

## 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112年01月01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/ 2023 to 31/ December/ 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 (*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

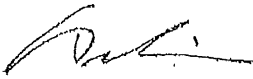
金融監督管理委員會

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

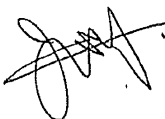
總稽核 / 或負責臺灣區稽核業務之主管：

 (簽章) Signature

Denis Rohan Menezes

Auditor 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 113 年 3 月 26 日

Date: 26 March 2024

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 for Internal Control System

(基準日：112年12月31日)

(Closing Date: Dec 31, 2023)

應加強事項 Enhancement Items	改善措施 Corrective Action (CA)	預定完成改善時間 Planned CA Completion Date DD/MM/YYYY
<p>強化委外治理架構與管理階層的督導。</p> <p>Enhancements to outsourcing framework and management oversight</p> <p>备注:</p> <p>Note:</p> <p>1. 此文件所列之應加強事項與相關改善措施均由富國銀行全球或亞太區域總部負責執行與落實，而所列之事項與措施將直接影響富國銀行台北分行。</p> <p>1. Issues and Corrective Actions for these issues are owned by global Wells Fargo or Regional APAC Management and directly impact WFBNA Taipei Branch.</p> <p>2. 此聲明書包含對本行內部控制制度有重大影響的事項，該事項包含風險評級為“嚴重”(Critical)和“高”(High)的區域性(Regional)應加強事項。</p> <p>2. Included in this statement are Critical and High rated regional issues that has a material impact on the Branch' s internal control system.</p>	<p>針對委外政策與程序及管理團隊的督導與管理進行強化。</p> <p>Outsourcing policies, procedures and management oversight controls are being enhanced.</p>	<p>113年12月15日</p> <p>15/12/2024</p>