

# 台北富邦商業銀行股份有限公司內部控制制度聲明書

- 一、謹代表台北富邦商業銀行股份有限公司聲明本公司於 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」，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暨風險管理委員會，並確實遵循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。
- 二、兼營證券業務部分：  
本公司已確實依據「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。
- 三、兼營保險代理人業務部分：  
本公司已確實依據「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」規定之內部控制制度有效之判斷項目，判斷內部控制制度之設計與執行是否有效。
- 四、經審慎評估，本年度各單位內部控制、法規遵循情形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。
- 五、本聲明書將成為本公司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或保險法等相關規定之法律責任。
- 六、本聲明書業經本公司中華民國 114 年 3 月 12 日董事會通過，併此聲明。

謹 致

金融監督管理委員會

聲明人

董事長：

呂明興

(簽章)

總經理：

郭俊廷

(簽章)

總稽核：

劉明達

(簽章)

總機構法令遵循主管：

洪麗和

(簽章)

資訊安全長：

張俊揚

(簽章)

中 華 民 國 114 年 3 月 12 日

台北富邦商業銀行股份有限公司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
無	無	無





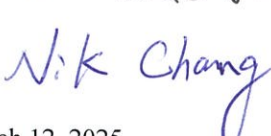


# Taipei Fubon Commercial Bank Co., Ltd.

## Internal Control System Statement

1. On behalf of Taipei Fubon Commercial Bank Co., Ltd. we hereby declare that the Company has indeed complied with the "Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries" from January 1, 2024 to December 31, 2024, and established internal control system, implemented risk management, and conducted inspections by an independent audit department to report to the Board of Directors and Audit and Risk Management Committee regularly. The Company complies with the provisions of Article 38(5) and Article 38-1 of the aforementioned Regulations and the self-disciplinary guidelines on information security established by the Bankers Association.
2. Concurrent securities business:  
The Company has judged whether the design and implementation of the internal control system is effective in accordance with the judgment items of the effectiveness of the internal control system stipulated in the "Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets".
3. Concurrent insurance agent business:  
The Company has judged whether the design and implementation of the internal control system is effective in accordance with the judgment items of the effectiveness of the internal control system stipulated in the "Regulations Governing the Implementation of Internal Control and Audit System and Business Solicitation System of Insurance Agent Companies and Insurance Broker Companies".
4. After careful evaluation, the internal controls, compliance with laws and regulations, and the overall implementation of information security of each unit during this year, except for the matters listed in the attached table, were effectively implemented.
5. This statement will become the main content of the Company's annual report and prospectus, and will be made public. If any of the aforementioned disclosed content is false, concealed, etc., the Company will be subjected to legal liability under Article 20, Article 32, Article 171 and Article 174 of the relevant provisions of the Securities and Exchange Act or the Insurance Act.
6. This statement was approved by the Company's Board of Directors on March 12, 2025 and the Company hereby declares.

To the Financial Supervisory Commission

Declarant  
Chairperson :  (Signature and seal)  
President :  (Signature and seal)  
Chief Auditor :  (Signature and seal)  
Chief Compliance Officer for the Head Office :  (Signature and seal)  
Chief Information Security Officer:  (Signature and seal)

March 12, 2025



Taipei Fubon Commercial Bank Co., Ltd.  
Internal Control System Enhancements and Improvement Plans  
(Reference date : December 31, 2024)

Matters that should be enhanced	Improvement measures	Estimated time for completion of improvements
Nil	Nil	Nil

