

美商富國銀行台北分行防制洗錢及打擊資恐內部控制制度聲明書

Wells Fargo Bank N.A. Taipei Branch

Statement on Internal AML/CFT Control

謹代表美商富國銀行台北分行聲明本分行於 112 年 01 月 01 日至 112 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，定期陳報董(理)事會及監察人/審計委員會/監事(會)。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 Wells Fargo Bank N. A. Taipei Branch, we hereby undertake that from 1/ January/ 2023 to 31/ December/ 2023 Taipei Branch 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 the Company's Board of Directors and Supervisors/Audit Committee/Board of Supervisors. Following prudent evaluation, it is found that except for items listed in the attached "Enhancement Items and Improvement Plan for AML/CFT Internal Control System", each unit of the Company has effectively implemented internal controls for anti-money laundering and countering the financing of terrorism during the year.

此致

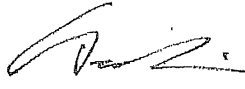
金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人

Undersigned:

在臺訴訟及非訴訟代理人：

 (簽章) (Signature)

**Benson Liou**

Representative of litigious and non-litigious matters in Taiwan / Country Manager

總稽核 / 或負責臺灣區稽核業務之主管：

(簽章) (Signature)

**Stephen Churneftsky**

Auditor in charge of auditing on Taiwan branch(es)

防制洗錢及打擊資恐專責主管：

(簽章) (Signature)

**Vincent Huang**

Chief AML/CFT Compliance Officer:

中 華 民 國 113 年 3 月 26 日

Date: 26 MARCH 2024

美商富國銀行台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

Wells Fargo Bank N.A., Taipei Branch

Enhancement Items & Corrective Action for AML/CFT Internal Control System

(基準日：112年12月31日)  
(Closing Date: Dec 31, 2023)

應加強事項 Issue Title@	改善措施 Corrective Action (CA) Title@	預定完成改善時間 CA Due Date DD/MM/YYYY
無 Nil	無 Nil	無 Nil

备注:

Note:

1. 此聲明書包含對本行防制洗錢及打擊資恐內部控制制度有重大影響的事項。如有適用項目，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。

1. Included in this statement are Critical and High rated issues, if applicable, that has a material impact on the Branch' s AML/ CFT internal control system.