

安泰商業銀行內部控制制度聲明書

謹代表安泰商業銀行聲明本銀行於 113 年 1 月 1 日至 113 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」及前開辦法第三十八條第五款及第三十八條之一規定，與同業公會所定資訊安全自律規範，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，定期陳報董事會及審計委員會。

兼營證券業務部分，並依據「證券暨期貨市場各服務事業建立內部控制制度處理準則」規定之內部控制制度有效性之判斷項目，判斷內部控制制度之設計及執行是否有效。

兼營保險經紀人業務部分，並依據「保險代理人公司保險經紀人公司內部控制稽核制度及招攬處理制度實施辦法」之規定判斷本銀行內部控制制度之設計及執行是否有效。

本銀行採用至少包括(一)控制環境、(二)風險評估、(三)控制作業、(四)資訊與溝通、(五)監督作業之內部控制制度判斷項目，檢查內部控制制度之設計及執行之有效性。基於前述各項檢查結果，認為上開期間之內部控制制度（包括知悉營運之健全性、報導之可靠性、相關法令規章之遵循及資訊安全整體執行情形）之設計及執行，除附表所列事項外，均能確實有效執行。

本聲明書業經本銀行中華民國 114 年 3 月 13 日董事會通過，並將成為本銀行年報及公開說明書之主要內容，並對外公開。上述公開之內容如有虛偽、隱匿等不法情事，將涉及證券交易法第二十條、第三十二條、第一百七十一條及第一百七十四條等相關規定之法律責任。

謹 致

金融監督管理委員會

聲明人

董事長：

總經理：

總稽核：

總機構法令遵循主管：

資訊安全長：



中 華 民 國 1 1 4 年 3 月 1 3 日

113 年度內部控制制度應加強事項及改善計畫

(基準日：113 年 12 月 31 日)

應加強事項	改善措施	預定完成改善時間
辦理聯徵查詢作業，有未符合查詢資格要件之情事。	強化內部教育訓練及落實聯徵查詢作業之品質要求，並增加系統提醒與檢核機制。	系統提醒與檢核機制已於 114 年 1 月 14 日上線，並將持續加強教育訓練與聯徵查詢作業之準確性。



EnTie Commercial Bank Statement of Internal Control System

On behalf of EnTie Commercial Bank, we declare that, during the period from January 1 to December 31, 2024, the Bank fully abided by the Implementation Rules of Internal Audit and Internal Control System for Financial Holding Companies and Banking Industries and the provisions of Paragraph 5, Article 38 and Article 38-1, and self-regulatory rules for information security stipulated by the trade association, and established a system of internal controls, implemented risk management, and designated a fully independent audit department to conduct audits and report the results to the Bank's Board of Directors and Audit Committee on a regular basis.

For the securities business in which the Bank concurrently engages in, the assessment items stipulated in the Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets were used to determine the effectiveness of the design and implementation of the Bank's system of internal controls.

For the insurance broker business in which the Bank concurrently engages, the Bank determines the effectiveness of its internal control system design and implementation in accordance with the Regulations Governing the Implementation of Internal Control and Audit System and Business Solicitation System of Insurance Agent Companies and Insurance Broker Companies.

The Bank evaluated the effectiveness of its internal control system design and implementation based on five measurement items, namely: (1) control environment, (2) risk assessment, (3) control activities, (4) information and communication, and (5) monitoring operation. Based on the results of the above-mentioned evaluation, it is considered that the design and implementation of the internal control system (including the soundness of the operation, the reliability of reporting, the compliance with relevant laws and regulations and the overall information Implementation security) during the said period, except for items listed in the Attachment, was effectively implemented.

This statement, approved by the Board on March 13, 2025, will become primary contents included in the annual report and prospectus of the Bank and will be publicly announced. If any fraudulent information, concealment or unlawful practices are discovered in the contents of the aforementioned information, the Bank shall be held liable under Articles 20, 32, 171 and 174 of the Securities and Exchange Act.

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Financial Supervisory Commission



Issued by:

Chairman:

President:

Frank Hsu

Chief Auditor:

Yvonne Tseng

Head Office Chief Compliance Officer:

Morris Chang

Chief Information Security Officer:

Arcus Chang

Date: March 13, 2025

EnTie Commercial Bank

Improvements Needed to Be Made and Improvement Plan for Internal Control System

(Base date: December 31, 2024)

Improvements needed to be made	Improvement measures	Estimated completion time
The Bank conducted a non-eligible inquiry on credit trail inquiry.	Strengthened internal training and requirement on quality of credit inquiry. A warning message and a review mechanism was also added.	The warning message and review mechanism were set up online at Jan. 14 th , 2025, and internal training is also strengthened.

