

Senior Management, Issue of Bearer Shares and Ultimate Beneficial Owner Declaration

I/We, declare that I/we provide the following information and documents required by You (“the Bank”), including but not limited to Identification Document, Register of Directors/Shareholders, Articles of Incorporation and Business Registration Certificate, which are genuine and correct. I/We should notify all changes in my/our status to you.

I. Senior Management (Shall identify at least two (2) senior officers including Chairman of the Board, Chief Executive Officer, Chief Financial Officer, directors, supervisors, authorized representatives, temporary manager, partners, authorized signatories, or any natural persons holding equivalent positions)

Senior Management					
Name	Identification Document number	Identification Document Type	Date of Birth	Nationality	Position Titles
		<input type="checkbox"/> ID <input type="checkbox"/> Annual Report <input type="checkbox"/> Change Registration Form <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Annual Report <input type="checkbox"/> Change Registration Form <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Annual Report <input type="checkbox"/> Change Registration Form <input type="checkbox"/> Other			

II. Whether the undersigned issues bearer shares (Only applicable to the legal entity which is incorporation):

- Articles of Incorporation do not contain records on issuing bearer shares.
- Articles of Incorporation stipulate that bearer shares may be issued; however, as of now the bearer shares haven't been issued, and there are no plans for future issuance
- Articles of Incorporation stipulate that bearer shares may be issued and which has been issued, the list of relevant owners of bearer shares is as follows:

Owners of Bearer Shares					
Name	Identification Document number	Identification Document Type	Date of Birth	Nationality	Number of shares or capital held
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			

III. Ultimate Beneficial Owners:

i. The undersigned or persons with controlling interests are A or B:

- A. If the undersigned meets any of the following conditions under Section A, the regulations of UBO identification and verification may not apply to the undersigned and the undersigned could also be exempted from filling in UBO information. However, if the undersigned meets any of the conditions under Section B, the undersigned is still required to fill in UBO information:
- 1. Taiwan's government agencies
 - 2. Taiwan's state-owned enterprises
 - 3. Foreign government agencies
 - 4-1. Taiwan's publicly listed companies
 - 4-2. Subsidiaries of Taiwan's publicly listed companies (Name of parent company: _____).
 - 5-1. Companies listed in other jurisdictions where the information of major shareholders shall be disclosed.
 - 5-2. Subsidiaries of companies listed in other jurisdictions where the information of major shareholders shall be disclosed (Name of parent company: _____).
 - 6. Financial institutions supervised by Taiwan government and the investment vehicles managed by such financial institutions.
 - 7. Financial institutions incorporated or established in other jurisdictions, of which regulatory requirements are consistent with the FATF AML/CFT standards, and the investment vehicles managed by such financial institutions.
 - 8. Funds managed by Taiwan's government agencies
 - 9. Employee stock ownership trust or employee savings ownership trust.
- B. If none of the above options are suitable or the undersigned meets the above conditions, but encounters in any of the following circumstances, please review the following options, confirm and fill in UBO information and provide identification documentation or information and data from reliable sources that can verify their identity:
- 3. The undersigned comes from high-risk region or country with weak AML/CFT regimes or country or region where major flaws are detected in its AML/CFT efforts according to announcements forwarded by competent authority and issued by international AML organizations and country or region that does not comply or fully comply with the advice of international AML organizations.
 - 4. The undersigned has issued bearer shares.

ii. Instructions:

1. For legal persons or entities:
 - (7) The identity of the natural person(s) who has an ultimate controlling interest. (A controlling interest refers to directly or indirectly owning more than 25 percent of the undersigned's shares or capital).
 - (8) The identity of the nature person(s) who exercises a controlling interest in the undersigned through other means.
 - (9) If no natural person(s) is identified under Point (1) and (2), the identity of the natural person(s) holding senior management positions in the undersigned shall be verified.

2. For trustees:

- (1) Settlor, trustee, protector, beneficiary, and any other natural person exercising ultimate effective control over the trust, or any persons holding equivalent or similar positions are deemed UBOs.
- (2) If settlor and beneficiary are legal persons, please fill in UBO information (identity verification shall be conducted in accordance with the 1st section of the Instructions); if trustee, protector, and any other natural person(s) exercising ultimate effective control over the trust are legal persons, please fill in identity information of the persons who are authorized to perform the legal persons' duties in the trust contract.

Ultimate Beneficial Owners					
Name	Identification Document number	Identification Document Type	Date of Birth	Nationality	Position Titles
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			
		<input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Resident Certificate <input type="checkbox"/> Other			

IV. The declaration of the undersigned has been disclosed to senior management, owners of bearer shares or Ultimate Beneficial Owners and the consent of aforementioned persons have been obtained before providing data to your Bank. We hereby confirm that we have duly understood all the purpose and scope of collecting, processing and using aforementioned personal data of the Bank, and we agree that the Bank may collect, process and use the personal data of aforementioned persons.

