

中華民國109年7月29日修訂

壹、測驗依據

依據「金融控股公司及銀行業內部控制及稽核制度實施辦法」第24條第1項第3款辦理。

貳、報名資格

凡金融從業人員或對銀行內部控制與內部稽核相關工作具有興趣者，均歡迎報名參加，惟前述報考人員須為外國籍人士。

參加本項測驗，請務必攜帶外國籍護照或中華民國居留證。(前項證件須於有效期間內)

Only foreigners are allowed to take the exam.

Please take your foreign passport or ROC (Taiwan) resident certificate(ARC/APRC) for the exam.

Please confirm your identity certificate is within the expiration date.

參、測驗時間及地點：

一、時間 (Time)：

項目 (Items)	時間 (Time)
報到及預備 (Preparation and registration)	10 : 10~10 : 20
應試規則說明及模擬練習 (Regulations announcement)	10 : 20~10 : 30
銀行內部控制與內部稽核法規(英文版)(Exam)	10 : 30~11 : 30

註：題型均為四選一單選選擇題，共50題。There are fifty multiple-choice questions in the exam.

二、地點 (Place)：台北市羅斯福路3段62號4樓，台灣金融研訓院本部403教室。

No.62, Sec.3, Roosevelt Road, Taipei (Room 403)

肆、測驗方式、報名費、注意事項：

一、測驗方式：採電腦應試(至本院電腦試場，直接於電腦螢幕上點選答案)。

This is a computer-based test.

二、報名費 (fees)：每人新台幣 3,150 元整。(NTD\$3,150)。

三、報名注意事項：通過本項測驗者，本院將核發合格證明書，故請於「英文姓」、「英文名」欄位填寫正確資料，建議與護照上之英文姓名相同為宜。

Please make sure that your English name is the same as the name for your passport.

The name you register for the exam will be shown on the certificate.

四、測驗入場通知書將於測驗日前二日以 Email 寄送，不另寄送實體書面通知。

The detailed notifications for the exam will be emailed two days before the exam

day.

伍、測驗科目及內容(Contents)

一、測驗科目：銀行內部控制與內部稽核法規(英文版)

二、測驗內容：

	Contents
1	The Banking Act of the Republic of China
2	Financial Holding Company Act
3	Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries
4	Regulations Governing the Procedures for Banking Institutions to Evaluate Assets and Deal with Non-performing/Non-accrual Loans
5	Regulations Governing the Security Maintenance and Administration of Financial Institutions
6	Regulations Governing the Deposit Accounts and Suspicious or Unusual Transactions
7	Regulations Governing Institutions Engaging In Credit Card Business
8	Regulations Governing the Cash Card Business of Financial Institutions
9	Guidelines for Financial Institutions in Setting Tiered Interest Rates for Credit Cards and Cash Cards
10	Regulations Governing the Declaration of Foreign Exchange Receipts and Disbursements or Transactions
11	Regulations Governing the Handling of Counterfeit and Altered Foreign Currency Notes and Coins
12	Directions for Banks Conducting Financial Derivatives Business
13	Directions Governing Limitations on Types and Amounts of the Securities in which a Commercial Bank May Invest
14	The Act Governing Bills Finance Business(Excerpt)
15	Enforcement Rules for the Act Governing Bills Finance Business(Excerpt)
16	Regulations Governing Responsible Persons and Staff Members of Bills Houses(Excerpt)
17	Securities and Exchange Act(Excerpt)
18	Regulations Governing Securities Firms(Excerpt)
19	Regulations Governing Responsible Persons and Associated Persons of Securities Firms(Excerpt)
20	GreTai Securities Market Rules Governing Securities Trading on the GTSM(Excerpt)
21	Financial Consumer Protection Act

