

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112年1月1日至112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 2023 to 31 Dec 2023, 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

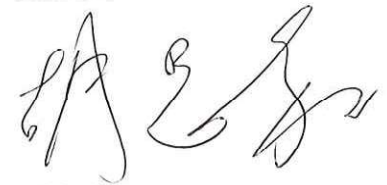
(簽章)



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 113 年 3 月 18 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：112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 2023 FEB Onsite Inspection: 3 reportable findings identified by FEB for remediation had been completed by Natixis Taipei Branch as of Oct 2023. Other self-improvement recommendations are duly tacked by Internal Audit Department.</p> <p>加強事項 1 2023年檢查局實地檢查意見：共計三點作業面事項，已於2023年10月回報檢查局完成所有應報之改善計畫。其餘面請改善事項，由本行內部稽核單位廣續追蹤。</p>	<p>Corrective actions were defined and implemented based on regulatory requirements or expectations.</p> <p>(1) Enhance project finance post-disbursement monitoring by adding analysis to the topics like fisherman rights, environment protection and shareholding change. (2) Beef up controls on offshore structured product document provisioning and regulatory reporting. (3) Complete all overdue KYC periodic reviews of high-risk clients.</p> <p>改善措施依法令或主管機關要求進行設計與執行。</p> <p>(1) 專案融資放款貸後管理納入漁民維權、環境保護、股權更動等議題；(2) 境外結構型商品文件產製及申報作業調整控制程序以符合法令要求；(3) 完成所有未於時限內結案之高風險客戶定期審查作業。</p>	<p>All corrective actions derived from reportable findings were completed and closed by Internal Audit and FEB as of Oct 2023. Other self-improvement recommendations are duly tacked by Internal Audit Department; all completed also.</p> <p>應報檢查局之檢查意見改善計畫，皆已於2023年10月前完成；其餘面請改善事項，由本行內部稽核單位廣續追蹤，業已全部完成。</p>