u                                 | Travel and Tour Companies                                                                                                                                | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 v                                 | Unregulated charities                                                                                                                                    | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 w                                 | Used Car Dealers                                                                                                                                         | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 x                                 | Virtual Asset Service Providers                                                                                                                          | <input checked="" type="checkbox"/> EDD on risk-based approach          |
| 76 y                                 | Other (specify)                                                                                                                                          |                                                                         |
| 77                                   | If restricted, provide details of the restriction                                                                                                        |                                                                         |
| 78                                   | Does EDD require senior business management and/ or compliance approval?                                                                                 | <input checked="" type="checkbox"/> Yes                                 |
| 78 a                                 | If Y indicate who provides the approval:                                                                                                                 | <input checked="" type="checkbox"/> Senior business management          |
| 79                                   | Does the Entity have specific procedures for onboarding entities that handle client money such as lawyers, accountants, consultants, real estate agents? | <input checked="" type="checkbox"/> Yes                                 |
| 80                                   | Does the Entity perform an additional control or quality review on clients subject to EDD?                                                               | <input checked="" type="checkbox"/> Yes                                 |
| 81                                   | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                     | <input checked="" type="checkbox"/> 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.                                                               |                                                                         |
| <b>8. MONITORING &amp; REPORTING</b> |                                                                                                                                                          |                                                                         |
| 83                                   | Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?               | <input checked="" type="checkbox"/> Yes                                 |
| 84                                   | What is the method used by the Entity to monitor transactions for suspicious                                                                             | <input checked="" type="checkbox"/> Combination of automated and manual |

|                                |                                                                                                                                                           |                                                                                             |
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|                                | activities?                                                                                                                                               |                                                                                             |
| 84 a                           | If manual or combination selected, specify what type of transactions are monitored manually                                                               | Some of transactions can not be monitored by the system, and we will use manual monitoring. |
| 84 b                           | If automated or combination selected, are internal system or vendor-sourced tools used?                                                                   | <input checked="" type="checkbox"/> Internal System                                         |
| 84 b1                          | If 'Vendor-sourced tool' or 'Both' selected, what is the name of the vendor/tool?                                                                         |                                                                                             |
| 84 b2                          | When was the tool last updated?                                                                                                                           | <input checked="" type="checkbox"/> <1 year                                                 |
| 84 b3                          | When was the automated Transaction Monitoring application last calibrated?                                                                                | <input checked="" type="checkbox"/> <1 year                                                 |
| 85                             | Does the Entity have regulatory requirements to report suspicious transactions?                                                                           | <input checked="" type="checkbox"/> Yes                                                     |
| 85 a                           | If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?                               | <input checked="" type="checkbox"/> Yes                                                     |
| 86                             | Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity? | <input checked="" type="checkbox"/> Yes                                                     |
| 87                             | Does the Entity have a data quality management programme to ensure that complete data for all transactions are subject to monitoring?                     | <input checked="" type="checkbox"/> Yes                                                     |
| 88                             | Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner?                              | <input checked="" type="checkbox"/> Yes                                                     |
| 89                             | Does the Entity have processes in place to send Requests for Information (RFIs) to their customers in a timely manner?                                    | <input checked="" type="checkbox"/> Yes                                                     |
| 90                             | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                      | <input checked="" type="checkbox"/> 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.                                                                |                                                                                             |
| <b>9. PAYMENT TRANSPARENCY</b> |                                                                                                                                                           |                                                                                             |
| 92                             | Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?                                                                             |                                                                                             |
| 93                             | Does the Entity have policies, procedures                                                                                                                 |                                                                                             |

|                         |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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|                         | and processes to comply with and have controls in place to ensure compliance with:                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 93 a                    | FATF Recommendation 16                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 93 b                    | Local Regulations                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 93 b1                   | If Y, specify the regulation                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 93 c                    | If N, explain                                                                                                                                                                                                                                                                                                             | SECTION 9                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 94                      | Does the Entity have controls to support the inclusion of required and accurate originator information in cross border payment messages?                                                                                                                                                                                  | When a customer and Taishin Securities Co., Ltd ( "Taishin" ) enter into a Securities Trading Brokerage Contract" and open an account, a central securities depository account and a deposit account at the financial institution designated by Taishin shall be opened simultaneously, Taishin may accept securities trading orders from the customer only after the above-mentioned accounts have been opened and the customer has executed a letter of authorization with the financial institution authorizing said institution to receive and make settlement payments, therefore, Taishin does not involve in payment and not apply to Wolfsberg Group Payment Transparency Standards. |
| 95                      | Does the Entity have controls to support the inclusion of required beneficiary information cross-border payment messages?                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 95 a                    | If Y, does the Entity have procedures to include beneficiary address including country in cross border payments?                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 96                      | Confirm that all responses provided in the above 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.                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>10. SANCTIONS 制裁</b> |                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| 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?                                                                       | <input checked="" type="checkbox"/> 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)? | <input checked="" type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 100                     | Does the Entity have policies, procedures or other controls reasonably designed to prohibit and/or detect actions taken to                                                                                                                                                                                                | <input checked="" type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

