

內部控制制度聲明書

金融機構代號及名稱：090 【090】 加拿大商豐業銀行

民國 103 年

090 【090】 加拿大商豐業銀行 (在臺分行) 內部控制制度聲明書 (Name of bank) Taiwan Branch(es) Statement of Internal Control

謹代表 090 【090】 加拿大商豐業銀行 在臺分行聲明本銀行於 103 年 1 月 1 日至 103 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/區域中心

)。經審慎評估, 本年度各單位內部控制及法規遵循情形, 除附表所列事項外, 均能確實有效執行。

On behalf of 090 【090】 加拿大商豐業銀行

Taiwan branch(es), we hereby certify that from 1 - 1 - 103 to 31 - 12 - 103, 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

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 and compliance systems 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

在臺訴訟及非訴訟代理人: Representative of litigious and non-litigious matters in Taiwan / Country

Manager

朱家光

(簽章)

總稽核/或負責臺灣區稽核業務之主管: Auditor in charge of auditing on Taiwan branch(es)

Tony TOULMAN

(簽章)

臺灣區遵守法令主管: Head of Compliance in Taiwan

呂佳陵

(簽章)

中 華 民 國 104 年 2 月 28 日