

# Goldman Sachs & Co. LLC - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2023

January 2023

## S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.03	2.83	15.22	45.06	36.88

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
New York Stock Exchange LLC. (NYSE)	31.67	5.11	4.76	58.21	31.90	-30.20	-2.8800	-921.27	-26.9900	206.18	6.2900	-139.68	-15.0000
The Nasdaq Stock Market LLC. (XNAS)	29.08	3.71	12.15	42.12	42.00	-60.54	-3.9100	-2,386.64	-28.5100	197.16	6.0100	-386.76	-19.4100
NASDAQ OMX BX. (BOSE)	8.01	0.00	54.38	19.27	26.33	0.00	0.0000	13.88	2.1100	-158.02	-30.0000	-46.42	-18.4900
Investors Exchange LLC (IEXG)	5.89	0.00	15.64	25.89	58.45	0.00	0.0000	-200.07	-6.9000	-33.96	-2.2100	-43.63	-6.1800
CBOE EDGA Exchange (EDGA)	4.40	0.00	25.61	41.65	32.72	0.00	0.0000	243.13	19.4700	-433.94	-26.1800	-25.06	-8.0900
NYSE Arca, Inc. (ARCA)	4.25	0.00	14.48	56.28	29.23	0.00	0.0000	-761.83	-30.0000	341.88	14.8400	-76.24	-27.2100
CBOE BZX Exchange (BATS)	4.18	0.00	41.13	30.78	28.07	0.00	0.0000	-3,779.17	-29.2600	-280.09	-15.8600	-315.95	-27.8100
CBOE BYX Exchange (BATY)	2.69	0.00	4.57	54.62	40.79	0.00	0.0000	6.56	1.8200	-243.70	-18.0900	-26.74	-16.6400
CBOE EDGX Exchange (EDGX)	2.46	0.00	19.91	44.57	35.50	0.00	0.0000	-948.22	-30.0000	-75.49	-9.2800	-87.00	-14.7600
Nasdaq PHLX, LLC (XPHL)	2.06	0.00	33.16	36.47	30.36	0.00	0.0000	-495.85	-30.0000	58.13	32.0000	-26.04	-24.2300

**Material Aspects:**

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

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# January 2023

## Non-S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.04	1.46	10.34	45.18	43.01

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	26.25	1.46	2.99	50.39	45.14	-373.80	-15.0000	-1,752.73	-29.0700	430.79	4.7500	-690.50	-9.7500
The Nasdaq Stock Market LLC. (XNAS)	16.13	3.02	13.74	39.43	43.79	-149.71	-3.9100	-3,017.63	-21.4300	582.83	3.2000	-3,226.38	-20.7400
New York Stock Exchange LLC. (NYSE)	14.36	2.82	4.23	62.86	30.07	-53.24	-2.8800	-1,511.81	-19.7100	1,643.46	8.0200	-226.30	-4.8300
NASDAQ OMX BX. (BOSE)	8.16	0.00	31.75	25.05	43.19	0.00	0.0000	42.27	2.6200	-804.79	-22.7600	-851.52	-19.7900
Investors Exchange LLC (IEXG)	6.49	0.00	9.36	37.72	52.91	0.00	0.0000	-265.61	-9.0700	-54.52	-0.7300	-251.76	-7.1000
CBOE BZX Exchange (BATS)	6.36	0.19	21.40	36.14	42.25	-19.54	-7.5000	-8,703.04	-29.5900	-3,708.64	-26.1900	-3,570.76	-29.3200
CBOE EDGA Exchange (EDGA)	5.71	0.00	16.72	40.90	42.37	0.00	0.0000	601.37	16.4700	-996.30	-25.1300	-706.64	-12.7500
CBOE BYX Exchange (BATY)	3.89	0.00	2.46	53.49	44.04	0.00	0.0000	-72.35	-5.3100	-209.15	-13.7100	-52.82	-6.3800
Nasdaq PHLX, LLC (XPHL)	3.44	0.00	17.13	38.80	44.06	0.00	0.0000	-1,807.02	-30.0000	297.57	31.9800	-852.49	-21.0100
CBOE EDGX Exchange (EDGX)	3.25	0.00	12.42	46.77	40.79	0.00	0.0000	-1,764.02	-29.4300	377.56	3.2300	-702.32	-26.1500

