

# Certification Regarding Compliance with Anti-Money Laundering and Know Your Customer for Sunny Bank Ltd.

## Part I. General Information

1. Bank Name: Sunny Bank Ltd.
2. Legal Form: Commercial Bank Place of Incorporation: Taiwan(R.O.C.)
3. Registration/License No.: 112040 Issue Date : 2023/08/28
4. Registered Address of Head Office: NO. 156, SEC. 2, ZHONGSHAN N. RD., ZHONGSHAN DIST. TAIPEI CITY, TAIWAN(R.O.C.)
5. Website Address: https://www.sunnybank.com.tw/
6. Name of External Auditors: Deloitte & Touche Taiwan
7. Compliance Contact Name: Le Wen-Kuang  
Title: Compliance Officer of the Head Office  
Contact Telephone: 886-2-66188166 ext.3601 Fax: 886-2-28227450  
Email Address: sunny50@sunnybank.com.tw
8. Our Major Business Operating Activities :
  - (1) Deposit Services (2) Loan Services (3) Foreign Exchange
  - (4) Trust Services (5) Wealth Management Services (6) Credit Card Services
  - (7) Financial Operations
9. Board of Directors and Senior Management:  
Chairman : Chen Sheng-Hung  
President & CEO : Ding Wei-Hao  
Senior Executive Vice President : Ho Kuen-Tang  
Executive Vice President : Kuo Chih-Hung , Ho, Li-Wei , Chen Yang-Yo
10. Ownership Structure:

Fu Li Yang Investment Co., Ltd.	13.09%
The First Insurance Co., Ltd.	3.24%
Chuan Yang Construction Co., Ltd.	3.24%
Hai Wang Printing Co., Ltd.	2.84%
Farglory life Insurance Co., Ltd.	2.35%

We are not listed in any stock exchange and there is no shareholder holding more than 20 percent in our bank.

## Part II. Regulatory Information

1. Our bank is subject to laws or regulations designed to combat money laundering.
2. All our branches are all subject to the anti-money laundering laws applicable to our head office and in the jurisdictions in which they are located.
3. Our bank has been examined by our governmental regulator, Financial Supervisory Commission, for compliance with anti-money laundering laws or regulations in the recent year.
4. Our bank has not been subject to any regulatory enforcement or criminal actions resulting from violations of anti-money laundering laws or regulations, narcotics trafficking, terrorism or fraud.
5. Our bank has not been the subject of criminal investigations, prosecutions, or other action relating to money laundering, narcotics trafficking, terrorism or fraud.
6. Our bank anti-money laundering policy has been up to FATF standards.

## Part III. Anti-Money Laundering Policies and Procedures

1. Our bank has established written policies designed to combat money laundering.
2. Our bank has established written internal procedures and controls to implement anti- money laundering policies.
3. The anti- money laundering policies applicable to our head office also apply to all our branches.
4. Our bank has written account opening and customer identification policies and procedures that require us to verify the identity of all customers prior to opening an account.
5. Our bank has written Know Your Customer policies and procedures that require us to obtain background information and documentation about our customers.
6. Our bank has a policy of NOT opening accounts for foreign banks that do not have a physical presence in the country in which they trade (i.e.: "Shell Banks").
7. Our bank does not maintain any accounts or relationships with a foreign Shell Bank.
8. Our bank does not maintain anonymous accounts.
9. Our bank has retention of records of identification and due diligence in accordance with our local regulatory requirements.
10. Our bank does not allow direct use of the correspondent account by third parties to transact business on their behalf. (i.e. payable-through accounts)
11. The identification is required when our bank conduct transactions for non-account holders. (e.g. wire transfers for walk-in customer)
12. Our bank's policy has clearly defined roles, responsibilities and accountability of each staff in relation to anti-money laundering compliance.

Part IV. Large Cash Transactions and Suspicious Activity

1. Our bank monitors customer account activities and other transactions to identify large cash transactions.
2. Our bank obtains customer identification and maintains the records for large cash transactions.
3. Our bank monitors customer account activity and other transactions for suspicious activity.
4. Our bank reports suspicious activity to the government.

Part V. Training

1. Our bank provides training on money laundering laws and regulations and our anti-money laundering policies and procedures to employees.

Part VI. Compliance Function & Independent Audits

1. Our bank has a designated Compliance Officer responsible for overseeing and monitoring compliance with the anti-money laundering program.
2. Compliance Officer is responsible for anti-money laundering and anti-terrorist financing program:  
Contact Name: Le Wen-Kuang  
Title: Compliance Officer of the Head Office  
11. Address: NO. 156, SEC. 2, ZHONGSHAN N. RD., ZHONGSHAN DIST. TAIPEI CITY. TAIWAN(R.O.C.)  
Phone Number: 886-2-66188166 ext.3601  
Fax Number: 886-2-28227450  
Email Address: sunny50@sunnybank.com.tw
3. Our bank has an established audit and compliance review function to test the adequacy of anti-money laundering policies and procedures.
4. Our bank has external and internal independent auditors testing our compliance with anti-money laundering laws and regulations and our anti-money laundering program.
5. The name of our external auditor: Deloitte & Touche Taiwan

I confirm that, to the best of my knowledge, the above information is correct, accurate and reflective of our bank's anti-money laundering policies, procedures and program.

Signature: Le Wen-Kuang  
Le Wen-Kuang  
Compliance Officer of the Head Office  
Sunny Bank

Date: 9. 27, 2023