



品浩太平洋證券投資顧問股份有限公司

防制洗錢及打擊資恐內部控制制度聲明書

PIMCO Taiwan's Statement of Anti-Money Laundering and Countering Terrorism Financing Internal Control System

謹代表 品浩太平洋證券投資顧問股份有限公司 聲明本公司於中華民國 108年1月1日至108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，定期陳報董事會及監察人。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，均能確實有效執行。

On behalf of PIMCO Taiwan Ltd., we hereby declare that from January 1 to December 31, 2019, the Firm has duly complied with all the rules and regulations governing Anti-Money Laundering and Countering Terrorism Financing in establishing the internal control system, implementing risk management and being audited by independent statutory auditor who submit reports to the Board of Directors and Supervisors on a regular basis. After prudent evaluation, we consider the Firm's each department has implemented effective anti-money laundering and countering terrorism financing internal control and compliance systems during the year to which this statement relates.

此致

金融監督管理委員會

The Statement is submitted to the Financial Supervisory Commission

聲明人 Statement by -

董事長 Chairman: Michael Frazier Thompson



(簽章)

總經理 General Manager: Mitch Wang

(簽章)

稽核主管 Statutory Auditor: Yvette Lin



(簽章)

防制洗錢及打擊資恐專責主管

Anti-Money Laundering and CTF Reporting Officer: Linda Ching

(簽章)



中華民國 109 年 3 月 24 日