



# 美商花旗銀行在臺分行內部控制制度聲明書

Citibank N.A. Taipei Branch  
Statement of Internal Control

謹代表美商花旗銀行在臺分行聲明本銀行於114年1月1日至114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/區域中心，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。經審慎評估，本年度各單位內部控制、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 Citibank N.A. Taipei Branch, we hereby certify that from January 1 to December 31, 2025, 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 duly complied with the subparagraph 5, Article 38 and Article 38-1 of above Implementation Rules, and the information security self-disciplinary regulations specified by the Banks Association of the ROC. The Bank has been audited by independent auditors who submit reports to *headquarter / regional office*. After prudent evaluation, except for the items listed in the attached schedule, the Bank’s each department has implemented effective internal control, compliance systems and overall information security implementation during the year to which this statement relates.

謹 致

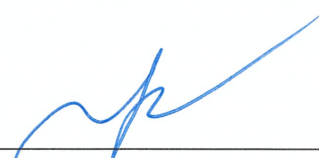
金融監督管理委員會

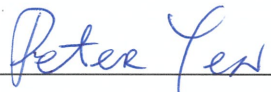
The Statement is submitted to the Financial Supervisory Commission

聲明人

Statement by

在臺負責人：Sheron Lo  (簽章)  
Responsible Person in Taiwan

臺灣區法令遵循主管：May Su  (簽章)  
Head of Compliance in Taiwan

負責臺灣區稽核業務之主管：Peter Yen  (簽章)  
Auditor in charge of auditing on Taiwan branch

負責臺灣區資訊安全主管：Wing Seng Chan  (簽章)  
Officer in charge of information security on Taiwan branch

中 華 民 國 115 年 3 月 12 日

美商花旗銀行在臺分行  
內部控制制度應加強事項及改善計畫  
(基準日：114年12月31日)

應 加 強 事 項	改 善 措 施	預 定 完 成 改 善 時 間
無。 Nil		

美商花旗銀行在臺分行

防制洗錢及打擊資恐內部控制制度聲明書

謹代表美商花旗銀行在臺分行聲明本公司於114年1月1日至114年12月31日確實遵循防制洗錢及打擊資恐相關法令，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/區域中心。經審慎評估，本年度各單位防制洗錢及打擊資恐內部控制及法規遵循情形，均能確實有效執行。

On behalf of Citibank N.A. Taipei Branch, we hereby certify that from January 1 to December 31, 2025, the Bank has duly complied with the relevant regulations governing Anti-Money Laundering and Countering the Financing of Terrorism in establishing the internal control system and implementing risk management procedures. The Bank has been audited by independent auditors who regularly submit reports to headquarter / regional office. After prudent evaluation, the Bank's each department has implemented effective internal control and compliance systems for Anti-Money Laundering and Countering the Financing of Terrorism during the year to which this statement relates.

此 致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

Statement by

在臺訴訟及非訴訟代理人：Sheron Lo  (簽章)

Representative of litigious and non-litigious matters in Taiwan / Country Manager

負責臺灣區稽核業務之主管：Peter Yen  (簽章)

Auditor in charge of auditing on Taiwan branch

防制洗錢及打擊資恐專責主管：Rebecca Wang  (簽章)

Head of AML/CFT

中 華 民 國 115 年 3 月 12 日





美商花旗銀行在臺分行  
防制洗錢及打擊資恐內部控制制度應加強事項及改善計畫  
(基準日：114年12月31日)

應加強事項	改善措施	預定完成改善時間
無。 Nil		