Best regards,

Hua Nan Commercial Bank

The undersigned:

GUI number:

_____ (seal)

Date: ____ / ____ / ____ (MM/DD/YYYY)



高階管理人員、發行無記名股票暨實質受益人聲明書

立書人茲聲明提供下開資料內容及依貴行請求所提供之相關佐證文件(包括但不限於身分證明文件、董事/股東名冊、章程及公司登記證明文件)均為真實、正確，嗣後如有情況變更時，立書人應主動通知貴行。

一、高階管理人員(至少2位以上，包含董事長、總經理、財務長、董事、監事、理事、代表人、管理人、合夥人、有權簽章人或與前述相當職務之人之自然人)

高階管理人員					
姓名	身分證明文件號碼	身分證明文件類型	出生日期	國籍	職稱
		<input type="checkbox"/> 身分證明文件 <input type="checkbox"/> 年報 <input type="checkbox"/> 變更事項卡 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證明文件 <input type="checkbox"/> 年報 <input type="checkbox"/> 變更事項卡 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證明文件 <input type="checkbox"/> 年報 <input type="checkbox"/> 變更事項卡 <input type="checkbox"/> 其他			

二、立書人是否發行無記名股票(僅適用於法人為股份有限公司之型態)：

- 公司章程未有得發行無記名股票之記載。
 公司章程明定得發行無記名股票，但至今未發行，且未來亦無發行計畫。
 公司章程明定得發行無記名股票且已發行無記名股票，相關持有人名單如下：

無記名股票持有人					
姓名	身分證明文件號碼	身分證明文件類型	出生日期	國籍	持有股數或資本額
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			

三、實質受益人

(一)立書人或具控制權者為以下A或B身分：

- A、符合下列任一款身分，得不適用實質受益人辨識及驗證之規定，同時免填實質受益人資料，但有B所列情形者，仍應填寫實質受益人資料：
1. 我國政府機關。
 2. 我國公營事業機構。
 3. 外國政府機關。
 - 4-1. 我國公開發行公司。
 - 4-2. 我國公開發行公司之子公司(母公司名稱：_____)。
 - 5-1. 於國外掛牌並依掛牌所在地規定，應揭露其主要股東之股票上市(櫃)公司。
 - 5-2. 於國外掛牌並依掛牌所在地規定，應揭露其主要股東之股票上市(櫃)公司之子公司(母公司名稱：_____)。
 6. 受我國監理之金融機構及其管理之投資工具。
 7. 設立於我國境外，且所受監理規範與防制洗錢金融行動工作組織(FATF)所定

防制洗錢及打擊資恐標準一致之金融機構，及該金融機構管理之投資工具。

8. 我國政府機關管理之基金。

9. 員工持股信託、員工福利儲蓄信託。

B、非屬上述身分，或雖屬上述身分，但有下列情形者，請檢視下列項目，確認並填寫實質受益人資料及檢附身分證明文件或提供可驗證其身分之可靠來源資料、資訊：

1. 立書人來自未採取有效防制洗錢或打擊資恐之高風險地區或國家，主管機關函轉國際防制洗錢組織所公告防制洗錢與打擊資恐有嚴重缺失之國家或地區，及其他未遵循或未充分遵循國際防制洗錢組織建議之國家或地區。
2. 已發行無記名股票。

(二)填寫說明：

1. 立書人為法人或團體時：

(4) 具控制權之最終自然人身分（所稱具控制權者係指直接、間接持有立書人股份或資本超過25%者）。

(5) 透過其他方式對立書人行使控制權之自然人。

(6) 如未有(1)、(2)所指具控制權之自然人者，則應填寫立書人之高階管理人員。

2. 立書人為信託之受託人時：

(1) 委託人、受託人、信託監察人、信託受益人及其他可有效控制該信託帳戶之人，或與上述人員具相當或類似職務者之身分，皆為實質受益人。

(2) 如前述(1)委託人及信託受益人為法人時，應填寫其實質受益人(請依上述第1點方式辨識)；如受託人、信託監察人及其他可有效控制該信託帳戶之人為法人時，應填寫該法人於此信託契約內有權代表該法人行使其職責之人。

實質受益人					
姓名	身分證明文件號碼	身分證明文件類型	出生日期	國籍	職稱
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			
		<input type="checkbox"/> 身分證 <input type="checkbox"/> 護照 <input type="checkbox"/> 居留證 <input type="checkbox"/> 其他			

四、立書人聲明已向前揭高階管理人員、無記名股票持有人或實質受益人說明，並取得其同意後始提供資料予貴行，且均已了解貴行蒐集、處理、利用上揭個人資料之目的及範圍，並同意貴行蒐集、處理及利用其個人資料。

此致

華南商業銀行

立書人：

統一編號：

(蓋章)

中 華 民 國 年 月 日