

美商美國紐約梅隆銀行在臺分行內部控制制度聲明書
The Bank of New York Mellon Taiwan 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 110 年 1 月 1 日至 110 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），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。經審慎評估，本年度各單位內部控制及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 The Bank of New York Mellon, Taiwan Branch, we hereby certify that from January 1 to December 31, 2021, 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 (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, 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

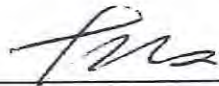
聲明人

Statement by

在臺負責人: 黃蔚文

Responsible Person / Taiwan Chief Executive

Michael Huang

 (簽章)

臺灣區法令遵循主管: 王賢裕

Head of Compliance in Taiwan

Rudy Wang

 (簽章)

負責臺灣區稽核業務主管: David Matteo

Auditor in charge of auditing on Taiwan branch

David Matteo

 (簽章)

負責臺灣區資訊安全主管: Hem Pant

Officer in charge of information security on Taiwan branch

 (簽章)

中 華 民 國 111 年 3 月 29 日

Date: March 29, 2022

BI190-2

(110 生效版)

美商美國紐約梅隆銀行臺北分行內部控制制度應加強事項及改善計畫
(基準日：110 年 12 月 31 日)

The Bank of New York Mellon Taiwan Branch
Enhancement Items and Improvement Plan for
Internal Control System

(Base date: December 31, 2021)

| 應 加 強 事 項 Enhancement Items | 改 善 措 施 Improvement Measures | 預 定 完 成 改 善 時 間 Planned Completion Date |
|--|--|--|
| <p>Compliance with Article 19 of Financial Supervisory Commission Outsourcing Regulations</p> <p>在委外辦法第 19 條執行情形有加強事項。</p> | <p>To perform an assessment to ensure Branch outsourced activities is in compliance with Article 19 requirements, including reviewing list of applications on a quarterly basis</p> <p>分行每季覆核適用委外辦法第 19 條之資訊系統與委外作業。</p> | <p>July 15, 2022</p> <p>預計 111 年 7 月 15 日完成改善。</p> |

美商美國紐約梅隆銀行在臺分行防制洗錢及打擊資恐
內部控制制度聲明書

The Bank of New York Mellon Taiwan Branch
Statement on Internal AML/CFT Control

謹代表美商美國紐約梅隆銀行在臺分行聲明本銀行110年1月1日至110年12月31日確實遵循防制洗錢及打擊資恐相關法令，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/區域總部)。經審慎評估，本年度各單位防制洗錢及打擊資恐內部控制及法規遵循情形，除後附表所列事項外，均能確實有效執行。

On behalf of The Bank of New York Mellon Taiwan Branch, we hereby undertake that from January 1 to December 31, 2021, 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


金融監督管理委員會

Financial Supervisory Commission

聲明人


Undersigned

在臺負責人：黃蔚文

 (簽章)

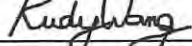
Responsible Person / Taiwan Chief Executive

Michael Huang

負責臺灣區稽核業務主管：David Matteo  (簽章)

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  (簽章)

AML Officer (AMLO) in Taiwan

Rudy Wang

中 華 民 國 1 1 1 年 3 月 2 9 日

Date: March 29, 2022

美商美國紐約梅隆銀行在臺分行防制洗錢及打擊資恐內部控制制度應
加強事項及改善計畫

(基準日：110年12月31日)

The Bank of New York Mellon Taiwan Branch Enhancement Items
and Improvement Plan for AML/CFT Internal Control System

(Base date: December 31, 2021)

| 應加強事項 Enhancement items | 改善措施 Improvement measures | 預定完成改善時間 Planned completion date |
|----------------------------|------------------------------|-------------------------------------|
| 無 Nil | | |