CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS

[OMB CONTROL NUMBER 1506-0043]

The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United State Code, as added by sections 313 and 319(b) of the USA PATRIOT Act of 2001 (Public Law 107-56).

This Certification should be completed by any **foreign bank** that maintains a **correspondent account** with any U.S. bank or broker-dealer in securities (a **covered financial institution** as defined in 31 CFR 1010.605(e)). An entity that is not a foreign bank is not required to complete this Certification.

A **foreign bank** is a bank organized under foreign law and located outside of the United States (see definition at 31 CFR 1010.100(u)). A **bank** includes offices, branches, and agencies of commercial banks or trust companies, private banks, national banks, thrift institutions, credit unions, and other organizations chartered under banking laws and supervised by banking supervisors of any state (see definition at 31 CFR 1010.100(d)).[1]

A **correspondent account** for a foreign bank is any account to receive deposits from, make payments or other disbursements on behalf of a foreign bank, or handle other financial transactions related to the foreign bank.

Special instructions for foreign branches of U.S. banks: A branch or office of a U.S. bank outside the United State is a foreign bank. Such a branch or office is not required to complete this Certification with respect to Correspondent Accounts with U.S. branches and offices of the same U.S. bank.

Special instructions for covering multiple branches on a single Certification: A foreign bank may complete one Certification for its branches and offices outside the United States. The Certification must list all of the branches and offices that are covered and must include the information required in Part C for **each** branch or office that maintains a Correspondent Account with a Covered Financial Institution. Use attachment sheets as necessary.

A. The undersigned financial institution, CTBC BANK Co., Ltd. and all its overseas branches listed in the attachment **("Foreign Bank")** hereby certifies as follows:

B. Correspondent Accounts Covered by this Certification: Check one box.

[1] A "foreign bank" does not include any foreign central bank or monetary authority that functions as a central bank, or any international financial institution or regional development bank formed by treaty or international agreement.

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

☐ This Certification applies to Correspondent Accounts established by _____ (name of Covered Financial Institution(s) for Foreign Bank.

C. Physical Presence/Regulated Affiliate Status: Check one **box and complete the blanks.**

☑ Foreign Bank maintains a **physical presence** in any country. That means:

- Foreign Bank has a place of business at the following street address: No. 166, 168, 170, 186, 188 Jingmao 2nd Road, Nangang Dist., Taipei City 115, Taiwan (R.O.C.), where Foreign Bank employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- The above address is in Taiwan (R.O.C.), where Foreign Bank is authorized to conduct banking activities.
- Foreign Bank is subject to inspection by Financial Supervisory Commission, R.O.C., the banking authority that licensed Foreign Bank to conduct banking activities.

☐ Foreign Bank does not have a physical presence in any country, but Foreign Bank is a **regulated affiliate.** That means:

- Foreign Bank is an affiliate of a depository institution, credit union, or a foreign bank that maintains a physical presence at the following street address: _____, where it employs one or more persons on a full-time basis and maintains operating records related to its banking activities.
- The above address is in _____ (insert country), where the depository institution, credit union, or foreign bank is authorized to conduct banking activities.
- Foreign Bank is subject to supervision by _____, (insert Banking Authority), the same banking authority that regulates the depository institution, credit union, or foreign bank.

☐ Foreign Bank does **not** have a physical presence in a country and is **not** a regulated affiliate.

D. Indirect Use of Correspondent Accounts: Check box to certify.

☑ No Correspondent Account maintained by a Covered Financial Institution may be used to indirectly provide banking services to certain foreign banks. Foreign Bank hereby certifies that it does **not** use any Correspondent Account with a Covered Financial

Institution to indirectly provide banking services to any foreign bank that does not maintain a physical presence in any country and that is not a regulated affiliate.

E. Ownership Information: Check box 1 or 2 below, if applicable.

☐ 1. **Form FR Y-7 is on file.** Foreign Bank has filed with the Federal Reserve Board a current Form FR Y-7 and has disclosed its ownership information on Item 4 of Form FR Y-7.

☐ 2. **Foreign Bank's shares are publicly traded.** Publicly traded means that the shares are traded on an exchange or an organized over-the-counter market that is regulated by a foreign securities authority as defined in section 3(a)(50) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)(50)).

