

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 113 年 1 月 1 日至 113 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」、「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」、「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、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。

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一百七十四條等之法律責任。

On behalf of Crédit Agricole – Corporate and Investment Bank Taipei branch, we hereby certify that from 1 January 2024 to 31 December 2024, the Bank has duly complied with the “Implementation Rules of Internal Audit and Internal Control System of Financial Holding Companies and Banking Industries”, the Paragraph 5, Article 38 and Article 38-1 of the aforementioned rules, the disciplinary rules governing information security set by the business associations, 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 compliance systems and effective controls for information security during the year to which this statement relates.

If the above-mentioned public content is false or concealed, it will involve legal liability under Article 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

在臺訴訟及非訴訟代理人/執行長： 羅弘伯

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

(簽章)

台北分行稽核業務主管：

林綜麗

Auditor in charge of auditing for Taipei Branch

(簽章)

台北分行法規遵循主管：
Head of Compliance for Taipei Branch

郭怡伶  (簽章)

台北分行資安專責單位主管：
Officer in charge of information security for Taipei Branch

劉承霖  (簽章)

中 華 民 國 114 年 3 月 21 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：113 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)
<p>1. 利害關係人相關作業程序需確實依規定辦理</p> <p>Deficiencies on the Interested Parties' data system set-up and information verification process</p>	<p>已依利害關係人作業程序規範，完成內部作業準則，並依規定建置利害關係人資料庫並保存查詢紀錄。</p> <p>Have formalized the Interested Parties' procedure. The IT data system set up and inquiry audit trails in place have also been completed successfully.</p>	<p>2025 年 3 月：已改善完成</p> <p>Target date: 31/03/2025. Implemented</p>
<p>2. 貸後覆審作業需依照授信準則規定辦理</p> <p>Deficiencies on the post-loan credit review process and controls to be aligned with the "Credit Granting Standards" of BAROC.</p>	<p>已依授信準則規定，加強內部作業控管並落實執行。</p> <p>Have set-up several internal controls to enhance the post-loan monitoring controls.</p>	<p>2025 年 3 月：仍進行中</p> <p>Target date: 31/03/2025. In progress</p>
<p>3. IT 虛擬伺服器與資料庫及網架路構圖未及時更新</p> <p>1) 備援中心之虛擬伺服器有待更新。</p> <p>2) 網際網路架構圖與資料庫有效性未能與總行維持一致，須確實更新。</p> <p>1) Redundancy of CFT server/ Virtual Machine (VM) on the BCP site.</p> <p>2) The status of network asset inventory (CMDB) and LAN diagram not updated timely to reflect its current state of network, incl. the newly replaced firewalls.</p>	<p>3.1) 備援中心之虛擬伺服器已於 2025 年 2 月底完成更新。</p> <p>3.2) 而網際網路架構圖與資料庫須維持與總行一致，目前仍持續更新辦理中。</p> <p>The Virtual Machine (VM) on BCP site has been newly replaced end of Feb.2025.</p> <p>The update of CMDB inventory and Lan diagram remains in progress.</p>	<p>2025 年 3 月：仍進行中</p> <p>Target date: 31/03/2025. In progress</p>