

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 105 年 1 月 1 日至 105 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 2016 to 31 December 2016, 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.

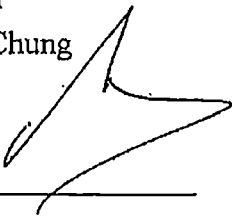
謹 致

金融監督管理委員會

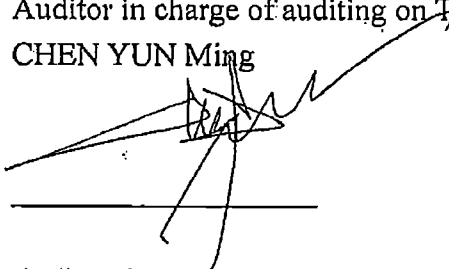
The Statement is submitted to the Financial Supervisory Commission

聲明人
Statement by

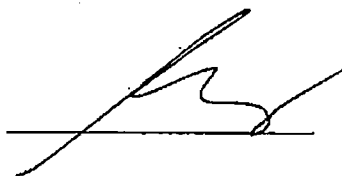
在臺訴訟及非訴訟代理人： (簽章)
Representative of litigious and non-litigious matters in Taiwan / Country
Manager
Steven Chung



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 106 年 3 月 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：105 年 12 月 31 日)
 As of 31 Dec, 2016

應 加 強 事 項 (Enhancement Items)	改 善 措 施 (Improvement Measures)	預 定 完 成 改 善 時 間 (Target Date)
1. 主管機關申報報表及委外作業	台北分行已強化報表申報作業，並將主管機關相關要求納入委外作業制度及程序。	已完成。
2. 台北分行防制洗錢作業之警示(AML alerts)處置不確實。此外，未能於期限內完成警示之檢視與處理。	台北分行對於所有相關人員舉辦必要之教育訓練，且補正未確實關閉之警示。並已建置好作業流程，要求相關人員於所定期限內登入系統清理關閉所有防制洗錢作業之警示。	已完成。