### Material Aspects:

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202301.xlsx)

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## January 2023

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### Options

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.80	0.03	2.46	94.32	3.17

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NASDAQ Options Market LLC (NDOE)	61.90	0.00	0.59	99.40	0.00	0.00	0.0000	-117,796.01	-39.4000	22,278.38	15.2200	-281.97	-17.4500
CBOE C2 Options Exchange, Inc. (C2OX)	20.02	0.00	0.09	99.90	0.00	0.00	0.0000	-27,402.44	-38.8100	8,964.30	10.8900	-192.74	-33.1700
NYSE Arca, Inc. (PCOE)	10.80	0.02	0.63	91.53	7.80	-7,704.30	-27.5700	-38,656.80	-52.7700	130,122.27	33.9100	-37,133.69	-26.7200
CBOE BZX Options Exchange (BATO)	2.09	0.00	8.73	91.19	0.06	0.00	0.0000	-67,324.80	-50.6000	25,812.60	14.3400	-501.45	-22.9000
CBOE Options Exchange (XCBO)	1.26	1.28	10.96	18.79	68.96	-15,605.68	-19.8700	-24,833.09	-17.6100	-24,350.25	-13.3700	-14,790.72	-15.4000
Nasdaq ISE, LLC (ISOE)	0.74	0.50	7.49	12.10	79.89	3,357.59	7.1200	-26,594.04	-31.5500	5,475.59	7.3500	14,126.91	13.2000
NASDAQ BX Options (XBOX)	0.64	0.27	74.22	9.97	15.52	1,606.50	10.8400	41,584.15	16.4300	-1,188.50	-3.0000	6,329.48	26.2200
MIAX PEARL LLC (MPRL)	0.57	0.00	78.54	21.24	0.21	0.00	0.0000	-198,026.95	-37.9800	743.39	1.4800	-1,107.95	-30.3100
NYSE American LLC (AMEX)	0.42	0.40	22.71	13.91	62.96	-21.00	-0.2300	-1,603.75	-1.9900	-1,719.69	-5.1200	-901.25	-2.2000
NASDAQ BX Options (NBXO)	0.40	0.00	72.69	27.02	0.28	0.00	0.0000	-88,648.70	-30.0900	5,290.17	14.9300	-174.22	-12.1300

## Material Aspects:

NASDAQ Options Market LLC (NDOE):

NDOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-options-7>

Information reflecting the NDOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf)

Information reflecting the PCOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

CBOE BZX Options Exchange (BATO):

BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/options/membership/fee\\_schedule/bato/](https://markets.cboe.com/us/options/membership/fee_schedule/bato/)

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

CBOE Options Exchange (XCBO):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/options/membership/fee\\_schedule/xcbo/](https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/)

Information reflecting the XCBO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

Nasdaq ISE, LLC (ISOE):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

ISOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/ise/rules/ise-options-7>

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

NASDAQ BX Options (XBOX):

XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://boxoptions.com/regulatory/fee-schedule/>

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

MIAX PEARL LLC (MPRL):

MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://www.miaxoptions.com/fees/pearl>

Information reflecting the MPRL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

NYSE American LLC (AMEX):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE\\_American\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf)

Information reflecting the AMEX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

NASDAQ BX Options (NBXO):

NBXO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-options-7>

Information reflecting the NBXO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202301.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202301.xlsx)

## February 2023

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### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.03	1.73	16.03	50.94	31.29

