

銀行在臺分行內部控制制度聲明書
(Name of bank) Taiwan Branch(es)
Statement of Internal Control

謹代表○○銀行在臺分行聲明本銀行於○○年○○月○○日至○○年○○月○○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」、外國銀行及大陸地區銀行在臺分行適用「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，定期陳報董（理）事會/監察人/總行/區域中心，並確實遵循前開辦法第三十八條第五款及第三十八條之一規定，與同業公會所定資訊安全自律規範（兼營證券業務者，應增列：；兼營證券業務部分，確實依據「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）（兼營保險代理人或保險經紀人業務者，應增列：；兼營保險代理人或保險經紀人業務部分，確實依據「保險代理人公司保險經紀人公司內部控制稽核制度及招攬處理制度實施辦法」規定之內部控制制度有效之判斷項目，判斷內部控制制度之設計與執行是否有效）。經審慎評估，本年度各單位內部控制、法規遵循制度及資訊安全整體執行情形，除附表所列事項外，均能確實有效執行。

On behalf of (name of bank) Taiwan branch(es), we hereby certify that from (date) to (date), (year), 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 duly complied with the **subparagraph 5**, Article 38 and Article 38-1 of above Implementation Rules, and the information security self-disciplinary regulations specified by the Banks Association of the ROC. The Bank has been audited by independent auditors who submit reports to *(board of directors / headquarter / regional office)*. *(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)* *(with respect to a bank which also engages in the insurance agent business or insurance broker 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 Implementation of Internal Control and Audit System and Business Solicitation System of Insurance Agent Companies and Insurance Broker Companies”, promulgated by the insurance Bureau, Financial Supervisory Commission)*. After prudent evaluation, except for the items listed in the attached schedule, the Bank’s each department has implemented effective internal control, compliance systems and overall information security implementation 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

在臺負責人：

(簽章)

Responsible Person in Taiwan

臺灣區法令遵循主管：

(簽章)

Head of Compliance in Taiwan

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)

負責臺灣區資訊安全主管：

(簽章)

Officer in charge of information security on Taiwan branch(es)

中 華 民 國 年 月 日

銀行內部控制制度應加強事項及改善計畫
(基準日： 年 月 日)

| 應 加 強 事 項 | 改 善 措 施 | 預定完成改善時間 |
|-----------|---------|----------|
| | | |

一、填報說明：

1. 內部控制制度聲明書應由在臺負責人督導各單位審慎評估及檢討內部控制制度執行情形後，再由在臺負責人、臺灣區法令遵循主管、負責臺灣區稽核業務主管、負責臺灣區資訊安全主管聯名出具。
2. 銀行當年度各單位內部控制及法規遵循情形若有未能確實有效執行事項，則應填列「內部控制制度應加強事項及改善計畫」，包括「應加強事項」、「改善措施」及「預定完成改善時間」。

二、維護時點及程序表：

| 維護/申報頻率 | | | | | | | 維護/申報 時點 | 維護/申報 程序 | 維護/申報 項目 |
|----------|----------|----------|------------------------|------------------------|----------------------------|--------|--------------|---|-------------|
| 事前 維護 | 事後 維護 | 即時 維護 | 次 月 10 日 內 | 次 季 10 日 內 | 次 年 5 個 月 內 | 其 他 | | | |
| | | | | | | ※ | 每會計年度終了後三個月內 | 依據「金融控股公司及銀行業內部控制及稽核制度實施辦法」第27條規定，銀行應於每會計年度終了後三個月內將內部控制制度聲明書內容揭露於銀行網站，並於主管機關指定網站辦理公告申報。 | 內部控制制度聲明書 |