

**CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS FOR FOREIGN BANKS**  
**[OMB Control Number 1506-0043]**

**FIRST COMMERCIAL BANK**  
**GLOBAL USA PATRIOT ACT CERTIFICATION**

REGARDING CORRESPONDENT ACCOUNTS FOR FIRST COMMERCIAL BANK'S FOREIGN BANKS

*The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31 of the United States 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 U.S. broker-dealer in securities (a **covered financial institution** as defined in 31 C.F.R. 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 C.F.R. 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 C.F.R. 1010.100(d)).\*

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 instruction for foreign branches of U.S. banks:* A branch or office of a U.S. bank outside the United States 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 instruction 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, First Commercial Bank, Ltd. and all of its overseas branches as listed in the attachment ("FCB Entities"), hereby certify as follows:**

**B. Correspondent Accounts Covered by this Certification:**

**This Certification applies to all accounts established for FCB Entities by Covered Financial Institutions.**

**C. Physical Presence/Regulated Affiliate Status:**

Each of FCB Entities maintains a physical presence in any country. That means:

- Each entity has a place of business at the street address set forth in the attachment hereto, where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities;
- Each entity is authorized to conduct banking activities in the country where its place of business is located;
- Each entity is subject to inspection by the BANKING AUTHORITY as indicated in the attachment hereto, that licensed the particular entity 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. FCB Entities hereby certify that they do 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:**

- ☒ FCB Entities have no owner(s) except as set forth below. For purposes of this Certification, owner means any person who, directly or indirectly, (a) 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 \*\* shall be considered one person.

Immediate ownership

Name	First Financial Holding Company Ltd. 100%
Address	30, Sec.1, Chung King S. Rd., Taipei 10005, Taiwan, R.O.C.

Ultimate ownership

Name	Ministry of Finance, R.O.C. 21.01%
Address	No.1 Lane 142 Sec.6 Roosevelt Rd. Taipei, 116055 Taiwan , R.O.C

**F. Process Agent:**

First Commercial Bank, Ltd. Los Angeles Branch is a resident of the United States at the following street address: 600 Wilshire Blvd., Suite 800, Los Angeles, CA 90017, U.S.A., and is authorized to accept service of legal process on behalf of FCB Entities 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**

FCB Entities hereby agree to update this Certification published on the web-site whenever there is any change in facts or circumstances reported in this Certification. Given the signature date in this Certification, the Covered Financial Institution can accurately examine when it is updated. The update will be completed within 30 calendar days of such change.

FCB Entities understand that each Covered Financial Institution at which they maintain a Correspondent Account may provide a copy of this Certification to the Secretary of the Treasury and the Attorney General of the United States. FCB Entities further understand 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, Yi-Hsiang Lu, 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 FCB Entities.

Yi-Hsiang Lu  
(Signature)

Yi-Hsiang Lu  
(Printed Name)

S.V.P. & Division Chief  
(Title)

Date:

1.20.2015

\* 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.

\*\* The same family means parents, 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

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

<b>FIRST BANK ENTITIES</b>	<b>STREET ADDRESS</b>	<b>BANKING AUTHORITY</b>
<b>HEAD OFFICE</b>		
First Commercial Bank	30, Chung King South Road, Sec. 1 Taipei 10005, Taiwan, R.O.C.	Financial Supervisory Commission, Executive Yuan, Taiwan
<b>OVERSEAS BRANCH</b>		
First Commercial Bank New York Branch	750, 3rd Avenue, 34th Floor, New York, NY 10017, U.S.A.	Federal Reserve Bank of New York, USA New York State Department of Financial Services Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Los Angeles Branch	600, Wilshire Blvd., Suite 800, Los Angeles, CA 90017, U.S.A.	Federal Reserve Bank of San Francisco, USA California Department of Business Oversight Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Houston Branch	1201 Louisiana St., Suite 750, Houston, TX 77002, USA	Federal Reserve Bank of Dallas, USA Texas Department of Banking Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Brisbane Branch	Mezzanine Floor, 199 George St., Brisbane QLD 4000, Australia	Australian Prudential Regulation Authority, Australia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Chengdu Branch	Unit No. 1、9、10, 16F, Chengdu IFS Tower 1, No.1 Hongxing Road Section 3, Jinjiang District, Chengdu, 610021 China	China Banking Regulatory Commission, China Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Frankfurt Branch	Bockenheimer Landstr. 51-53, 60325 Frankfurt am Main, Germany	Federal Financial Supervisory Authority, Germany Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Guam Branch	862 South Marine Corps Drive, Tamuning, Guam 96913 U.S.A.	Department of Revenue and Taxation, Guam Financial Supervisory Commission, Executive Yuan, Taiwan

