



荷蘭商安智銀行在台分行內部控制制度聲明書
ING Bank Taiwan Branch(es) Statement of Internal Control

謹代表荷蘭商安智銀行在台分行聲明本銀行於 101 年 01 月 01 日至 101 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」、「外國銀行在台分行適用銀行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。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 ING Bank Taiwan branch(es), we hereby certify that from January 01 to December 31, 2012, the Bank has duly complied with the “Implementation Rules for Financial Holding Company and Bank Internal Audit and Internal Control System”, the “Guidelines For Foreign Banks to Apply the Implementation Rules for Bank Internal Audit and Internal Control System” (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 with periodical reporting to the 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

行政院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

張崇崗 Sophia Chang

(簽章)

A handwritten signature in black ink, appearing to read "Sophia Chang".

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)

Alan Lee

(簽章)

A handwritten signature in black ink, appearing to read "Alan Lee".

台灣區法令遵循主管：

Head of Compliance in Taiwan

呂明媛 Jennifer Leu

(簽章)

A handwritten signature in black ink, appearing to read "Jennifer Leu".

中 華 民 國 102 年 04 月 15 日



荷商安智銀行台北分行內部控制制度應加強事項及改善計畫
(基準日：101年12月31日)

應加強事項	改善措施	預定完成改善時間
<p>委外稽核應加強重點彙總</p> <p>四個內部系統對於客戶資料保密及保護未能完全符合委外法規之規定。</p>	<p>亞洲區域總部資訊人員會重新檢視並將雙重控制設計於流程中，並以此流程建置於亞洲各分行。</p>	<p>102.07.01</p>