美商紐約梅隆銀行在台分行內部控制制度聲明書

The Bank of New York Mellon, Taipei Branch

Statement of Internal Control

謹代表美商紐約梅隆銀行在台分行聲明本銀行於 101 年 1 月 1 日至 101 年 12 月 31 日確實遵循「銀行內部控制及稽核制度實施辦法」、「外國銀行在台分行適用銀行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*)。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, 2012, the Bank has duly complied with the "Implementation Rules for Bank Internal Audit and Internal Control System", the " Guidelines For Foreign Banks to Apply the Implementation Rules for Bank Internal Audit and Internal Control System" (*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

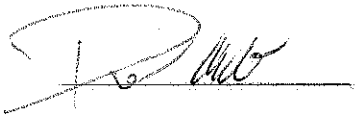
金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人
Statement by

在台訴訟及非訴訟代理人：劉宗仁　　（簽章）
Representative of litigious and non-litigious matters in Taiwan / Country Manager
James Liu

總稽核／或負責台灣區稽核業務之主管：　　（簽章）
Auditor in charge of auditing on Taiwan branch
David Matteo



台灣區遵守法令主管：鄭怜俐　　（簽章）
Head of Compliance in Taiwan

中　華　民　國　103　年　4　月　25　日

美商美國紐約梅隆銀行銀行內部控制制度應加強事項及改善計畫

（基準日： 101 年 12 月 31 日）

應加強事項	改善措施	預定完成改善時間
無 N/A	無 N/A	無 N/A