



**BNP PARIBAS TAIPEI BRANCH
STATEMENT OF INTERNAL CONTROL**

30 March 2020

On behalf of BNP Paribas Taipei Branch (the Bank), we hereby certify that, for the fiscal year of 2019, 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. 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. Each department of the Bank has, after prudent evaluation, 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 in order to remediate weaknesses as they are identified.

Statement by

Interim Head of Taiwan Branches: Dennis CHIU

Head of Internal Audit: Irene WU

Head of Compliance: Nicole WU



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

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108年間確實遵循「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，兼營證券業務部分，並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及法規遵循情形，均能有效執行並持續強化本行內部控制及法規遵循情形。

此致

金融監督管理委員會

聲明人

代理總經理：邱彥禎

台灣區稽核主管：吳文瑛

總機構法令遵循主管：吳夏蓁

中華民國 109 年 3 月 30 日