

大陸商中國銀行在臺分行內部控制制度聲明書

Bank of China Taiwan Branch(es)

Statement of Internal Control

謹代表大陸商中國銀行在臺分行聲明本銀行於 2023 年 01 月 01 日至 2023 年 12 月 31 日確實遵循「金融控股公司及銀行業內部控制及稽核制度實施辦法」、「外國銀行及大陸地區銀行在臺分行適用「金融控股公司及銀行業內部控制及稽核制度實施辦法」說明對照表（暨金融監督管理委員會備查之風險導向稽核及內部控制制度）建立內部控制制度，實施風險管理，並由超然獨立之稽核部門執行查核，定期陳報總行。經審慎評估，本年度各單位內部控制及法規遵循制度及資訊安全整體執行情形，除附表所列事項外，均能確實有效執行。

On behalf of Bank of China, Taiwan Branch, we hereby certify that from January 1 to December 31, 2023, the Bank has duly complied with the “Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries”, and the Comparison Table of “Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries” for Foreign Bank Branches (and the risk-based approach approved by the Financial Supervisory Commission) in establishing the internal control system and implementing risk management procedures. The Bank has been audited by independent auditors who submit reports to headquarter. After prudent evaluation, except for the items listed in the attached schedule, the Bank’s each department has implemented effective internal control and compliance systems and overall information security implementation during the year to which this statement relates.

謹 致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

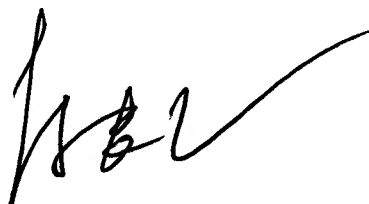
聲明人

Statement by

在臺負責人：

Responsible Person in Taiwan

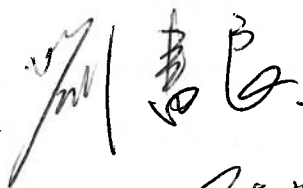
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臺灣區遵守法令主管：

Head of Compliance in Taiwan

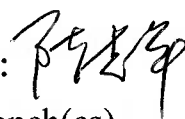
(簽章)



總稽核／或負責臺灣區稽核業務之主管：

Auditor in charge of auditing on Taiwan branch(es)

(簽章)



負責臺灣區資訊安全之主管：

Officer in charge of information security on Taiwan branch(es)

(簽章)



2024 年 3 月 8 日

大陸商中國銀行內部控制制度應加強事項及改善計畫
(基準日：西元 2023 年 12 月 31 日)

| 應 加 強 事 項 | 改 善 措 施 | 預 定 完 成 改 善 時 間 |
|-----------|---------|-----------------|
| 一、無 | 無 | 無 |

