

法商法國外貿銀行在臺分行內部控制制度聲明書

Natixis Taiwan Branch(es) Statement of Internal Control

謹代表法商法國外貿銀行在臺分行聲明本銀行於110年1月1日至110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」、外國銀行及大陸地區銀行在臺分行適用「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，定期陳報亞太區域中心，並確實遵循前開辦法第三十八條第五款及第三十八條之一規定，與同業公會所定資訊安全自律規範。經審慎評估，本年度各單位內部控制、法規遵循制度及資訊安全整體執行情形，除附表所列事項外，均能確實有效執行。

On behalf of Natixis Taiwan branch(es), we hereby certify that from 1 Jan 2021 to 31 Dec 2021, 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 duly complied with the subparagraph 5, Article 38 and Article 38-1 of above Implementation Rules, and the information security self-disciplinary regulations specified by the Banks Association of the ROC. The Bank has been audited by independent auditors who submit reports to APAC regional headquarter. After prudent evaluation, except for the items listed

in the attached schedule, the Bank's each department has implemented effective internal control, compliance systems and overall information security implementation 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

在臺負責人：邱明億

Responsible Person in Taiwan

 (簽章)

臺灣區法令遵循主管：胡恩嘉

Head of Compliance in Taiwan

 (簽章)

負責臺灣區稽核業務之主管：Demis Thomas

Auditor in charge of auditing on Taiwan branch(es)

 (簽章)

負責臺灣區資訊安全主管：Eric Chung

Officer in charge of information security on Taiwan branch(es)

 (簽章)

中華民國 111 年 3 月 21 日

法商法國外貿銀行內部控制制度應加強事項及改善計畫
(基準日：110年12月31日)

應 加 強 事 項	改 善 措 施	預 定 完 成 改 善 時 間
<p>Improvement 1 Computer System and Information Security Evaluation Guidelines for Financial Institutions</p> <p>There is a lack of standard procedures for application development in the Head Office.</p> <p>加強事項 1 金融機構辦理電腦系統資訊安全評估辦法</p> <p>總行尚未建立應用程式開發之標準作業程序。</p>	<p>Standard procedures to be implemented for application development processes in the Head Office.</p> <p>總行將建立應用程式開發之標準作業程序。</p>	<p>111年12月31日</p> <p>The target timeline to validate (publish) the application development procedure in Head Office had been rescheduled to Q4 2022 as the HO procedure owner is yet to be identified due to the ongoing organizational restructuring exercise in Group BPCE and Natixis CIB.</p> <p>因法國外貿銀行與母公司BPCE銀行集團完全合併後之組織重組，總行應用程式開發標準作業程序之負責人尚待確認，待指定後才得由其批核該文件，故需延遲此加強事項之完成期限至2022年第四季。</p>