



法商法國外貿銀行台北分行內部控制制度聲明書 Natixis Taipei Branch Statement of Internal Control

謹代表法商法國外貿銀行台北分行聲明本銀行於108年1月1日至108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情形，除附表所列事項外，均能確實有效執行。

On behalf of Natixis Taipei Branch (“the Bank”), we hereby certify that from 1 January 2019 to 31 December 2019, 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 been audited by independent auditors who submit reports to the Headquarter and Regional Office periodically. 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 Statements is submitted to the Financial Supervisory Commission

聲明人

Statement by



在臺訴訟及非訴訟代理人：邱明億

(簽章)

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

負責臺灣區稽核業務之主管：Demis Thomas



(簽章)

Regional Audit Head in charge of Taipei Branch

法令遵循主管：呂明媛



(簽章)

Head of Compliance

中 華 民 國 109 年 3 月 20 日

法商法國外貿銀行台北分行內部控制制度應加強事項及改善計畫

Natixis Taipei Branch

Enhancement Items and Improvement Measures under the Internal Control System

(基準日：108 年 12 月 31 日)

(Base Date: 31 December 2019)

應 加 強 事 項 Enhancement Items	改 善 措 施 Improvement Measures	預 定 完 成 改 善 時 間 Target Date
無 Nil		