

新加坡商大華銀行在臺分行內部控制制度聲明書

United Overseas Bank Taipei Branch

Statement of Internal Control

謹代表新加坡商大華銀行在臺分行聲明本銀行於 106 年 1 月 1 日至 106 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，並由稽核部門執行查核，定期陳報總行。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 United Overseas Bank Limited Taipei branch, we hereby certify that from 1 January 2017 to 31 December 2017, 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 Group Audit that would provide audit report for its audit results and assessment to headquarter on a regular basis. After prudent evaluation, except for the items listed in the attached schedule, the Bank’s each department has implemented effective system of internal controls and compliance controls 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：

(簽章)

Representative of litigious and non-litigious matters in Taiwan / Country

Manager

Steven Chung

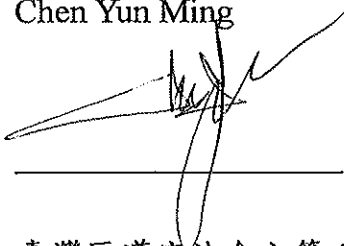


臺灣區稽核業務之主管：

(簽章)

Auditor in charge of auditing on Taipei Branch

Chen Yun Ming



臺灣區遵守法令主管：

(簽章)

Head of Compliance in Taiwan

Stacey Cheng



中 華 民 國 107 年 3 月 28 日

新加坡大華銀行台北分行內部控制制度應加強事項及改善計畫
 United Overseas Bank Taipei Branch
 Enhancement Items and Improvement Plans under Internal Control System
 (基準日：106 年 12 月 31 日)

As of 31 Dec, 2017

應 加 強 事 項 (Enhancement Items)	改 善 措 施 (Improvement Measures)	預 定 完 成 改 善 時 間 (Target Date)
1. 主管機關申報報表 Regulatory reporting	台北分行已如期完成報表數字更正作業。 Branch has corrected the regulatory reporting discrepancy accordingly.	已完成。 Completed
若有任何防制洗錢及打擊資恐 (AML/CFT) 相關應加強事項，揭露於防制洗錢及打擊資恐 (AML/CFT) 之內部控制制度聲明書。 Any AML/CFT related enhancement items will be highlighted in AML/CFT Statement of Internal Control separately if there is any		