

新加坡商大華銀行在臺分行內部控制制度聲明書

United Overseas Bank Taipei Branch

Statement of Internal Control

謹代表新加坡商大華銀行在臺分行聲明本分行於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，並由稽核部門執行查核，定期陳報總行。兼營證券業務部分，並依據金融監督管理委員會證券期貨局訂頒「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。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。本聲明書將成為本分行依規對外公開之主要內容。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等之法律責任

On behalf of United Overseas Bank Limited 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 Group Audit that would provide audit report for its audit results and assessment to headquarter on a regular basis. With respect to a bank which also engages in the securities business, the Bank has conducted evaluation of the effectiveness of the design and implementation of its internal control system in accordance with the criteria described in the "Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets", promulgated by the Securities and Futures Bureau, Financial Supervisory Commission). After prudent evaluation, except for the items listed in the attached schedule, the Bank's each department has implemented effective system of internal controls and compliance controls during the year to which this statement relates. This Statement shall become a major part of the public disclosure of required information. Any false representation or concealment in this Statement shall be subjected to legal consequences as stipulated in Articles 20, 32, 171 and 174 of the Securities & Exchange Act

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

在臺訴訟及非訴訟代理人： (簽章)

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

Grace WANG



臺灣區稽核業務之主管： (簽章)

Auditor in charge of auditing on Taipei Branch

Vincent CHEONG



(Based on the result of last audit dated Nov 2018 and the validation of corrective actions performed in 2019)

兼營證券經紀商代理買賣外國債券業務內部稽核：

Statutory Auditor for Bond Agency

Shu-Meei YANG



臺灣區遵守法令主管：

(簽章)

Head of Compliance in Taiwan

Stacey CHENG



中 華 民 國 109 年 3 月 27 日

新加坡大華銀行台北分行內部控制制度應加強事項及改善計畫
 United Overseas Bank Taipei Branch
 Enhancement Items and Improvement Plans under Internal Control System
 (基準日：108 年 12 月 31 日)

As of 31 Dec, 2019

應 加 強 事 項 (Enhancement Items)	改 善 措 施 (Improvement Measures)	預 定 完 成 改 善 時 間 (Target Date)
<p>若有任何防制洗錢及打擊資恐 (AML/CFT) 相關應加強事項，揭露於防制洗錢及打擊資恐 (AML/CFT) 之內部控制制度聲明書。</p> <p>Any AML/CFT related enhancement items will be highlighted in AML/CFT Statement of Internal Control separately if there is any</p>		

