

**法商法國巴黎銀行股份有限公司台北分行內部控制制度聲明書****BNP PARIBAS TAIPEI BRANCH****STATEMENT OF INTERNAL CONTROL**

謹代表法商法國巴黎銀行股份有限公司台北分行聲明本銀行於111年1月1日至111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與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，定期陳報本行總行與區域總行，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，與銀行同業公會所定資訊安全自律規範；兼營證券業務部分，確實依據金融監督管理委員會證券期貨局訂頒「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、法規遵循情形及資訊安全整體執行情形，除附表所列事項外，均能有效執行並持續強化本行內部控制及法規遵循情形。

本聲明書將成為本公司對外公開之主要內容。上述公開之內容如有虛偽、隱匿等不法情事，將涉及證券交易法第二十條、第三十二條、第一百七十一條及第一百七十四條等之法律責任）。

On behalf of BNP Paribas Taipei Branch (the Bank), we hereby certify that, for the fiscal year of 2022, the Bank has duly complied with the "Regulation Governing the Implementation of Internal Control and Audit Systems by Financial Holding Companies and Banks", the "Explanation Table for Foreign Banks in Taiwan to Apply the Regulation



Governing the Implementation of Internal Control and Audit Systems for Banks”, and “the risk-based approach approved by the Financial Supervisory Commission” in establishing the internal control system and implementing risk management procedures. The Bank also has duly complied with Article 38, Item 5 and Article 38-1, of the above Regulations as well as Information Security Self-Disciplinary Rules issued by the Bankers Association. For the concurrently operated securities businesses, the Bank has also set up effective internal control system in accordance with the “Regulations Governing the Establishment of Internal Control System by Service Enterprises in Securities and Futures Markets”. The Bank has been audited by independent auditors who submitted reports to its head office and regional office. Except for items listed in the schedule, each department of the Bank has after prudent evaluation, implemented effective internal control and compliance systems and the overall implementation of information security during the year to which this statement relates, and on a continuous basis improves its procedures and systems in order to remediate weaknesses as they are identified.

This declaration will constitute the main content disclosed by our Bank to the public. Should there be any fraudulent or hidden matters concerning the above content, the Bank will have to bear the legal responsibility concerning Article 20, 32, 171 and 174 of the Securities and Exchange Act.

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

在台訴訟及非訴訟代理人：博瑪儂

Head of Taiwan Branches: Manon BREUVART



BNP PARIBAS

The bank
for a changing
world

台灣區稽核主管(代理人)：李慕潔

IG Territory Coverage Manager for Taiwan: Heidi LEE

(For Head of Internal Audit)

台灣區總機構法令遵循主管：吳夏蓁

Head of Compliance: Nicole WU

資訊安全長：陳國民

Chief Information Security Officer: Ken CHEN

中 華 民 國 112 年 3 月 30 日



內部控制制度應加強事項及改善計畫

Enhancement Items and Improvement Plans under Internal Control System

(基準日： 111 年 12 月 31 日)

As of 31 December 2022

應 加 強 事 項	改 善 措 施	預 定 完 成 改 善 時 間
無 Nil		