|         |                                                                                                                                                                                                             |                                                                                                                             |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
|         | evade applicable sanctions prohibitions, such as stripping, or the resubmission and/or masking, of sanctions relevant information in cross border transactions?                                             |                                                                                                                             |
| 101     | Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?                               | <input checked="" type="checkbox"/> Yes                                                                                     |
| 102     | What is the method used by the Entity for sanctions screening?                                                                                                                                              | <input checked="" type="checkbox"/> Both Automated and Manual                                                               |
| 102 a   | If 'automated' or 'both automated and manual' selected:                                                                                                                                                     |                                                                                                                             |
| 102 a1  | Are internal system of vendor-sourced tools used?                                                                                                                                                           | <input checked="" type="checkbox"/> both                                                                                    |
| 102 a1a | If a 'vendor-sourced tool' or 'both' selected, what is the name of the vendor/tool?                                                                                                                         | Stark Technology Inc. / Global Vision Systems-Parriot 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 Question 110) | <input checked="" type="checkbox"/> <1YEAR                                                                                  |
| 103     | Does the Entity screen all sanctions relevant data, including at a minimum, entity and location information, contained in cross border transactions against Sanctions Lists?                                | <input checked="" type="checkbox"/> Yes                                                                                     |
| 104     | What is the method used by the Entity?                                                                                                                                                                      | <input checked="" type="checkbox"/> 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?                                                              | <input checked="" type="checkbox"/> Yes                                                                                     |
| 106     | Select the Sanctions Lists used by the Entity in its sanctions screening processes:                                                                                                                         |                                                                                                                             |
| 106 a   | Consolidated United Nations Security Council Sanctions List (UN)                                                                                                                                            | <input checked="" type="checkbox"/> Used for screening customers and beneficial owners and for filtering transactional data |
| 106 b   | United States Department of the Treasury's Office of Foreign Assets Control (OFAC)                                                                                                                          | <input checked="" type="checkbox"/> Used for screening customers and beneficial owners and for filtering transactional data |
| 106 c   | Office of Financial Sanctions Implementation HMT (OFSI)                                                                                                                                                     | <input checked="" type="checkbox"/> Used for screening customers and beneficial owners and for filtering transactional data |
| 106 d   | European Union Consolidated List (EU)                                                                                                                                                                       | <input checked="" type="checkbox"/> Used for screening customers and beneficial owners and for filtering transactional data |
| 106 e   | Lists maintained by other G7 member                                                                                                                                                                         | <input checked="" type="checkbox"/> Not used                                                                                |



|                                     |                                                                                                                                                                                                                                                |                                                                 |
|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
|                                     | countries                                                                                                                                                                                                                                      |                                                                 |
| 106 f                               | Other (specify)                                                                                                                                                                                                                                |                                                                 |
| 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                                                                                                                                                                                                                                  | <input checked="" type="checkbox"/> Same day to 2 business days |
| 107 b                               | Transactions                                                                                                                                                                                                                                   | <input checked="" type="checkbox"/> 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? | <input checked="" type="checkbox"/> No                          |
| 109                                 | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                                                                                                           | <input checked="" type="checkbox"/> 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.                                                                                                                                                     |                                                                 |
| <b>11. TRAINING &amp; EDUCATION</b> |                                                                                                                                                                                                                                                |                                                                 |
| 111                                 | Does the Entity provide mandatory training, which includes:                                                                                                                                                                                    |                                                                 |
| 111 a                               | Identification and reporting of transactions to government authorities                                                                                                                                                                         | <input checked="" type="checkbox"/> Yes                         |
| 111 b                               | Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered                                                                                          | <input checked="" type="checkbox"/> Yes                         |
| 111 c                               | Internal policies for controlling money laundering, terrorist financing and sanctions violations                                                                                                                                               | <input checked="" type="checkbox"/> Yes                         |
| 111 d                               | New issues that occur in the market, e.g. significant regulatory actions or new regulations                                                                                                                                                    | <input checked="" type="checkbox"/> Yes                         |
| 111 e                               | Conduct and Culture                                                                                                                                                                                                                            | <input checked="" type="checkbox"/> Yes                         |
| 111 f                               | Fraud                                                                                                                                                                                                                                          | <input checked="" type="checkbox"/> Yes                         |
| 112                                 | Is the above mandatory training provided to:                                                                                                                                                                                                   |                                                                 |
| 112 a                               | Board and Senior Committee Management                                                                                                                                                                                                          | <input checked="" type="checkbox"/> Yes                         |
| 112 b                               | 1st Line of Defence                                                                                                                                                                                                                            | <input checked="" type="checkbox"/> Yes                         |