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
New York Stock Exchange LLC. (NYSE)	33.48	2.64	4.74	68.32	24.27	-26.77	-2.9300	-737.05	-26.4500	678.90	9.0100	-97.46	-17.1200
The Nasdaq Stock Market LLC. (XNAS)	28.30	2.39	14.17	46.59	36.82	-45.90	-4.3600	-1,547.70	-28.8200	-149.26	-3.7200	-465.34	-23.3100
NASDAQ OMX BX. (BOSE)	7.96	0.00	61.65	17.46	20.88	0.00	0.0000	15.47	2.3100	-111.53	-30.0000	-44.86	-18.6700
Investors Exchange LLC (IEXG)	5.30	0.00	17.84	30.97	51.18	0.00	0.0000	-124.58	-7.7000	-24.18	-2.4600	-68.52	-7.0500
NYSE Arca, Inc. (ARCA)	4.42	0.00	13.23	58.43	28.32	0.00	0.0000	-433.35	-30.0000	-246.91	-19.8800	-14.39	-7.7100
CBOE BZX Exchange (BATS)	4.12	0.00	38.39	37.69	23.90	0.00	0.0000	-2,543.73	-29.2400	-544.42	-21.2500	-176.75	-23.0700
CBOE EDGA Exchange (EDGA)	4.06	0.00	26.44	40.99	32.55	0.00	0.0000	202.79	18.7900	-131.08	-19.2900	-3.03	-1.2600
CBOE BYX Exchange (BATY)	2.73	0.00	3.42	60.02	36.55	0.00	0.0000	-18.92	-7.1100	-140.60	-16.2400	-43.34	-18.3600
CBOE EDGX Exchange (EDGX)	2.62	0.00	18.28	47.89	33.81	0.00	0.0000	-649.74	-30.0000	-169.91	-14.3700	85.87	7.2000
Nasdaq PHLX, LLC (XPHL)	2.10	0.00	30.38	36.35	33.26	0.00	0.0000	-303.70	-30.0000	94.07	31.9900	-20.15	-20.5200

#### Material Aspects:

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

## February 2023

### Non-S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.04	1.17	9.52	48.03	41.26

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	26.62	1.07	2.46	52.75	43.69	-127.18	-15.0000	-1,423.22	-27.7800	566.54	4.6200	-699.58	-17.8500
The Nasdaq Stock Market LLC. (XNAS)	16.22	2.21	12.13	45.74	39.91	-53.43	-4.4500	-2,952.89	-25.7000	2,560.57	10.3200	-2,069.28	-16.9200



Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
New York Stock Exchange LLC. (NYSE)	15.12	2.34	3.94	66.53	27.17	-129.09	-2.9300	-1,319.05	-14.9200	1,477.78	8.1600	88.44	2.1800
NASDAQ OMX BX. (BOSE)	7.68	0.00	31.32	26.96	41.70	0.00	0.0000	46.58	3.2200	-1,614.41	-29.8000	-900.64	-22.0400
Investors Exchange LLC (IEXG)	6.36	0.00	9.48	38.95	51.55	0.00	0.0000	-209.50	-7.7600	-67.89	-2.2100	-207.93	-7.7700
CBOE BZX Exchange (BATS)	6.09	0.25	22.17	38.95	38.61	-12.18	-7.5000	-6,492.43	-29.3800	-3,170.52	-25.2700	-2,136.59	-22.0200
CBOE EDGA Exchange (EDGA)	5.65	0.00	14.65	41.12	44.21	0.00	0.0000	429.24	19.3400	-590.64	-21.0200	-75.78	-2.9700
CBOE BYX Exchange (BATY)	4.02	0.00	1.82	54.73	43.44	0.00	0.0000	12.15	1.7900	-551.41	-17.3700	-1,040.15	-19.3300
Nasdaq PHLX, LLC (XPHL)	3.21	0.00	16.49	40.72	42.78	0.00	0.0000	-909.65	-29.9900	650.81	31.6600	-541.74	-24.2800
CBOE EDGX Exchange (EDGX)	3.08	0.00	12.67	48.94	38.37	0.00	0.0000	-1,417.92	-29.3400	-776.05	-11.7900	-346.55	-21.7500

#### Material Aspects:

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202302.xlsx)

