The Bank of New York Mellon Taipei Branch
Statement of Internal Control

On behalf of The Bank of New York Mellon, Taipei Branch, we hereby certify that from January 1 to December 31, 2018, 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.
谨致
金融监督管理委员会
The Statement is submitted to the Financial Supervisory Commission

声明人
Statement by

在臺訴訟及非訴訟代理人：陳淑媚 (簽章)
Representative of litigious and non-litigious matters in Taiwan / Country Manager
Nadia Chen

負責臺灣區稽核業務之主管：David Matteo (簽章)
Auditor in charge of auditing on Taipei branch
David Matteo

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

中華民國 108 年 3 月 29 日

BI190-2

(106生效版)
銀行內部控制制度應加強事項及改善計畫
(基準日：107 年 12 月 31 日)
Enhancement Items and Improvement Plan for Internal Control System
(Base date: December 31, 2018)

<table>
<thead>
<tr>
<th>Enhancement Items</th>
<th>Improvement Measures</th>
<th>Planned Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>無</td>
<td>無</td>
<td>無</td>
</tr>
<tr>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
</tr>
</tbody>
</table>

BI190-3
(106 生效版)
On behalf of The Bank of New York Mellon Taipei Branch, we hereby undertake that from January 1 to December 31, 2018, 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.
謹致
金融监督管理委员会
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：陳淑娟 (簽章)
Representative of litigious and non-litigious matters in Taiwan/Country
Manager: Nadia Chen

負責臺灣區稽核業務之主管：David Matteo (簽章)
Auditor in charge of auditing on Taipei branch:
David Matteo

防制洗錢及打擊貪腐專責主管：王賢裕 (簽章)
Head of AML/CFT Compliance Officer: Rudy Wang

中華民國108年3月29日
Date: March 29, 2019
### Enhancement Items and Improvement Plan for AML/CFT Internal Control System
(Base date: December 31, 2018)

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