

日商瑞穗銀行在臺分行
防制洗錢及打擊資恐內部控制制度聲明書
Mizuho Bank, Ltd. Taiwan Branch(es)

Statement on Internal AML/CFT Control

謹代表日商瑞穗銀行在臺分行聲明本公司於民國110年1月1日至110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，定期陳報總公司授權人員。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 Mizuho Bank, Ltd. Taiwan Branch(es), we hereby undertake that from January 1st, 2021 to December 31st, 2021, our company 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 authorized person of the headquarter. 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 department of the Bank 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

To: Financial Supervisory Commission

聲明人

Undersigned

總經理：木原武志

General Manager

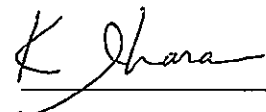
總稽核/稽核主管：井原和樹

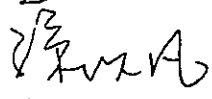
Auditor in charge of auditing in Taiwan

防制洗錢及打擊資恐專責主管：孫以凡

Chief AML/CFT compliance officer in Taiwan

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中 華 民 國 111 年 4 月 13 日

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

(基準日：民國110年12月31日)

應加強事項	改善措施	預定完成改善時間
<p>經外部稽核查核發現以下事項待改善： 經抽查開戶及重新審查 KYC 作業，發現對於複雜股權結構之客戶，有未再進一步辨識其持股而未能完整辨識實質受益人之情形。</p> <p>It was observed by external audit that during KYC onboarding and periodic review, there was incompetency in identifying the UBOs of some customers with complex ownership structure.</p>	<p>本行將持續強化宣導針對複雜股權結構客戶之實質受益人辨識程序，對於客戶提供之股東名冊仍無法完整辨識實質受益人之情形者，並將利用可靠、獨立來源（如：集保股東資訊平台）資料完整辨識實質受益人並留存軌跡。</p> <p>We will strengthen the UBO identification of customers with complex ownership structure. For customers who are unable to provide sufficient shareholder information, RMs are required to utilize independent and reliable database to identify the UBO properly.</p>	<p>針對未完善之個案 KYC，本行將於今年八月底前完成臨時性審查以完整辨識實質受益人。</p> <p>預計完成日:2022/8/31</p> <p>We will require RMs to complete KYC trigger event reviews at the end of August to properly identify the UBOs of subject cases. Target completion date:2022/8/31</p>