

(BI190) 銀行內部控制制度聲明書
102年

報表狀態： 主管放行
【020】日商瑞穗銀行

商瑞穗銀行（在臺分行）內部控制制度聲明書（Name of bank）Taiwan Branch(es)Statement of Intern

謹代表【020】日商瑞穗銀行在臺分行聲明本銀行於102年4月1日至103年3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（董（理）事會及監察人，若兼營證券業務者，應增列：兼營證券業務部分，並依據「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 【020】日商瑞穗銀行 Taiwan branch(es), we hereby certify that from 1 - 4 - 102 to 31 - 3 - 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 (board of directors / headquarter / 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 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 and compliance systems during the year to which this statement

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


在台訴訟及非訴訟代理人：

Representative of litigious and non-litigious matters in Taiwan / Country Manager

馬場高一  (簽章)

總稽核/或負責台灣區稽核業務之主管：

Auditor in charge of auditing on Taiwan branch(es)

林瓊  (簽章)

台灣區遵守法令主管：

Head of Compliance in Taiwan

翁淑玲  (簽章)

中 華 民 國 103 年 4 月 1 日

【020】日商瑞穗銀行 內部控制制度應加強事項及改善計畫（基準日：103年3月31日）

應加強事項	改善措施	預定完成改善時間
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承辦人： 張文璿
主管： 翁淑玲