

GOLDMAN SACHS (ASIA) L.L.C. TAIPEI BRANCH

CLIENT COLOCATION USE CRITERIA

For: Taiwan Market

Effective immediately

Background

Article 11 of “the Taiwan Stock Exchange Corporation Co-Location Service Management Regulations” required a securities firm to establish the rules of use and incorporate the same in its internal control and audit system prior to using the Service in its brokerage business and shall treat investors in a fair manner in accordance with said rules.

A. Regulatory/Policy Requirements

- Pursuant to Article 2 of “the Taiwan Stock Exchange Corporation Co-Location Service Management Regulations”, the user to request for the Co-Location services must be Goldman Sachs (Asia) L.L.C., Taipei Branch (“GSTW”) that have signed the “Supply and Use of Trading Information Contract” with the Taiwan Stock Exchange Corporation (“TWSE”).
- “Co-Location service” (the “Service”) are the services available by the TWSE through which the TWSE provides the equipment space where GSTW store their servers and network devices directly connecting to the TWSE’s securities trading servers, including but not limited to server cabinets, power supply, fire protection equipment, air-conditioned space, cables and access security control.

B. Criteria

- Client with 30% or above of the GSTW trading volume or revenue from previous 12 months is eligible for colocation service unless the client has refused to use such service and provided a confirmation to GSTW for records.
- Evaluation on trading volume or revenue contribution rate of the clients will be done semi-annually on June and December.
- The criteria (including the subsequent amendment, supplement and update) of the client for colocation service are available at GSTW's website at:
<https://www.goldmansachs.com/worldwide/greater-china/taiwan-disclosures/index.html>

Revision History

- January, 2021 (reflect suggestion from TWSE)