



美商花旗銀行在臺分行內部控制制度聲明書

Citibank N.A. Taipei Branch

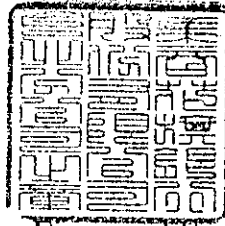
Statement of Internal Control

謹代表美商花旗銀行在臺分行聲明本銀行於一百零五年一月一日至一百零五年十二月三十一日確實遵循「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制度，除附表所列事項外，均能確實有效執行。

On behalf of Citibank N.A., Taipei branch, we hereby certify that January 1 to December 31, 2016, 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 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：

(簽章)

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

Luke Chung

總稽核／或負責臺灣區稽核業務之主管：

(簽章)

Auditor in charge of auditing on Taiwan branch

Jessie Liu

臺灣區遵守法令主管：

(簽章)

Head of Compliance in Taiwan

May Su

中 華 民 國 106 年 3 月 31 日

美商花旗銀行內部控制制度應加強事項及改善計畫

Citibank N.A. Taipei Branch – Schedule for internal controls to be enhanced and action plan

(基準日 2016年12月31日)

(As at : December 31, 2016)

應加強事項 Issue	改善措施 CAP	預定完成改善時間 Estimated completion date
無。 Nil.		