香港商東亞銀行有限公司台北分行暨國際金融業務分行內部控制制度聲明書

The Bank of East Asia, Limited, Taipei Branch and Off-shore Banking Branch Statement of Internal Control

　　謹代表香港商東亞銀行有限公司台北分行暨國際金融業務分行聲明本分行於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）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/稽核委員會，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。經審慎評估，本年度各單位內部控制、法規遵循制度及資訊安全整體執行情形，均能確實有效執行。

　　On behalf of The Bank of East Asia, Limited, Taipei Branch and Off-shore Banking Branch, we hereby certify that from January 01, 2023 to December 31, 2023, 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 duly complied with the subparagraph 5, Article 38 and Article 38-1 of above Implementation Rules, and the information security self-disciplinary

regulations specified by the Banks Association of the ROC. The Bank has been audited by independent auditors who submit reports to headquarter / Audit Committee. After prudent evaluation, the Bank's each department has implemented effective internal control, compliance systems and overall information security implementation 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

在臺負責人： _____ （簽章）
Responsible Person in Taiwan

臺灣區法令遵循主管： _____ （簽章）
Head of Compliance in Taiwan

總稽核／或負責臺灣區稽核業務之主管： _____ （簽章）
Auditor in charge of auditing on Taipei Branch

負責臺灣區資訊安全主管： _____ （簽章）
Officer in charge of information security on Taipei Branch

中　　華　　民　　國　　113　年　　3　月　　26　日

銀行內部控制制度應加強事項及改善計畫
（基準日：112年12月31日）

應 加 強 事 項	改 善 措 施	預定完成改善時間
無 NIL	不適用 N/A	不適用 N/A