If **neither** box 1 or 2 of Part E is checked, complete item 3 below, **if applicable.**

☑ 3. Foreign Bank has no **owner(s)** except as set forth below. For purposes of this Certification, **owner** means any person who, directly or indirectly, owns, controls, or has power to vote 25 percent or more of any class of voting securities or other voting interests of Foreign Bank; or (b) controls in any manner the election of a majority of the directors (or individuals exercising similar functions) of Foreign Bank. For purposes of this Certification, (i) **person** means any individual, bank, corporation, partnership, limited liability company or any other legal entity; (ii) **voting securities or other voting interests** means securities or other interests that entitle the holder to vote for or select directors (or individuals exercising similar functions); and (iii) members of the same family[2] shall be considered one **person.**

Name	Address
CTBC Financial Holding Co., Ltd. (100% owned, listed company TPE:2891)	27 & 29F., No. 168, Jingmao 2nd Rd., Nangang Dist., Taipei City 115, Taiwan (R.O.C.)

F. Process Agent: complete the following.

The following individual or entity: CTBC Bank Co., Ltd. New York Branch is a resident of the United States at the following street address: 11th Floor, 521 Fifth Avenue, New York, NY 10175,U.S.A., **and** is authorized to accept service of legal process on behalf of Foreign Bank from the Secretary of the Treasury or the Attorney General of the United States pursuant to Section 5318(k) of title 31, United States Code.

---

[2] The same family means parent, spouses, children, siblings, uncles, aunts, grandparents, grandchildren, first cousins, stepchildren, stepsiblings, parents-in-law and spouses of any of the foregoing. In determining the ownership interests of the same family, any voting interest of any family member shall be taken into account.

G. General

Foreign Bank hereby agrees to notify in writing each Covered Financial Institution at which it maintains any Correspondent Account of any change in facts or circumstances reported in this Certification. Notification shall be given within 30 calendar days of such change.

Foreign Bank understands that each Covered Financial Institution at which it maintains a Correspondent Account may provide a copy of this Certification to the Secretary of the Treasury and the Attorney General of the United States. Foreign Bank further understands that the statements contained in this Certification may be transmitted to one or more departments or agencies of the United States of America for the purpose of fulfilling such departments' and agencies' governmental functions.

I, Irene Kuo, certify that I have read and understand this Certification, that the statements made in this Certification are complete and correct, and that I am authorized to execute this Certification on behalf of Foreign Bank.

CTBC Bank Co., Ltd.

Irene Kuo

[Signature]

Vice President and Global AML/CFT Officer

Executed on the 27th of November, 2025

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

Branches/Subsidiaries Certifications

To include Branch Certifications with the certification of the parent, please include the following information for each Branch. Indicate either that the Branch maintains a Physical Presence in the country indicated, Or that the Branch is a regulated affiliate, Or neither

Name of Branch	CTBC Bank Co., Ltd. Hong Kong Branch
Address	Room 2801, 28F, Room 2106-10, 21F, International Finance Center Phase 2, 8 Finance Street, Central, Hong Kong
Country	Hong Kong, China
Banking Authority with Jurisdiction	Hong Kong Monetary Authority
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Kowloon Branch
Address	20F, Manhattan Place, No. 23 Wang Tai Road, Kowloon Bay, Kowloon, Hong Kong
Country	Hong Kong, China
Banking Authority with Jurisdiction	Hong Kong Monetary Authority
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Tokyo Branch
Address	Kioi Tower 28F, Tokyo Garden Terrace Kioicho, 1-3 Kioicho, Chiyoda-ku, Tokyo 102-0094, Japan
Country	Japan
Banking Authority with Jurisdiction	Financial Services Agency (FSA)
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. New York Branch
Address	11F, #521 Fifth Avenue, New York, NY 10175, U.S.A.
Country	United States of America
Banking Authority with Jurisdiction	Federal Reserve Bank of New York, New York State Department of Financial Services
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Ho Chi Minh City Branch
Address	Room 1, 2, 3, 9, 7F, and Room 1-9, 9F, MPlaza Saigon Building, No. 39 Le Duan Street, District 1, Ho Chi Minh City
Country	Vietnam
Banking Authority with Jurisdiction	State Bank of Vietnam
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. New Delhi Branch
Address	Gr. Floor & 2nd Floor, Aria Tower, JW Marriott Hotel, Delhi-Aerocity, Asset Area-4, New Delhi-110037, India
Country	India
Banking Authority with Jurisdiction	Reserve Bank of India
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Kattupakkam Branch

