

Institution Name : First Securities Investment Trust Co., Ltd.

Location : 7<sup>th</sup> FL.,No.6,Min Chuan E.Road,Sec.3,Taipei 10477,Taiwan

This questionnaire acts as an aid to firms conducting due diligence and should not be relied on exclusively or excessively. Firm may use this questionnaire alongside their own policies and procedures in order to provide a basis for conducting client due diligence in a manner consistent with the risk profile presented by the client. The responsibility for ensuring adequate due diligence, which may include independent verification or follow up of the answers and documents provided, remains the responsibility of the firm using this questionnaire.

### 1. Anti-Money Laundering Procedures and Activities

#### (1) General AML Policies, Practices, and Procedures

1. Does the country have AML supervisory mechanism?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the Institution have an AML Policy approved at board or senior level?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
3. Does the Institution have an AML Policy that includes a designated officer who is responsible for coordinating and overseeing AML?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
4. Does the institution have internal audit department or external third party to assess AML policies and practices on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
5. Is the Institution's AML Policy applicable to subsidiaries and branches, both in the home country and in locations outside of the home country?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

### 2. Risk Assessment

1. Does the Institution have a risk assessment methodology to assess the AML/financial crime risk posed by its customers and their transactions?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the Institution classify customers into different categories according to risk-based assessment and conduct KYC due diligence?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
3. Are there any categories of customers that are prohibited?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

### 3. Know The Customer, Due Diligence

1. Does the Institution screen against applicable official lists to ensure that an individual or business is not linked to money laundering or terrorist financing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the institution entrust third-party to verify identities of customers, representatives, beneficiary owners and the purpose of business relationship?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
3. Does the institution confirm that the customers are not on sanction list or identified terrorist by foreign governments or international anti-money laundering organization?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
4. Does the institution implement enhanced customer due diligence on	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

# The Wolfsberg Group

This AML&CFT Questionnaire refer to The Wolfsberg FAQs

incumbent and non-incumbent domestic or foreign politically exposed persons (PEPs)?		
5. Does the institution verify whether the customers identity such as collecting customers information, the status of issuing bearer shares and gathering senior managers information.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
6. Does the institution conduct different KYC due diligence when establishing first or new business relations according to risk levels of customers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. Does the institution understand the sources of fund of high risk customers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
8. Does the institution have a process to review and where appropriate update customer information relating to high risk client information?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
9. Does the institution conduct enhanced customer due diligence on high risk customers in order to review the information of beneficiary owner(s) at least once a year?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
10. Does the Institution record customer information and retain all records?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

## 4. Transaction Monitoring and Reporting

1. Does the Institution have a monitoring program for unusual and potentially suspicious activity via information system based on risk-based assessment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the institution report suspicious activity to the local regulation regardless of the amount of cash transaction?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

## 5. AML Training

1. Has the Institution implemented periodic AML training programs for all staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the Institution retain records of its training sessions including attendance records and relevant training materials used?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
3. Does the Institution communicate new AML related law or changes to existing AML related policies or practices to relevant employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

Name: Sandra Lin / LIAO, WEN-WEI

Title: AML Officer / First Securities Investment Trust Co., Ltd.

Signature: Sandra Lin

Date: 2024/2/5

