

美商富國銀行台北分行內部控制制度聲明書  
Wells Fargo Bank N.A. Taipei Branch  
Statement of Internal Control

謹代表美商富國銀行在臺分行聲明本銀行於110年01月01日至110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」、外國銀行及大陸地區銀行在臺分行適用「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，定期陳報董(理)事會/監察人/總行/區域中心，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，除附表所列事項外，均能確實有效執行。

On behalf of Wells Fargo Bank N.A. Taipei Branch, we hereby certify that from 1/ January/ 2021 to 31/ December/ 2021 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 (*board of directors / headquarter / regional office*). After prudent evaluation, except for the items listed

in the attached schedule, 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 ) Signature

Benson Liou,

Responsible Person in Taiwan

臺灣區法令遵循主管：



( 簽章 ) Signature

Vincent Huang,

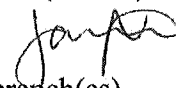
Head of Compliance in Taiwan

總稽核 / 或負責臺灣區稽核業務之主管：

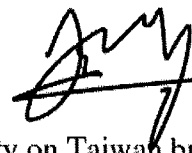
( 簽章 ) Signature

Jaime Oh,

Audit Management Director in charge of auditing on Taiwan branch(es)



負責臺灣區資訊安全主管：



( 簽章 ) Signature

Josiah Wong,

Chief Officer in charge of information security on Taiwan branch(es)

中 華 民 國 1 1 1 年 3 月 1 1 日

Date: MAR 11 2022

美商富國銀行台北分行內部控制制度應加強事項及改善計畫

Wells Fargo Bank N.A., Taipei Branch

Enhancement Items & Corrective Action (CA) for Internal Control System

( 基準日 : 110年12月31日 )  
(Closing Date: Dec 31, 2021)

應加強事項 Issue Title	改善措施 CA Title	預定完成改善時間			
		應加強事項完成時 限 Issue Due Date DD/MM/YYYY	改善措施完成時 限 CA Due Date DD/MM/YYYY	改善措施永續性 自行檢視時限 CA Sustainability End Date DD/MM/YYYY	應加強事項/改善措施執行情形 Issue / CA Status
強化富國銀行台北分行國外匯入款交易流程管理 Improvement required for Taipei Branch's Inward Remittance process (14167267)	強化單一受益人於同一日之匯入匯款加總如有等於或大於新台幣50萬元之流程管理 Monitoring of aggregated payment over NT\$500k for the same beneficiary on the same day (14460490)	15/10/2021	30/06/2021	30/08/2021	所有應加強事項與改善措施於31/12/2021前均已落實執行；稽核部門亦已於21/01/2021完成措施執行有效性之驗證。 All three CAs were closed prior to 31/12/2021 and Audit completed the validation on 21/01/2022.
	強化匯入匯款異常交易態樣之管理 Specific AML Red Flag establishment required for Inward Remittance transaction monitoring (14460430)		20/06/2021	30/06/2021	
	強化匯入匯款法令之遵循與管理 Establishment of Regulatory Source and Major Requirement for Inward Remittance transaction (14460401)		15/10/2021	25/10/2021	

<p>強化富國銀行台北分行電腦資訊安全評估報告法定格式的管理 Information Security Assessment Report for Taipei Branch did not include all of the related requirements (14167170)</p>	<p>將電腦資訊安全評估報告之法定格式制度化並確實施行 Formal Documentation for Taiwan Financial Supervisory Commission Annual Information Security Evaluation Report (14284143)</p>	<p>01/09/2021</p>	<p>01/09/2021</p>	<p>30/05/2022</p>	<p>所有應加強事項與改善措施於31/12/2021前均已落實執行；措施執行有效性之驗證，稽核部門預計將於改善措施永續性自行檢視限期後執行。 This CA was closed prior to 31/12/2021. Audit validation is scheduled for June 2022 after the CA Sustainability End Date.</p>
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