

澳商澳盛銀行集團在台分行內部控制制度聲明書
Australia and New Zealand Banking Group Limited Taipei Branch
Statement of Internal Control



謹代表澳商澳盛銀行集團在臺分行聲明本銀行於 111 年 10 月 1 日至 112 年 9 月 30 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，定期陳報總行及亞洲區域中心，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，與同業公會所訂資訊安全自律規範；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。

上述公開內容如有虛偽、隱匿等不法情事，將涉及證券交易法第二十條、第三十二條、第一百七十一條及第一百七十四條等之法律法律責任。

On behalf of Australia and New Zealand Banking Group Limited Taipei Branch, we hereby certify that from 1 October 2022 to 30 September 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 Bank Association of the ROC. The Bank has been audited by independent auditors who submit reports to headquarter and Asia regional office. 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 Future 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.

If the above-mentioned public content is false or concealed, it will involve legal liability under Article 20, 32, 171 and 174 of the Securities and Exchange Act.

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：

Responsible Person in Taiwan

梁玳偉 (簽章)

(Signature)

梁玳偉



臺灣區法令遵循主管：

Head of Compliance in Taiwan

林克穎 (簽章)

(Signature)

林克穎

總稽核/或負責臺灣區稽核業務之主管： 謝璨帆 (簽章)

Auditor in charge of auditing on Taiwan branch

(Signature)

謝璨帆

負責臺灣區資訊安全主管：

Officer in charge of information security on

Taiwan branch

陳盈成 (簽章)

(Signature)

陳盈成

中 華 民 國 一 一 二 年 十 二 月 十 二 日

澳商澳盛銀行集團在台分行內部控制制度應加強事項及改善計畫

Australia and New Zealand Banking Group Limited Taipei Branch – Schedule for internal controls to be enhanced and action plan

(基準日：112年9月30日)

(As of 30 September 2023)



| 應加強事項 Internal controls to be enhanced | 改善措施 Action plan | 預定完成改善時間 Targeted completion date |
|---|---------------------|--------------------------------------|
| 無 Nil | 無 Nil | 無 Nil |

澳商澳盛銀行集團在台分行
防制洗錢及打擊資恐內部控制制度聲明書

Australia and New Zealand Banking Group Limited Taipei Branch
Statement of Internal Control on Anti-Money Laundering and
Countering the Financing of Terrorism

謹代表澳商澳盛銀行集團在臺分行聲明本銀行於 111 年 10 月 1 日至 112 年 9 月 30 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，定期陳報總行及亞洲區域中心。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，均能確實有效執行。

On behalf of Australia and New Zealand Banking Group Limited Taipei Branch, we hereby certify that from 1 October 2022 to 30 September 2023, the Bank has duly complied with the Anti-Money Laundering and Countering the Financing of Terrorism related rules and regulations in establishing the internal control system and implementing risk management procedures. The Bank has been audited by independent auditors who submit reports to headquarter and Asia regional office. After prudent evaluation, the Bank's each department has implemented effective internal control and compliance systems on Anti-Money Laundering and Countering the Financing of Terrorism 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：

Responsible Person in Taiwan

梁玳偉（簽章）

(Signature)



總稽核/或負責臺灣區稽核業務之主管：謝璨帆（簽章）

Auditor in charge of auditing on Taiwan branch

(Signature)

謝璨帆

防制洗錢及打擊資恐專責主管：

AML and Counter-Terrorist Financing

Officer in Taiwan

許天鎔（簽章）

(Signature)

許天鎔

中 華 民 國 一 一 二 年 十 二 月 十 二 日

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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

Australia and New Zealand Banking Group Limited Taipei Branch

Schedule for internal controls on Anti-Money Laundering and Countering the Financing of
Terrorism to be enhanced and action plan

(基準日：112 年 9 月 30 日)

(As of 30 September 2023)

| 應 加 強 事 項 Internal controls to be enhanced | 改 善 措 施 Action plan | 預 定 完 成 改 善 時 間 Targeted completion date |
|---|------------------------|---|
| 無 Nil | 無 Nil | 無 Nil |