## February 2023

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.21	0.11	5.33	85.27	9.27

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NASDAQ Options Market LLC (NDOE)	40.34	0.00	1.79	98.19	0.01	0.00	0.0000	-172,827.49	-51.1500	26,524.88	20.6000	204.12	14.3800
NYSE Arca, Inc. (PCOE)	21.54	0.05	0.83	93.63	5.46	-28,991.48	-37.0500	-54,756.04	-53.8800	154,131.62	34.7000	-36,741.28	-30.3400
CBOE C2 Options Exchange, Inc. (C2OX)	14.47	0.00	0.44	99.54	0.01	0.00	0.0000	-48,248.28	-45.8400	4,421.96	5.9900	-58.80	-9.3600

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CBOE BZX Options Exchange (BATO)	6.92	0.00	7.60	92.32	0.06	0.00	0.0000	-104,670.78	-68.8500	19,203.24	9.2100	4.81	0.2400
CBOE Options Exchange (XCBO)	3.30	1.31	10.59	30.95	57.13	-15,305.50	-20.1700	-52,339.36	-29.0400	-44,087.13	-19.0600	-21,438.38	-21.3600
Nasdaq ISE, LLC (ISOE)	2.87	0.64	5.12	14.70	79.51	7,174.87	5.9200	-39,845.53	-40.6200	8,819.21	9.8200	13,399.66	17.2600
NASDAQ BX Options (XBOX)	1.93	0.39	45.38	17.53	36.69	13,630.50	50.8300	55,094.00	21.6800	-1,931.10	-5.3700	13,123.84	45.9200
MIAX PEARL LLC (MPRL)	1.63	0.00	66.82	32.90	0.27	0.00	0.0000	-285,531.07	-50.4500	1,434.31	2.7200	-778.04	-26.5900
NYSE American LLC (AMEX)	1.38	0.61	11.44	23.56	64.38	-4.00	-0.0100	-3,979.55	-4.7700	-2,505.22	-6.5800	-2,641.82	-8.7300
Nasdaq PHLX, LLC (PHLX)	1.33	0.67	7.29	26.02	66.00	-15.81	-0.0300	-7,432.15	-11.0500	-2,270.42	-4.9900	-1,798.19	-5.0000

#### Material Aspects:

NASDAQ Options Market LLC (NDOE):

NDOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-options-7>

Information reflecting the NDOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf)

Information reflecting the PCOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

CBOE BZX Options Exchange (BATO):

BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/options/membership/fee\\_schedule/bato/](https://markets.cboe.com/us/options/membership/fee_schedule/bato/)

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

CBOE Options Exchange (XCBO):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/options/membership/fee\\_schedule/xcbo/](https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/)

Information reflecting the XCBO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

Nasdaq ISE, LLC (ISOE):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

ISOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/ise/rules/ise-options-7>

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

NASDAQ BX Options (XBOX):

XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://boxoptions.com/regulatory/fee-schedule/>

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

MIAX PEARL LLC (MPRL):

MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://www.miaxoptions.com/fees/pearl>

Information reflecting the MPRL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

NYSE American LLC (AMEX):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE\\_American\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf)

Information reflecting the AMEX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

Nasdaq PHLX, LLC (PHLX):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

PHLX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the PHLX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202302.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202302.xlsx)

## March 2023

### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.03	1.60	13.88	49.00	35.50

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
New York Stock Exchange LLC. (NYSE)	33.57	2.46	4.28	66.80	26.45	-11.87	-1.5400	-645.95	-22.3400	328.97	5.8900	-171.75	-14.6300
The Nasdaq Stock Market LLC. (XNAS)	27.40	2.35	12.62	44.50	40.51	-40.31	-2.5400	-1,507.51	-29.1800	-188.09	-4.4000	-497.63	-24.1600
NASDAQ OMX BX. (BOSE)	7.66	0.00	46.43	18.14	35.42	0.00	0.0000	13.03	2.2100	-217.49	-30.0000	1.87	1.0800

