

Taiwan Sugar Corporation



Sample questions and format

Commodities Futures Execution and Clearing Services

This Request For Information (RFI) is a part of Taiwan Sugar Corporation's selection procedure.

1. MANAGEMENT & CONTACT INFORMATION

- 1.1 Please provide details of your company
- 1.2 Please provide details of primary contact
- 1.3 Is your company part of a financial group?
- 1.4 If yes, please provide details of your group

2. FINANCIAL, LEGAL & GENERAL INFORMATION

- 2.1 What is your credit rating?
- 2.2 Please provide the following financial information for the last three financial years (in US\$)

| | 2004 | 2005 | 2006 |
|---------------------|------|------|------|
| Turnover | | | |
| Current Assets | | | |
| Current Liabilities | | | |
| Shareholder equity | | | |
- 2.3 How many people do you employ?
- 2.4 Do you have a third party certification?
- 2.5 If yes, provide details

3. COMPANY BACKGROUND

- 3.1 How many years has your company been in the futures business?
- 3.2 What services can you offer?
- 3.3 What percentage of your business activity is your clearing service?
- 3.4 Does your company sub contract any part of your clearing service?
- 3.5 What is your clearing market share?

3.6 Could you please describe in a few words your company strategy?

4. COMPETENCIES & SCOPE OF SERVICES

4.1 Describe your front office sugar expertise

4.2 What type of research do you produce?

4.3 What type of clients use your services?

4.4 What is your market share on NYBOT and LIFFE Sugar?

4.5 Does your group have its own Sugar trading dept?

4.6 Does your clearing service cover LIFFE and NYBOT and their clearing houses?

4.7 If yes, please provide details of the nature of your relationship with each (e.g. direct member etc)

4.8 Please describe your delivery capabilities

4.9 What volumes have you processed in deliveries?

4.10 Please provide details of other key exchanges and clearing houses covered by your clearing service

4.11 What volume of contracts did you clear in 2006 for each of the following commodities? ie. NY#11 Sugar, LIFEE White Sugar

4.12 What are the key differentiating points of your clearing service from your competitors?

4.13 What plans do you have for future investment in your clearing service?

4.14 How does your solution help Taiwan Sugars cash management process?

4.15 What do you consider to be the key advantages of TSC selecting your firm for clearing service?

5. Trading and Clearing Technology Offering

5.1 Do you provide software to support your clearing service?

5.2 If yes, what is the name of your software?

5.3 How long has this system been in use?

5.4 How many customers use this software?

5.5 What platform does it operate on? (e.g. internet-based)

5.6 What IT facilities/capabilities do customers need to use this software?

5.7 What functionality does this software provide? (please provide description)

5.8 What kind of reports are available and how often can they be provided to clients?

5.9 Can reports be downloaded?

5.10 If yes, what format can reports be downloaded into?

- 5.11 Please provide details of the software's security features
- 5.12 How do you monitor the operational performance of this software and what is its current performance?
- 5.13 How long does it take to implement this software?
- 5.14 What initial training and on-going systems support do you provide?
- 5.15 Please provide details of the cost of your software (license, maintenance, implementation, training etc)
- 5.16 Do you provide Trading Screens as part of your clearing services?
- 5.17 If yes, please describe this facility (key markets covered, information shown etc)
- 5.18 Please provide your customer support and trade query resolution processes
- 5.19 How do you ensure customer confidentiality?
- 5.20 What is your technology budget

6. Customer Service, Accounts & Reports

- 6.1 What is the structure of the client support team?
- 6.2 Where will Taiwan Sugar's client servicing be located?
- 6.3 Are there Mandarin speaking staff that can support Taiwan Sugar?
- 6.4 What time will I receive my statements?
- 6.5 Do you provide any facility/training to help Taiwan Sugar get familiar with your statements and systems?
- 6.6 Do you provide any reports, if yes, what are they?
- 6.7 What type of margining options do you provide?
- 6.8 What type of account structure do you provide?

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