|                                                  |                                                                                                                                                                                                                 |                                                                     |
|--------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| 112 c                                            | 2nd Line of Defence                                                                                                                                                                                             | <input checked="" type="checkbox"/> Yes                             |
| 112 d                                            | 3rd Line of Defence                                                                                                                                                                                             | <input checked="" type="checkbox"/> Yes                             |
| 112 e                                            | Third parties to which specific FCC activities have been outsourced                                                                                                                                             | <input checked="" type="checkbox"/> No                              |
| 112 f                                            | Non-employed workers (contractors/consultants)                                                                                                                                                                  | <input checked="" type="checkbox"/> No                              |
| 113                                              | Does the Entity provide AML, CTF & Sanctions training that is targeted to specific roles, responsibilities and high-risk products, services and activities?                                                     | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 114                                              | Does the Entity provide customised training for AML, CTF and Sanctions staff?                                                                                                                                   | <input checked="" type="checkbox"/> Yes                             |
| 114 a                                            | If Y, how frequently is training delivered?                                                                                                                                                                     | Annually                                                            |
| 115                                              | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                                                                            | <input checked="" type="checkbox"/> Yes                             |
| 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.                                                                                                                      |                                                                     |
| <b>12. QUALITY ASSURANCE /COMPLIANCE TESTING</b> |                                                                                                                                                                                                                 |                                                                     |
| 117                                              | Does the Entity have a program wide risk based Quality Assurance programme for financial crime (separate from the independent Audit function)?                                                                  | <input checked="" type="checkbox"/> Yes                             |
| 118                                              | Does the Entity have a program wide risk based Compliance Testing process (separate from the independent Audit function)?                                                                                       | <input checked="" type="checkbox"/> Yes                             |
| 119                                              | Confirm that all responses provided in the above Section are representative of all the LE's branches                                                                                                            | <input checked="" type="checkbox"/> 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.                                                                                                                      |                                                                     |
| <b>13. AUDIT</b>                                 |                                                                                                                                                                                                                 |                                                                     |
| 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, | <input checked="" type="checkbox"/> Yes                             |

|                  |                                                                                                                       |                                                             |
|------------------|-----------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
|                  | ABC, Fraud and Sanctions policies and practices on a regular basis?                                                   |                                                             |
| 122              | How often is the Entity audited on its AML, CTF, ABC, Fraud and Sanctions programme by the following:                 |                                                             |
| 122 a            | Internal Audit Department                                                                                             | <input checked="" type="checkbox"/> Yearly                  |
| 122 b            | External Third Party                                                                                                  | <input checked="" type="checkbox"/> Component based reviews |
| 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                                                              | <input checked="" type="checkbox"/> Yes                     |
| 123 b            | Enterprise Wide Risk Assessment                                                                                       | <input checked="" type="checkbox"/> Yes                     |
| 123 c            | Governance                                                                                                            | <input checked="" type="checkbox"/> Yes                     |
| 123 d            | KYC/CDD/EDD and underlying methodologies                                                                              | <input checked="" type="checkbox"/> Yes                     |
| 123 e            | Name Screening & List Management                                                                                      | <input checked="" type="checkbox"/> Yes                     |
| 123 f            | Reporting/Metrics & Management Information                                                                            | <input checked="" type="checkbox"/> Yes                     |
| 123 g            | Suspicious Activity Filing                                                                                            | <input checked="" type="checkbox"/> Yes                     |
| 123 h            | Technology                                                                                                            | <input checked="" type="checkbox"/> Yes                     |
| 123 i            | Transaction Monitoring                                                                                                | <input checked="" type="checkbox"/> Yes                     |
| 123 j            | Transaction Screening including for sanctions                                                                         | <input checked="" type="checkbox"/> Yes                     |
| 123 k            | Training & Education                                                                                                  | <input checked="" type="checkbox"/> Yes                     |
| 123 l            | Other (specify)                                                                                                       |                                                             |
| 124              | Are adverse findings from internal & external audit tracked to completion and assessed for adequacy and completeness? | <input checked="" type="checkbox"/> Yes                     |
| 125              | Confirm that all responses provided in the above section are representative of all the LE's branches                  | <input checked="" type="checkbox"/> 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.                            |                                                             |
| <b>14. FRAUD</b> |                                                                                                                       |                                                             |
| 127              | Does the Entity have policies in place addressing fraud risk?                                                         | <input checked="" type="checkbox"/> Yes                     |
| 128              | Does the Entity have a dedicated team responsible for preventing & detecting fraud?                                   | <input checked="" type="checkbox"/> Yes                     |
| 129              | Does the Entity have real time monitoring to detect fraud?                                                            | <input checked="" type="checkbox"/> 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? | <input checked="" type="checkbox"/> Yes |
| 131   | Confirm that all responses provided in the above section are representative of all the LE's branches                                                       | <input checked="" type="checkbox"/> 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.                                                                 |                                         |

**Declaration 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)

Taishin Securities 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, \_\_\_\_\_ (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, Tai-Tai-Chuan (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 I am authorised to execute this declaration on behalf of the Financial Institution.

\_\_\_\_\_  
(Signature & Date)

2026. 7. 8  
(Signature & Date)