

## 香港上海滙豐銀行在臺分行內部控制制度聲明書

The Hongkong and Shanghai Banking Corporation Limited, Taipei Branch  
Statement of Internal Control

謹代表香港上海滙豐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，定期陳報稽核委員會/區域總部。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 Hongkong and Shanghai Banking Corporation Limited, Taipei Branch, we hereby certify that from January 01, 2019 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 Audit Committee and the 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

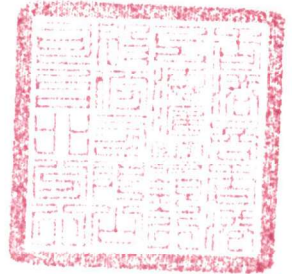
聲明人

Statement by

在臺訴訟及非訴訟代理人： 蔣書城 Mils Chiang (Signature)

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

蔣書城 Miles Chiang



總稽核： 羅潔儀 (Signature)

Head of Global Internal Audit, Asia Pacific

羅潔儀 Astor Law



臺灣區法令遵循主管： 陳怡樺 (Signature)

Head of Compliance in Taiwan

陳怡樺 Elisa Chen

中 華 民 國 109 年 3 月 12 日

March 12, 2020

香港上海滙豐銀行在臺分行內部控制制度應加強事項及改善計畫  
The Hongkong and Shanghai Banking Corporation Limited, Taipei Branch

The Enhancement of Internal Controls & Remediation Plan

(基準日：108 年 12 月 31 日)

(as of 31 December, 2019)

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