



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」、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。兼營證券業務(債券承銷)部分，確實依據「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 Natixis Taiwan branch(es), we hereby certify that from 1 Jan 2024 to 31 Dec 2024, 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 APAC *regional headquarter*. 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. With respect to the concurrently operating securities business (underwriting), the Bank has conducted evaluation of the effectiveness of 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. 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. If the abovementioned public contents have false information or omissions, 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

在臺負責人：邱明億

Responsible Person in Taiwan

Signed by:

186B9436DC91418...

(簽 章)



臺灣區法令遵循主管：胡恩嘉

(簽章)

Head of Compliance in Taiwan


Signed by:

3AA918654DBA460...


負責臺灣區稽核業務之主管：Demis Thomas

Signed by: (簽章)

Auditor in charge of auditing on Taiwan branch(es)


D6401A3BAA854D0...

負責臺灣區資訊安全主管：Eric Chung

Signed by: Initial

5719C8D56C6149D... (簽章)

Officer in charge of information security on Taiwan branch(es)

中華民國 114 年 1 月 17 日

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