柒、測驗相關注意事項(Regulations)：

- 一、應考人應按入場通知書所載日期時間，攜帶身分證明文件(限有效期間內之護照、居留證，擇一攜帶)至服務櫃檯報到。應考人若未攜帶身分證明文件不得入場應試。Please take the valid passport or ROC(Taiwan) resident certificate(ARC/APRC) to register the exam at the service counter on the 4th floor.
- 二、本項測驗禁止使用電子計算機；若經勸阻無效仍執意使用者，該科扣 10 分，計算機並由監試人員保管至該節測驗結束後歸還。It is not allowed to use a calculator during the exam. If examinees insist to use it, their scores will be deducted by 10%.
- 三、發現電腦當機、試題疑義或其他設備異常影響測驗之進行者，請立即通知工作人員處理，若延誤通知者，由應考人自行負責。Please inform the proctor at once if your computer crashes or computer program is functioning abnormally. Otherwise, examinees should be responsible for the results.
- 四、於測驗開始 10 分鐘內得准許入場外，凡逾時者一律不得入場應試。測驗開始後 30 分鐘內不得離場。Examinees that are late fewer than 10 minutes are allowed to enter the room, and they can start to leave the room 30 minutes after the issued starting time.
- 五、測驗中斷電力時間達 15 分鐘以上或其他不可抗力事由，以致無法繼續進行測驗時，該場次測驗不予計算，本院將另行安排日期測驗。惟應考人業已作答完畢；或雖未作答完畢，但分數已達合格標準者，仍以合格者辦理。If the exam is forced to stop by any unpredictable matters, we will hold another exam for those examinees. However, if the scores have been more than or equal to 70, we will still issue the certificate for those examinees.
- 六、測驗期間嚴禁使用行動電話或其他可攜式之電子通訊器材，違者扣成績 20 分。It's not allowed to use cellular phones and other portable telecommunication devices. If examinees used it during the exam, their scores will be deducted by 20 points.
- 七、應考人違反下列規定者，該科目成績零分計算：
 - (一)攜帶非透明之鉛筆盒或規定以外之物品，經監試人員制止而再犯者。
 - (二)測驗期間互相交談或大聲朗誦。
 - (三)測驗期間發生任何作弊行為。
 - (四)未得監試人員同意擅離試場、
 - (五)抄寫試題或筆記在非允許的紙張。

If the following things happen ,the scores will be graded “zero”：

(1)Take any forbidden things into the room.

- (2) Examinees chat or loudly recite during the exam.
- (3) Examinees cheat on the exam.
- (4) Without permissions, examinees insist to leave the room.
- (5) Examinees take notes or copy questions on any paper not prepared by the proctor.

八、若試後發現因頂替代考、作弊等違規情事，取得當次測驗之合格證明書者，撤銷其合格證明書。The certificate will be canceled no matter when the examinee is found that he was cheating on the exam.

九、由於應考人點選之答案係直接寫入電腦系統並直接計算成績，應考人不得要求調閱應試題目或其他應試相關資料。The answers are directly written into the computer test system, and examinees are not allowed to copy any questions or ask relevant information for the exam.

捌、測驗結果(Results)

電腦應試測驗結束，即可當場列印成績單；測驗結果符合標準者，於該場測驗結束後即可列印核發合格證明書。After the exam, examinees can have their score reports immediately. If the scores are more than or equal to 70 , we will issue the certificate for those examinees.

玖、合格標準(Pass)

本項測驗以成績達 70 分為合格。Only the scores are more than or equal to 70.

拾、測驗結果複查(Enquiry on reports)

一、測驗結果評定後，應考人若需申請複查，請於測驗日後 3 天內至本院網站申請，逾期不予受理，申請複查時須附工本費 75 元（含作業手續費及限時掛號郵費），詳情，請依網路申請程序辦理。Examinees can apply a report enquiry on the website within three days after the exam day. The application fee is NTD\$75.

二、申請複查成績以一次為限，應考人亦不得要求調閱應試題目、作答結果或其他應試有關資料。Examinees can only apply once for an enquiry of reports, but they are not allowed to ask for any questions or relevant information for the exam.

三、未合格之應考人，如經複查結果其實際成績已達合格標準者，即予補發合格證明書；已合格之應考人，經複查發現其成績低於合格標準者，即取消其合格資格，該應考人不得異議。Based on the report, examinees will get the certificate if their scores should have passed the exam. On the other hand, their certificate will be canceled if their scores should have failed to pass the exam.

四、複查成績結果通知書預定於申請複查截止日起 7 日後寄發郵件回覆。

The report will be sent by a registered mail 7 days after the final application day.