

美商道富銀行臺北分行
防制洗錢及打擊資恐內部控制制度聲明書

State Street Bank and Trust Company, Taipei Branch
Statement on Internal AML/CFT Control

謹代表美商道富銀行臺北分行聲明本公司於114年1月1日至114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，定期陳報總行及區域總部。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 State Street Bank and Trust Company, Taipei Branch, we hereby undertake that from January 1, 2025 to December 31, 2025, the Bank 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 headquarter and regional office. After prudent evaluation, the Bank's each department has implemented effective internal control and compliance systems for anti-money laundering and countering the financing of terrorism during the year to which this statement relates, except for the items disclosed on below table.

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：Tony Wickert

Auditor in charge of auditing Taiwan

 (簽章)

防制洗錢及打擊資恐專責主管：洪佳琳

Chief AML/CFT Compliance Officer in Taiwan

 (簽章)

中 華 民 國 115 年 3 月 25 日

美商道富銀行臺北分行
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

State Street Bank and Trust Company, Taipei Branch
Internal Controls Issues and Action Plans for Anti-money Laundering and
Countering The Financing of Terrorism

(基準日：114年12月31日/ as of December 31, 2025)

應加強事項(註) Issues (Note)	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

註：

本表揭示事項為本分行負責之制度面或有重大影響缺失及異常事項。全球或區域層級負責之重大缺失亦可能影響本分行惟於本表未予揭示，因此類缺失係由全球或區域團隊負責並進行改善。

Note:

The template is to disclose the deficiencies or abnormality of systematic or significant impacts which are owned by State Street Bank and Trust Company, Taipei Branch. Significant deficiencies at the global or regional level may impact Taipei branch; however, they are not disclosed in above template since such deficiencies are owned and remediated by the global or regional teams.