

法商東方匯理銀行在臺分行內部控制制度聲明書

Crédit Agricole - Corporate and Investment Bank Taipei Branch Statement of Internal Control

謹代表法商東方匯理銀行在臺分行聲明本銀行於 109 年 1 月 1 日至 109 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，定期陳報本行總行及區域總部。兼營代理買賣外國債券、承銷債券及證券化商品(限固定收益有價證券)等證券業務部分，並依據「證券暨期貨市場各服務事業建立內部控制制度處理準則」規定之內部控制制度有效性之判斷項目，判斷內部控制制度之設計及執行是否有效。經審慎評估，本年度各單位內部控制及法規遵循制度，除附表所列事項外，均能確實有效執行。

On behalf of Crédit Agricole – Corporate and Investment Bank Taipei branch, we hereby certify that from 1 January 2020 to 31 December 2020, 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. With respect to the concurrently operated securities businesses including foreign bond agency and underwriting of bonds and securitization products (limited to fixed income securities), the Bank has conducted evaluation of the effectiveness of the design and implementation of its internal control system in accordance with the criteria described in the “Regulations Governing the

Establishment of Internal Control Systems by Service Enterprises in Securities and Futures Markets”, promulgated by the Securities and Futures Bureau, Financial Supervisory Commission. The Bank has been audited by independent auditors who submit reports to headquarter and regional office. 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 Statement is submitted to the Financial Supervisory Commission

聲明人

Statement by

在臺訴訟及非訴訟代理人： 白志堅 (簽章)

Representative of litigious and non-litigious matters in Taiwan/CEO

臺灣區稽核業務主管： 林綜麗 (簽章)

Auditor in charge of auditing on Taiwan branch(es)

臺灣區遵守法令主管： 郭怡伶 (簽章)

Head of Compliance in Taiwan

中 華 民 國 110 年 3 月 25 日

銀行內部控制制度應加強事項及改善計畫
 Enhancement Items and Improvement Plan for Internal Control Systems
 (基準日：109 年 12 月 31 日)

應 加 強 事 項 (Finding Facts & Recommendations)	改 善 措 施 (Auditee's Responses)	預 定 完 成 改 善 時 間 (Target Date)
1. 開戶作業流程應加強實質受益人辨識，以落實防制洗錢及打擊資恐作業。	1. 已於收到客戶相關資訊變更通知後，於時限內完成更新作業。	1. 2021 年 3 月:已改善完成
2. 辦理金融交易額度核給作業，應落實控管作業。	2. 已於徵信報告中評估檢視。	2. 2021 年 3 月:已改善完成