

美商道富銀行臺北分行內部控制制度聲明書

State Street Bank and Trust Company, Taipei Branch Statement of Internal Control

謹代表美商道富銀行臺北分行聲明本銀行於112年1月1日至112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）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，建立內部控制制度，實施風險管理，由超然獨立之稽核部門執行查核，定期陳報總行及區域總部。經審慎評估，本年度各單位內部控制、法規遵循情形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 State Street Bank and Trust Company, Taipei Branch, we hereby certify that from January 1, 2023 to December 31, 2023, the Bank has duly complied with the “Enforcement Regulations for Financial Holding Company and Bank Internal Audit and Control Systems”, 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), and has duly complied with Article 38, Item 5 and Article 38-1, of the above Regulations as well as information security self-disciplinary rules issued by the industry association in establishing its internal control system and implementing risk management. The Bank has been audited by independent auditors who submit reports to headquarter and regional office. After prudent evaluation, the Bank’s each department has implemented effective internal control and compliance systems during the year to which this statement relates, except for the items disclosed on below table.

美商道富銀行臺北分行內部控制制度應加強事項及改善計畫

State Street Bank and Trust Company, Taipei Branch
Internal Controls Issues and Action Plans

(基準日：112年12月31日/as of December 31, 2023)

應加強事項 Issues	改善措施 Action Plans	預定完成改善時間 Target Completion Date
無 Nil	不適用 Not applicable	不適用 Not applicable

謹致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

Undersigned

在臺負責人：陳怡蓉

Designated Representative

 (簽章)

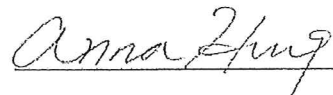
負責臺灣區稽核業務之主管：Lixia Zhang

Auditor in charge of auditing in Taiwan

 (簽章)

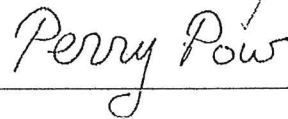
臺灣區遵守法令主管：洪佳琳

Head of Compliance in Taiwan

 (簽章)

負責臺灣區資訊安全主管：Perry Pow

Head of Information Security Officer Taiwan

 (簽章)

中 華 民 國 113 年 3 月 28 日