

美商富國銀行臺北分行內部控制制度聲明書

Wells Fargo Bank N.A. Taipei Branch

Statement of Internal Control

謹代表美商富國銀行臺北分行聲明本分行於 108 年 1 月 1 日至 108 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）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，經審慎評估，本年度各單位內部控制及法規遵循制度，除附表所列事項外，均能確實有效執行。

On behalf of Wells Fargo Bank N.A. Taipei branch, we hereby certify that from 1/January/2019 to 31/December/2019, 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 (board of directors / 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 and compliance systems 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

BI190-I

(106 生效版)

聲明人

Statement by

在臺訴訟及非訴訟代理人：

(簽章)

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

總稽核 / 或負責臺灣區稽核業務之主管：

(簽章)

Auditor in charge of auditing on Taiwan branch(es)

臺灣區遵守法令主管：

(簽章)

Head of Compliance in Taiwan : Vincent Huang

中 華 民 國 109 年 3 月 23 日

美商富國銀行臺北分行內部控制制度應加強事項及改善計畫
(基準日：108 年 12 月 31 日)

Wells Fargo Bank N.A., Taipei Branch

Internal Control Findings and Corrective Action Plan

(Closing Date: Dec 31, 2019)

應 加 強 事 項 Items to be improved	改 善 措 施 Improving actions	預 定 完 成 改 善 時 間 Estimated completion date
無 N/A	無 N/A	無 N/A