

J.P.Morgan

美商摩根大通銀行台北分行

JPMorgan Chase Bank, N.A., Taipei Branch

內部控制制度形聲明書

Statement of Internal Control

謹代表美商摩根大通銀行台北分行聲明本銀行於 108 年 01 月 01 日至 108 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」、「外國銀行在台分行適用銀行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，定期陳報予在台分行負責人/總行/區域中心。兼營證券業務部分，並依據金融監督管理委員會證券期貨局訂頒「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，除附表所列事項外，本年度各單位內部控制及法規遵循情形，均能確實有效執行。

On behalf of JPMorgan Chase Bank, N.A., Taipei Branch, we hereby certify that from January 1, 2019 to December 31, 2019, 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 independent auditors who submit reports to the legal representative in Taiwan / headquarter / regional office. For concurrent conduct of the security business, the Bank followed the "Regulations Governing the Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets" issued by the Securities and Futures Bureau to determine whether the Bank's design and implementation of the internal control system are effective. After prudent evaluation, the Bank's each department has implemented effective internal control and compliance during the year to which this statement relates, except for items disclosed on the table below.

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謹 致/To

金融監督管理委員會/Financial Supervisory Commission

聲明人 美商摩根大通銀行股份有限公司台北分行

Statement by JPMorgan Chase Bank N.A., Taipei Branch

在台負責人:錢國維

Legal Representative in Taiwan : Carl Chien



稽核主管 - 陳淑增

Auditor in charge of auditing on Taipei Branch – Susan Chen

Susan Chen

法遵主管 - 黃繼文

Chief Compliance officer – Jacky Huang

黃繼文

中 華 民 國 1 0 9 年 3 月 2 5 日

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美商摩根大通銀行台北分行內部控制制度應加強事項及改善計畫

JPMorgan Chase Bank N.A., Taipei Branch

The Schedule for Internal Control to be Enhanced and Action Plan

(基準日:108 年 12 月 31 日 / As of Dec. 31, 2019)

應加強事項 Issue	改善措施 Correction Action Plan	預定完成改善時間 Target completion Date
無 Nil	不適用 Not applicable	不適用 Not applicable