



General Vendor Technology Risk Expectations

Goldman Sachs views our vendors as an extension of the firm, and as such, we expect our vendors to have established controls designed to protect the information of the firm and its clients.

Our vendor risk assessment process is designed to comprehensively identify technology risks. To help familiarize you with our general control expectations, we have provided illustrative expectations below. Based on the nature of the services provided in the vendor relationship, the list of expectations may change. We look forward to working with you.

- Maintain a written cybersecurity program, approved by senior management, and confirm to us the effectiveness of your security controls
- Train personnel on security matters
- Establish an effective incident response program
- Provide oversight relating to security over your third-party service providers
- Prevent unauthorized access to your systems, premises, and secure areas
- Implement data leakage prevention controls
- Follow a system development lifecycle
- Implement mobile device security controls
- Secure our data both in transit and at rest, or via compensating controls
- Implement controls relating to media used to store data
- Conduct regular vulnerability scans, penetration tests, and third-party security audits
- Protect against malware and regularly update malware protections
- Maintain the availability of your systems and our data
- Implement federated login or single sign-on
- Perform independent cloud implementation reviews