

美商美國紐約梅隆銀行臺北分行內部控制制度聲明書
The Bank of New York Mellon Taipei Branch
Statement of Internal Control

謹代表美商美國紐約梅隆銀行臺北分行聲明本銀行於 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（總行/區域中心）。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 The Bank of New York Mellon, Taipei Branch, we hereby certify that from January 1 to December 31, 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 (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

To

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

Statement by

指定代表：黃蔚文

Designated Representative / Taiwan Country Executive

Michael Huang

 (簽章)

負責臺灣區稽核業務主管：David Matteo

Auditor in charge of auditing on Taipei branch

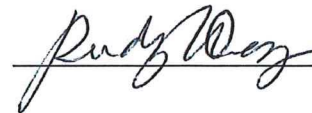
David Matteo

 (簽章)

臺灣區遵守法令主管：王賢裕

Head of Compliance in Taiwan

Rudy Wang

 (簽章)

中 華 民 國 109 年 3 月 27 日

Date: March 27, 2020

美商美國紐約梅隆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)

The Bank of New York Mellon Taipei Branch
Enhancement Items and Improvement Plan for
Internal Control System

(Base date: December 31, 2019)

應 加 強 事 項 Enhancement Items	改 善 措 施 Improvement Measures	預 定 完 成 改 善 時 間 Planned Completion Date
無 Nil		

美商美國紐約梅隆銀行臺北分行防制洗錢及打擊資恐
內部控制制度聲明書

The Bank of New York Mellon Taipei Branch
Statement on Internal AML/CFT Control

謹代表美商美國紐約梅隆銀行臺北分行聲明本銀行 108 年 1 月 1 日至 108 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/區域總部)。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，除後附表所列事項外，均能確實有效執行。

On behalf of The Bank of New York Mellon Taipei Branch, we hereby undertake that from January 1 to December 31, 2019, our Company has duly complied with relevant regulations governing anti-money laundering and countering the financing of terrorism in establishing an internal control system, implementing risk management, designating an independent and objective internal unit to conduct audit, and submitting the audit report periodically to the (Headquarters/ Regional Headquarters). Following prudent evaluation, it is found that except for items listed in the attached "Enhancement Items and Improvement Plan for AML/CFT Internal Control System", each unit of the Company has effectively implemented internal controls for anti-money laundering and countering the financing of terrorism during the year.

此 致

To

金融監督管理委員會

Financial Supervisory Commission

聲明人

Undersigned

指定代表：黃蔚文

 (簽章)


Designated Representative / Taiwan Country Executive

Michael Huang

負責臺灣區稽核業務主管：David Matteo  (簽章)

Auditor in charge of auditing on Taiwan branch

David Matteo

防制洗錢及打擊資恐專責主管：王賢裕  (簽章)

AML Officer (AML0) in Taiwan

Rudy Wang

中 華 民 國 1 0 9 年 3 月 2 7 日

Date: March 27, 2020

美商美國紐約梅隆銀行臺北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：108 年 12 月 31 日)

Enhancement Items and Improvement Plan for AML/CFT
Internal Control System

(Base date: December 31, 2019)

應加強事項 Enhancement items	改善措施 Improvement measures	預定完成改善時間 Planned completion date
無 Nil		