

新加坡商大華銀行臺北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臺北分行聲明本銀行於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，定期陳報總行，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；兼營證券業務部分，確實依據「證券暨期貨市場各服務事業建立內部控制制度處理準則」規定之內部控制制度有效性之判斷項目，判斷內部控制制度之設計及執行是否有效。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 United Overseas Bank Limited Taipei branch, we hereby certify that from 1 January 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 headquarter. With respect to a bank which also engages in the securities business, the Bank has conducted evaluation of the effectiveness of the design and implementation of its internal control system in accordance with the criteria described in the “Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets”, promulgated by the Securities and Futures Bureau, Financial Supervisory Commission. 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：Grace WANG
Responsible Person in Taiwan

(簽章)

臺灣區法令遵循主管：Karen WU
Head of Legal & Compliance in Taiwan

(簽章)

負責臺灣區稽核業務之主管：ONG Bee Yen
Auditor in charge of auditing on Taipei Branch

(簽章)

兼營證券經紀商代理買賣外國債券業務內部稽核: Shu-Meei YANG
Statutory Auditor for Bond Agency

 (簽章)

負責臺灣區資訊安全主管: Mike LIU
Officer in charge of information security on Taipei Branch:

 (簽章)

中 華 民 國 113 年 3 月 26 日

新加坡大華銀行臺北分行銀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：112 年 12 月 31 日
As of 31 December 2023

應 加 強 事 項	改 善 措 施	預 定 完 成 改 善 時 間
-	-	-