

美商道富銀行臺北分行內部控制制度聲明書

State Street Bank and Trust Company, Taipei Branch

Statement of Internal Control

謹代表美商道富銀行臺北分行聲明本銀行於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）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，建立內部控制制度，實施風險管理，由超然獨立之稽核部門執行查核，定期陳報總行及區域總部。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。

On behalf of State Street Bank and Trust Company, Taipei Branch, we hereby certify that from January 1, 2025 to December 31, 2025, the Bank has duly complied with the “Enforcement Regulations for Financial Holding Company and Bank Internal Audit and Control Systems”, 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) , and has duly complied with Article 38, Item 5 and Article 38-1, of the above Regulations as well as information security self-disciplinary rules issued by the industry association in establishing its internal control system and implementing risk management. The Bank has been audited by independent auditors who submit reports to headquarter and regional office. After prudent evaluation, the Bank’s each department has implemented effective internal control and compliance systems during the year to which this statement relates, except for the items disclosed on below table.

謹致

金融監督管理委員會


The Statement is submitted to the Financial Supervisory Commission

聲明人

Undersigned

在臺負責人：陳怡蓉

Designated Representative

 (簽章)

負責臺灣區稽核業務之主管：Tony Wickert

Auditor in charge of auditing Taiwan

 (簽章)

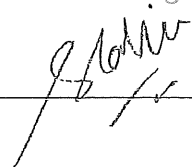
臺灣區法令遵循主管：洪佳琳

Head of Compliance in Taiwan

 (簽章)

負責臺灣區資訊安全主管：Sandeep Kohli

Chief Information Security Officer

 (簽章)

中 華 民 國 115 年 3 月 25 日

美商道富銀行臺北分行內部控制制度應加強事項及改善計畫

State Street Bank and Trust Company, Taipei Branch
Internal Controls Issues and Action Plans

(基準日：114 年 12 月 31 日 / as of December 31, 2025)

應 加 強 事 項 (註) Issues (Note)	改 善 措 施 Action Plans	預 定 完 成 改 善 時 間 Target Completion Date
<ul style="list-style-type: none"> 未有確切之三年計畫文件執行電腦系統資訊安全評估作業 <p>(No established three year plan for Taiwan Information Security Evaluation Plan ("ISEP") evaluation)</p>	<ul style="list-style-type: none"> 台北分行管理階層將與第一線風險與控管法令規範管理服務(Regulatory Management Services-RMS)和台北法令遵循部密切合作，明定每三年重新檢視之 ISEP 評估範圍與方法之計畫。 <p>(Taipei Branch management will work closely with Regulatory Management Services ("RMS") Team and Taipei compliance to document an approach to ISEP coverage in the form of a three year plan.)</p>	<ul style="list-style-type: none"> 115年6月14日 (June 14, 2026)

註：

本表揭示事項為本分行負責之制度面或有重大影響缺失及異常事項。全球或區域層級負責之重大缺失亦可能影響本分行惟於本表未予揭示，因此類缺失係由全球或區域團隊負責並進行改善。

Note:

The template is to disclose the deficiencies or abnormality of systematic or significant impacts which are owned by State Street Bank and Trust Company, Taipei Branch. Significant deficiencies at the global or regional level may impact Taipei branch; however, they are not disclosed in above template since such deficiencies are owned and remediated by the global or regional teams.