First Commercial Bank Hanoi City Branch	8th Floor, Charmvit Tower, 117 Tran Duy Hung Street, Trung Hoa Ward Cau Giay District, Hanoi City, Vietnam	State Bank of Vietnam, Vietnam Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Ho Chi Minh City Branch	21 Fl A&B Tower, 76A Le Lai Street, District 1, Ho Chi Minh City, Vietnam	State Bank of Vietnam, Vietnam Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Hong Kong Branch	1702, 17th Floor, Prudential Tower, The Gateway, Harbour City, 21 Canton Road, Tsimshatsui, Kowloon, Hong Kong	Hong Kong Monetary Authority, Hong Kong Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank London Branch	Bowman House, 29 Wilson Street, London EC2M 2SJ, United Kingdom	Financial Services Authority, UK Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Macau Branch	Unit B-C, 16/F, Finance and IT Centre of Macau, Avenida Commercial de Macau, Macau	Monetary Authority of Macao, Macao Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch	1F&2F, No.66, Norodom Blvd, Sangkat Chey Chomnas, Khan Daun Penh, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Chorm Chaov Sub-Branch	No.3,5,7&9 , Prey Chisak Village, Chorm Chaov Commune, Dangkor District, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Olympic Sub-Branch	No. 30 ABC(Ground Floor, First Floor and Second Floor), St. 215, Sangkat Mittapheab, Khan 7 Makara, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Chamkar Mon Sub-Branch	1F, No.216B, Norodom Blvd (41), Sangkat Tonel Bassac, Khan Chamkarmorn, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Tuol Kouk Sub-Branch	No.89, Street. 289, Phum 14, Sangkat Boeung Kak II, Khan Tuol Kork, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan

First Commercial Bank Phnom Penh Branch -Chraoy Chongvar Sub-Branch	No.F08-F09,Street National Road No 6, Phum3, Sangkat Chroy Changva, Khan Russey Keo, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Mean Chey Sub-Branch	No 14A & 15A, Street Chaom Chau, Phum Damnak Thum, Sangkat Stueng Meanchey, Khan Meanchey, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Siem Reap Sub-Branch	No.602&604, Preah Sangreach Tep Vong Street, Phum Mondol 2, Sangkat Svay Dongkum, Siem Reap Province, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Phsar Derm Thkov Sub-Branch	No.231,Street 271,Phum 4 , Sangkat Tuol Tumpung Ti Pir, Khan Chamkar Mon, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Phnom Penh Branch -Sen Sok Sub-Branch	No.111&113,Street 1003,Bayab Village, Sangkat Phnom Penh Thmei, Khan SaenSokh, Phnom Penh, Cambodia	National Bank of the Cambodia, Cambodia Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Shanghai Branch	86, Ronghua East Road (JH Gubei 88 Building), Changning District, Shanghai 201103, China	China Banking Regulatory Commission, China Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Shanghai Pilot Free Trade Zone Sub-Branch	Room 2305 Shanghai Shimao Tower, No 55 West Weifang Road, Pudong New District, Shanghai 200122, China	China Banking Regulatory Commission, China Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Singapore Branch	No.77, Robinson Road, #29-01, Singapore 068896	Monetary Authority of Singapore, Singapore Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Tokyo Branch	100-0004 23F Taisei Otemachi Building, 2-1-1, Otemachi, Chiyoda-Ku, Tokyo, Japan ✓	Financial Services Agency, Japan Bank of Japan, Japan Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Toronto Branch	5000 Yonge Street, Suite 1803, Toronto, ON, M2N 7E9, Canada	Office of the Superintendent of Financial Institution, Canada Financial Supervisory Commission, Executive Yuan, Taiwan

First Commercial Bank Vancouver Branch	#100-5611 Cooney Road, Richmond, B.C. V6X 3J6, Canada	Office of the Superintendent of Financial Institution, Canada Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Vientiane Branch	No.061, Phonxay, 23 Singha Road, Saysettha District, Vientiane, Lao PDR	Bank of the Lao PDR, Laos Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Xiamen Branch	Unit EFGH, 30F, International Plaza, No. 8 Lujiang Road, Siming District, Xiamen, Fujian Province, 361001 China	China Banking Regulatory Commission, China Financial Supervisory Commission, Executive Yuan, Taiwan
First Commercial Bank Manila Branch	20F, Tower 6789, 6789 Ayala Avenue, Makati City, Metro Manila, Philippines	Bangko Sentral ng Pilipinas Financial Supervisory Commission, Executive Yuan, Taiwan

