

# 法國興業銀行台北分行內部控制制度聲明書

## Société Générale 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 110 年 1 月 1 日至 110 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，並由獨立之稽核部門依整體風險評估，採取風險導向之稽核方法以執行查核工作，定期陳報總行與亞洲區域總部主管，並確實遵循前開辦法說明對照表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，均能確實有效執行並持續強化。

On behalf of Société Générale Taipei Branch (the “Bank”), we hereby certify that from 1 January 2021 to 31 December 2021, 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 using a risk-based approach and reporting to Société Générale Head Office and Regional Office. The Bank has also duly complied with Article 38 item 5 and Article 38-1 of the above Implementation Rules as well as information security self-regulatory guidelines issued by the Bankers Association. 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”. 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, and on a continuous basis improves its procedures and systems to remediate weakness identified.

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

Société Générale, SG Taipei Branch

負責人：

Group Country Manager

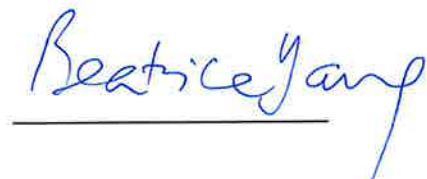
劉光卿 Mark Liu



總稽核：

Auditor in charge of auditing on Taipei Branch

楊斐茹 Beatrice Yang




代理法令遵循主管：  
Chief Compliance Officer Delegate  
Sebastien Wermelinger



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資訊安全主管：  
Chief Information Security Officer, Asia Pacific  
Christophe Machado



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中 華 民 國 1 1 1 年 3 月 3 0 日

Date: 30 March 2022

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  
 Société Générale Taipei Branch  
 Enhancement Items and Improvement Plans under Internal Control System  
 (基準日：110年12月31日)  
 (As of 31 December, 2021)

應 加 強 事 項 Enhancement Items	改 善 措 施 Improvement Measures	預定完成改善時間 Target Date
擔任業務單位洗錢防制督導 主管應為資深管理人員。 The person in charge of supervising AML/CFT related matters of the business unit ought to be a senior manager.	自 110 年 8 月起，改派由資深管理人員督 導有關部門之防制洗錢及打擊資恐相關事 宜。 The Bank appointed a senior manager to supervise the AML/CFT related matters of the concerned business unit in August 2021.	已完成。 Completed.
應強化衍生性金融商品業務 相關人員資格條件之審核管 控。 The review on the qualification of derivatives sales should be enhanced.	相關內部規範於 110 年 7 月完成修訂，強 化衍生性金融商品業務人員資格條件之審 核作業。 Relevant procedure was revised in July 2021, enhancing the qualification review process on derivatives sales.	已完成。 Completed.