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（暨金融监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稽核，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.

BH190-1

(106生效版)
谨致

To

金融监督管理委员会
The Statement is submitted to the Financial Supervisory Commission

声明人
Statement by

指定代表：黄蔚文
Designated Representative / Taiwan Country Executive
Michael Huang

負責臺灣區稽核業務主管：David Matteo
Auditor in charge of auditing on Taipei branch
David Matteo

臺灣區遵守法令主管：王賢裕
Head of Compliance in Taiwan
Rudy Wang

中華民國 109年 3月 27日
Date: March 27, 2020

BI190-2

(106生效版)
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<th>Enhancement Items</th>
<th>Improvement Measures</th>
<th>Planned Completion Date</th>
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(Base date: December 31, 2019)
美商美国纽约梅隆银行台北分行防制洗钱及打击资恐内部控制制度声明书
The Bank of New York Mellon Taipei Branch
Statement on Internal AML/CFT Control

谨代表美商美国纽约梅隆银行台北分行声明本银行 108 年 1 月 1 日至 108 年 12 月 31 日确实遵循防制洗钱及打击资恐相关法令，建立内部控制制度，实施风险管理，并由超然独立之稽核部门执行查核，定期陈报（总行/区域总部）。经审慎评估，本年度各单位防制洗钱及打击资恐内部控制及法规遵循情形，除附表所列事项外，均能确实有效执行。

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

金融监督管理委员会

Financial Supervisory Commission

聲明人

Undersigned

指定代表：黃葦文

Designated Representative / Taiwan Country Executive

Michael Huang

負責臺灣區稽核業務主管：David Matteo

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

AML Officer (AMLO) in Taiwan

Rudy Wang

中華民國109年3月27日

Date: March 27, 2020
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