

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 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，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, 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, the Bank’s each department has implemented effective internal control and compliance systems during the year to which this statement relates.

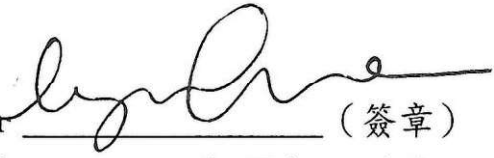
謹 致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

Statement by

在臺訴訟及非訴訟代理人： Lyn Chen  (簽章)

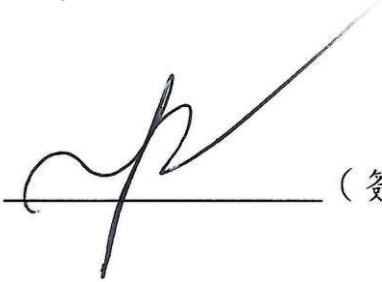
Representative of litigious and non-litigious matters in Taiwan / Country
Manager

負責臺灣區稽核業務之主管： Jessie Liu  (簽章)

Auditor in charge of auditing on Taiwan branch

臺灣區遵守法令主管： May Su

Head of Compliance in Taiwan

 (簽章)

中 華 民 國 109 年 3 月 27 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

Citibank N.A. Taipei Branch

The Schedule for Internal Control to be Enhanced and Action Plans

(基準日：108 年 12 月 31 日)

(As of December 31, 2019)

應 加 強 事 項 Issue	改 善 措 施 Corrective Action Plan	預 定 完 成 改 善 時 間 Target completion Date
無。 Nil.		