

# 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 Taipei Branch Statement of Internal Control

謹代表美商美國紐約梅隆銀行在臺分行聲明本銀行於 107 年 1 月 1 日至 107 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）。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, 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.


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：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

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

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)

| 應加強事項<br>Enhancement Items | 改善措施<br>Improvement Measures | 預定完成改善時間<br>Planned Completion Date |
|----------------------------|------------------------------|-------------------------------------|
| 無<br>Nil                   |                              |                                     |

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 Taipei 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107年1月1日至107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「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」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 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：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

防制洗錢及打擊資恐專責主管：王賢裕  (簽章)

Head of AML/CFT Compliance Officer: Rudy Wang

中 華 民 國 1 0 8 年 3 月 2 9 日

Date: March 29, 2019

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：107年12月31日)  
Enhancement Items and Improvement Plan for AML/CFT  
Internal Control System  
(Base date: December 31, 2018)

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