

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, **Hua Nan Commercial Bank, Ltd. Head Office (including all domestic branches) and all of its overseas branches as listed in the attachment ("Foreign Bank")** hereby certifies as follows:

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.

B. Correspondent Accounts Covered by this Certification:

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

C. Physical Presence/Regulated Affiliate Status:

Foreign Banks maintains a **physical presence** in any country.

That means Foreign Bank listed:

- Has a place of business at the street address indicated, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities.
- Is authorized to conduct banking activities in the country where its place of business is located.
- Is subject to inspection by the banking authority identified that licensed or supervises the particular Foreign Bank to conduct banking activities.

D. Indirect Use of Correspondent Accounts:

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:

Foreign Bank is 100% owned by Hua Nan Financial Holdings Co., Ltd. (address: No.38, Section 1, Chung-King South Road, Taipei, Taiwan, R.O.C.) whose 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)).

F. Process Agent:

Hua Nan Commercial Bank, Ltd. Los Angeles Branch is a resident of the United States at 707, Wilshire Blvd. Suite 3100, Los Angeles, CA 90017, 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.


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, Tsung-Lung Liu , 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.

Hua Nan Commercial Bank, Ltd.



[Signature]

Tsung-Lung Liu

Senior Vice President & General Manager

International Banking Department

Executed on this 12th day of April, 2012.

Received and reviewed by:

Name: _____

Title: _____

For: _____

[Name of Covered Financial Institution]

Date: _____

**ATTACHMENT TO CERTIFICATION REGARDING
CORRESPONDENT ACCOUNTS FOR
HUA NAN COMMERCIAL BANK LTD.,
HEAD OFFICE AND ITS OVERSEAS BRANCHES**

H.O. & OVERSEAS BRANCHES	LOCATION	BANKING AUTHORITY
HEAD OFFICE	38 Chung-King South Road, Sec. 1, Taipei, Taiwan, R.O.C.	Central Bank of the Republic of China(Taiwan) Ministry of Finance Financial Supervisory Commission, Executive Yuan
HONG KONG BRANCH	Suite 5601-03,56 th Fl. Central Plaza, 18 Harbour Road, Wanchai, Hong Kong	HKMA Hong Kong
SINGAPORE BRANCH	80 Robinson Road, #14-03, Singapore 068898	MAS Singapore
LONDON BRANCH	5th Fl., 32 Lombard Street, London EC3V 9BQ , U.K.	FSA U.K.
NEW YORK AGENCY	330 Madison Ave., 38th Floor, New York, NY 10017 U.S.A.	FED U.S.A
LOS ANGELES BRANCH	707 Wilshire Blvd., Suite 3100, Los Angeles, CA 90017 U.S.A.	FED U.S.A.

HO CHI MINH CITY BRANCH	10 th Fl., Royal Tower, 235 Nguyen Van Cu St., District 1, Ho Chi Minh City, Vietnam	State Bank of Vietnam Vietnam
SHENZHEN BRANCH	Suite 1803-1804 18F., Tower One, Kerry Plaza, 1 Zhongxinsi Road, Futian District, Shenzhen, China	China Banking Regulatory Commission China
SYDNEY BRANCH	Suite 603, 60 Carrington Street, Sydney NSW2000 Australia	Australian Prudential Regulation Authority Australia
MACAU BRANCH	Avenida Doutor Mario Soares, Finance and IT Center of Macau, 17th Floor B, C, Macau	Monetary Authority of Macao (AMCM)