

法國興業銀行台北分行內部控制制度聲明書

Societe Generale Taipei Branch Statement of Internal Control

謹代表法國興業銀行台北分行聲明本銀行於 108 年 1 月 1 日至 108 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依整體風險評估, 採取風險導向之稽核以執行查核工作, 並定期陳報總行或亞洲區域總部主管。兼營證券業務部分, 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。所依風險導向查核計畫執行之各查核報告已依規定呈報備查, 並依需要擬定且執行改善措施。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 Societe Generale Taipei Branch (the “Bank”), we hereby certify that from 1 January 2019 to 31 December 2019, 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 based on the risk-based approach audit methodology and submits reports to Societe Generale Head Office or Regional Office. 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”. The audit reports have been reported as required and necessary actions have been taken if applicable. After prudent evaluation, except for the items listed in the attached schedule, each

department of the Bank 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

法國興業銀行臺北分行

Societe Generale, SG Taipei Branch

負責人：

Group Country Manager

劉光卿 Mark Liu



總稽核：

Auditor in charge of auditing on Taipei Branch

蘇健文, Kathy Su



法令遵循主管：

Chief Compliance Officer

王志君 Gisele Wang



中 華 民 國 109 年 3 月 27 日

法國興業銀行台北分行內部控制制度應加強事項及改善計畫
 Societe Generale Taipei Branch
 Enhancement Items and Improvement Plans under Internal Control System
 (基準日：108年12月31日)
 (As of 31 December 2019)

應 加 強 事 項 Enhancement Items	改 善 措 施 Improvement Measures	預 定 完 成 改 善 時 間 Target Date
本年度查核建議事項皆已執行完畢。 The recommendations made by the auditors have been completed.		