

西班牙對外銀行在臺分行內部控制制度聲明書
BBVA Bank, Taipei Branch
Statement of Internal Control

謹代表西班牙對外銀行在臺分行聲明本銀行於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銀行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，定期陳報總行及區域中心。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 Banco Bilbao Vizcaya Argentaria, S.A., 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, and having internal auditors to undertake audit works with the results reported to the Headquarter and the Regional Office. After prudent evaluation, except for the items listed in the attached schedule, the Bank's each department 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

在臺訴訟及非訴訟代理人：

Representative of litigious and non-litigious matters in Taiwan / Country
Manager

高國洲 James Kao

(簽章)

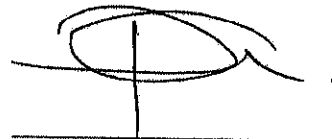


總稽核 / 或負責臺灣區稽核業務之主管：

Auditor in charge of auditing on Taiwan branch

Pedro Alonso Rubio

(簽章)

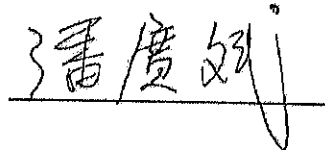


臺灣區遵守法令主管：

Head of Compliance in Taiwan

潘廣斌 David Pan

(簽章)



中 華 民 國 109 年 3 月 30 日

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西班牙對外銀行在臺分行內部控制制度應加強事項及改善計畫

BBVA Bank, Taipei Branch

Enhancement Items and Improvement Plans under the Internal Control System

(基準日：108年12月31日)

(Base Date: 31 December 2019)

應加強事項 Enhancement Items	改善措施 Improvement Plans	預定完成改善時間 Target Date
無 NIL		