

# The Export-Import Bank of the Republic of China

## FINANCIAL INSTITUTIONS CERTIFICATION REGARDING COMPLIANCE WITH ANTI-MONEY LAUNDERING & COUNTERING THE FINANCING OF TERRORISM/ KNOW YOUR CUSTOMER QUESTIONNAIRE

### Part I. General Administrative Information

Date: Jun. 11<sup>st</sup>, 2020

|   |   |
|---|---|
| 1. Legal Name of Bank:                                  | The Export-Import Bank of the Republic of China                     |
| 2. Legal Form:  | The corporation of non-company institution                          |
| 3. Type of Organization:                                | Specialized Bank  |
| 4. Registered at:                                       | Republic of China (Taiwan)  |
| 5. Banking License issuing authority:                   | Financial Supervisory Commission, Executive Yuan                    |
| Banking License issuing date:                           | June, 2020  |
| 6. Address of Head Office:                              | 8 Fl., No.3, Nanhai Rd., Taipei City 10066, Taiwan R.O.C.           |
| 7. Swift Code:  | EROCTWTP  |
| 8. Website Address:                                     | <a href="http://www.eximbank.com.tw">http://www.eximbank.com.tw</a> |
| 9. Contact Name for correspondent banking relationship: | Ms. Sarah Wang/SVP&GM   |
| Contact Address:  | 8 Fl., No.3, Nanhai Rd., Taipei City 10066, Taiwan R.O.C.           |
| Telephone No.   | 886-2-2321-8189   |
| Email Address:  | <a href="mailto:fn@eximbank.com.tw">fn@eximbank.com.tw</a>          |
| Fax No.:  | 886-2-2341-2517   |

### Part II. Ownership and Management Information

|   |                                    |
|---|------------------------------------|
| 1. Ownership Structure:   | 100% government-owned bank         |
| 2. Our bank is directly controlled by the Ministry of Finance, R.O.C. |                                    |
| 3. Board of Directors:  |                                    |
| <b>Name</b>   | <b>Position</b>                    |
| 林水永<br>Mr. Shui-Yung Lin  | Chairman of the Board of Directors |
| 劉佩真<br>Ms. Pei-Jean Liu   | President                          |
| 吳自心<br>Mr. Tzu-Hsin Wu  | Managing Director                  |
| 顏輝煌<br>Mr. Hui-Huang Yan  | Director                           |
| 張淑逸<br>Ms. Shu-Yi Chang   | Director                           |
| 王玉晴<br>Ms. Yu-Chyng Wang  | Director                           |
| 廖上熙<br>Mr. Shang-Hsi Liao   | Director                           |

### Part III. Scope of Business Activities

|  |
|--|
| 1. Our bank is a state-owned specialized bank for export and import credits, and we do not provide services of commercial banks. |
| 2. Principal areas of business activity:<br>a. Loans<br>b. Guarantees<br>c. Export Credit Insurance                              |

| 3. Branches:     |        |        |
|------------------|--------|--------|
| Country-City     | Type   | Number |
| Taiwan-Hsinchu   | Branch | 1      |
| Taiwan-Taichung  | Branch | 1      |
| Taiwan-Tainan    | Branch | 1      |
| Taiwan-Kaohsiung | Branch | 1      |

## **Part IV. Regulatory Information**

|   |   |
|---|---|
| 1. Name of the banking supervisory authority in our country:  | Financial Supervisory Commission, Executive Yuan  |
| 2. Name of the law which regulates Anti-Money Laundering procedures in our country:   | Money Laundering Control Act/Combating the Financing of Terrorism and Proliferation Act |
| 3. Our bank is subject to laws or regulations designed to combat money laundering and terrorist financing.  |   |
| 4. Our bank has been examined by our governmental regulator, Financial Supervisory Commission, for compliance with anti-money laundering laws or regulations.   |   |
| 5. 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. |   |
| 6. To our knowledge, our bank has not been the subject of criminal investigations, prosecutions, or other action relating to money laundering, narcotics trafficking, terrorism or fraud.             |   |

## **Anti-Money Laundering (AML) 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 AML policies.  |
| 3. The AML policies and practices are applicable to our head office and branches.  |
| 4. Our bank has written Know Your Customer policies and procedures that require us to obtain background information and documentation about our customers.   |
| 5. Our bank does not maintain any accounts or relationships with a Shell Bank.   |
| 6. Our bank does not maintain anonymous accounts.  |
| 7. Our bank has policies covering relationships with Politically Exposed Persons (PEPs), their family and close associates, and enhanced monitoring must be performed with senior management approval obtained . |
| 8. Our bank permanently maintains customer identification account files and correspondence.  |
| 9. Our bank takes steps to understand the normal and expected transactions of customers based on risk assessment.  |

## **Risk Assessment**

|  |
|--|
| 1. Our bank has a risk-based assessment of its customer base and their transactions.   |
| 2. Our bank has determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that we have reason to believe pose a heightened risk of illicit activities at or through our bank. |

## **Large Cash Transactions and Suspicious Activity**

|  |
|--|
| 1. Our bank monitors customer account activity and other transactions to identify large cash transactions.   |
| 2. Our bank obtains customer identification and has appropriate record retention procedures pursuant to applicable law.  |
| 3. Our bank monitors customer account activity and other transactions for suspicious activity.   |
| 4. Our bank reports suspicious activity to the government.   |
| 5. Our bank has a requirement to collect information regarding customers' business activities.   |
| 6. A review and update of customer information is required when a significant event occurs, such as changes in account ownership or documentation standards.   |
| 7. Our bank has a process to terminate a customer relationship where updated information has not been provided or is not verifiable or cannot be corroborated. |

## **Training**

- |  |
|--|
| 1. Our bank has developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions that has been approved by senior management.  |
| 2. Our bank provides training on money laundering laws and regulations and our anti-money laundering policies and procedures to employees semiannually.  |
| 3. Our bank provides AML training to relevant employees that includes identification and reporting of transactions that must be reported to government authorities, examples of different forms of money laundering involving the FI's products and services and internal polices to prevent money laundering. |

## **Compliance Function & Independent Audits**

- |   |
|---|
| 1. Our bank has a designated Compliance Officer responsible for overseeing and monitoring compliance with the anti-money laundering program. Contact email address: AML@eximbank.com.tw                                   |
| 2. Our bank has an established audit and compliance review function to test the adequacy of anti-money laundering policies and procedures.  |
| 3. In addition to inspections by the government supervisors / regulators, our bank has independent auditors testing our compliance with anti-money laundering laws and regulations and our anti-money laundering program. |

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.