Address	Poojaa Diamond Anandam, Ground Floor, G1A, No. 222, Poonamallee High Road, Kumananchavadi, Kattupakkam, Chennai-600056, India
Country	India
Banking Authority with Jurisdiction	Reserve Bank of India
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Singapore Branch
Address	8 Marina View, #29-01, Asia Square Tower 1, Singapore 018960
Country	Singapore
Banking Authority with Jurisdiction	Monetary Authority of Singapore
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Shanghai Branch
Address	Room T70, 27F, Shanghai World Financial Center, No. 100 Century Avenue, Pudong New District, Shanghai, 200120, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Guangzhou Branch
Address	6F, Hejing International Financial Plaza, No. 8 Huaxia Road, Pearl River New City, Tianhe District, Guangzhou, 510623, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Xiamen Branch
Address	29F, Ganghang Building, No. 29 North Donggang Road, China (Fujian) Pilot Free Trade Zone, Xiamen Subdistrict 361013, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Shenzhen Branch
Address	401A, 402A2b, Kerry Construction Plaza, No.1, Center 4th Road, Futian District, Shenzhen, 518048, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Shanghai Changning Sub-Branch
Address	Unit 01, 04A, 04B, 29F, No. 1438, Hongqiao Rd., Changning Dist., Shanghai 201103, P.R. China

Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Shanghai Hongqiao Sub-Branch
Address	Units 1101, 1104 and 1105, 11F, No. 818 Shenchang Road, Minhang District, Shanghai, 201106, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Branch	CTBC Bank Co., Ltd. Shenzhen Futian Sub-Branch
Address	1401, Tower A of East Pacific International Center, No. 7888, Shennan Road, Futian District, Shenzhen 518040, P. R. China
Country	China
Banking Authority with Jurisdiction	National Financial Regulatory Administration
Status	Physical Presence

Name of Subsidiary	CTBC Bank Corp. (USA)
Address	801 S. Figueroa Street, Suite 2300 (22F-23F), Los Angeles, CA 90017, U.S.A.
Country	United States of America
Banking Authority with Jurisdiction	Federal Deposit Insurance Corporation, Department of Financial Protection and Innovation
Status	Physical Presence

Name of Subsidiary	CTBC Bank Corp.(Canada)
Address	Suite #350-2608 Granville Street, Vancouver, B.C., V6H 3V3, Canada
Country	Canada
Banking Authority with Jurisdiction	The Office of the Superintendent of Financial Institution Canada, The Financial Transactions and Reports Analysis Centre of Canada
Status	Physical Presence

Name of Subsidiary	CTBC Bank (Philippines) Corp.
Address	16th to 19th Floors, Fort Legend Towers, 31st Street Corner 3rd Avenue, Bonifacio Global City, Taguig City, 1634 Philippines
Country	Philippines
Banking Authority with Jurisdiction	Bangko Sentral ng Pilipinas
Status	Physical Presence

Name of Subsidiary	PT Bank CTBC Indonesia

Address	Tamara Center, 15th-17th Fl., Jl Jenderal Sudirman Kav. 24, Jakarta, 12920, Indonesia
Country	Indonesia
Banking Authority with Jurisdiction	Otoritas Jasa Keuangan
Status	Physical Presence

Name of Subsidiary	Tokyo Star Bank, Limited
Address	2-3-5 Akasaka, Minato-Ku, Tokyo, 107-8480, Japan
Country	Japan
Banking Authority with Jurisdiction	Financial Services Agency (FSA)
Status	Physical Presence

Name of Subsidiary	Land and Houses Bank Public Company Limited
Address	1 Q. House Lumpini Building G, 1F, 5F, 6F and 32F, South Sathon Rd., Thungmahamek, Sathon, Bangkok Thailand
Country	Thailand
Banking Authority with Jurisdiction	Bank of Thailand (BOT)
Status	Physical Presence