

新加坡商大華銀行臺北分行
防制洗錢及打擊資恐內部控制制度聲明書

United Overseas Bank Taipei Branch
Statement on AML/CFT Internal Control

謹代表新加坡商大華銀行臺北分行聲明本公司於 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。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 United Overseas Bank Limited Taipei branch, we hereby certify that from 1 January 2018 to 31 December 2018, the Branch has duly complied with relevant regulations governing anti-money laundering and countering the financing of terrorism (AML/CFT) in establishing the internal control system and implementing risk management procedures. The Branch 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 “Enhancement Items and Improvement Plan for AML/CFT Internal Control System”, each unit of the Branch has effectively implemented internal controls for anti-money laundering and countering the financing of terrorism during the year.

此致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

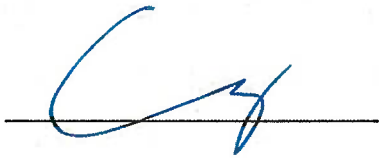
Statement by

在臺訴訟及非訴訟代理人：

(簽章)

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

Grace WANG



臺灣區稽核業務之主管：

(簽章)

Auditor in charge of auditing on Taipei Branch

Vincent CHEONG



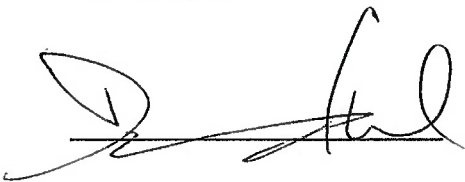
*Based on the results of 2018
Internal Audit Reports (As per Article 27)*

防制洗錢及打擊資恐專責主管：

(簽章)

Dedicated AML/CFT Compliance Officer

David WU



中 華 民 國 1 0 8 年 3 月 2 5 日

新加坡商大華銀行臺北分行
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
United Overseas Bank Taipei Branch

Enhancement Items and Improvement Plans under AML/CFT Internal Control System
(基準日：107年12月31日)
As of 31 December 2018

應加強事項 Enhancement Items	改善措施 Improvement Measures	預定完成改善時間 Target Date
<p>1. 尚未施行已納入產品及服務風險因子之客戶風險評估</p> <p>UOB Taipei Branch has yet to implement the Customer Risk Rating methodology with products & services risk factor incorporated.</p>	<p>總行於完成客戶風險評估納入產品及服務風險因子之建置後，臺北分行將進行內部討論，完成相關文件及流程變更之程序。</p> <p>UOB Head Office has helped Taipei Branch to develop the Customer Risk Rating methodology with products & services risk factor incorporated. The new methodology will be implemented once the relevant local documents and processes are updated and finalized.</p>	<p>108年12月31日 31 December 2019</p>
<p>2. 客戶帳戶及交易持續監控尚未有自動化資訊系統輔助，且該監控機制應予測試。</p> <p>The Transaction Monitoring (TM) process of UOB Taipei Branch is not supported by automated information systems yet. Comprehensive testing should also be conducted prior to the new system implementation.</p>	<p>總行已將臺北分行列為優先設置之單位且本專案將於108年中開始進行。該專案之自動化資訊系統上線前將予以完整測試。</p> <p>UOB Taipei Branch has been prioritised for Transaction Monitoring Automation project by UOB Head office among the overseas branches. The project will be kicked off in mid-2019 and the comprehensive testing will be conducted prior to the new system implementation.</p>	<p>109年6月30日 30 June 2020</p>