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Investors Exchange LLC (IEXG)	5.56	0.00	12.94	27.57	59.48	0.00	0.0000	-142.38	-9.1100	-26.07	-3.9700	-75.29	-5.7700
NYSE Arca, Inc. (ARCA)	4.47	0.00	13.44	56.59	29.95	0.00	0.0000	-485.66	-30.0000	-172.15	-16.9100	1.54	0.3000
CBOE BZX Exchange (BATS)	4.45	0.00	37.21	33.88	28.89	0.00	0.0000	-2,571.92	-29.3700	-644.83	-26.8700	-453.20	-29.1400
CBOE EDGA Exchange (EDGA)	4.20	0.00	27.31	35.23	37.45	0.00	0.0000	196.53	19.0900	-79.81	-15.4600	-27.90	-4.7300
CBOE BYX Exchange (BATY)	2.65	0.00	2.84	52.64	44.50	0.00	0.0000	-6.06	-2.4400	-77.40	-14.1200	-105.75	-18.5800
CBOE EDGX Exchange (EDGX)	2.59	0.00	18.04	46.49	35.46	0.00	0.0000	-744.89	-30.0000	-254.15	-22.8500	-94.55	-28.7100
Nasdaq PHLX, LLC (XPHL)	2.19	0.00	29.26	34.78	35.94	0.00	0.0000	-287.60	-30.0000	28.51	32.0000	-77.55	-28.2400

#### Material Aspects:

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

[https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

<https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

[https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

[https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

## March 2023

### Non-S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.03	2.12	7.82	45.58	44.46

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	23.87	1.10	2.29	52.61	43.98	-189.78	-15.0000	-1,659.89	-27.4400	299.20	2.9700	-880.51	-17.6300
The Nasdaq Stock Market LLC. (XNAS)	15.39	6.12	10.85	41.92	41.08	-53.17	-2.5400	-3,179.17	-28.2000	60.19	0.3700	-2,332.11	-19.9300
New York Stock Exchange LLC. (NYSE)	15.30	4.60	3.34	64.85	27.19	-34.24	-1.5400	-805.40	-10.2700	1,958.94	8.5700	-129.46	-8.3300
NASDAQ OMX BX. (BOSE)	7.32	0.00	23.37	27.06	49.56	0.00	0.0000	30.21	2.2000	-658.72	-29.9800	-189.58	-14.8600
CBOE EDGA Exchange (EDGA)	5.89	0.00	13.17	37.65	49.17	0.00	0.0000	460.54	17.4000	-461.42	-19.2600	24.62	1.5900

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Investors Exchange LLC (IEXG)	5.85	0.00	8.18	40.38	51.43	0.00	0.0000	-221.85	-8.8900	-71.59	-1.3500	-228.48	-4.8100
CBOE BZX Exchange (BATS)	5.54	0.17	20.33	41.41	38.07	-14.97	-7.5000	-7,682.77	-29.0200	-2,621.86	-21.6300	-1,970.11	-24.7400
CBOE BYX Exchange (BATY)	4.64	0.00	1.87	46.87	51.25	0.00	0.0000	-43.82	-3.0900	-819.56	-18.1400	-50.13	-10.7100
CBOE EDGX Exchange (EDGX)	3.01	0.00	10.55	48.37	41.06	0.00	0.0000	-1,696.93	-29.5900	-915.33	-18.0600	-266.98	-13.6800
Nasdaq PHLX, LLC (XPHL)	3.01	0.00	16.83	40.87	42.28	0.00	0.0000	-1,330.17	-29.3600	1,185.49	31.3700	-208.81	-8.6100

### Material Aspects:

NYSE Arca, Inc. (ARCA):

ARCA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE\\_Arca\\_Marketplace\\_Fees.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse-arca/NYSE_Arca_Marketplace_Fees.pdf)

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

The Nasdaq Stock Market LLC. (XNAS):

The Firm is a Market Maker on XNAS in equities. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

XNAS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-equity-7>

Information reflecting XNAS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

New York Stock Exchange LLC. (NYSE):

The Firm is a Market Maker and Supplemental Liquidity Market Maker in equities on the NYSE. Accordingly, the Firm may share directly in any profits generated from the execution of client orders by the Firm on the exchange, including those that are routed to the exchange.

NYSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE\\_Price\\_List.pdf](https://www.nyse.com/publicdocs/nyse/markets/nyse/NYSE_Price_List.pdf)

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

NASDAQ OMX BX. (BOSE):

BOSE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-equity-7>

Information reflecting the BOSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE EDGA Exchange (EDGA):

EDGA has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/edga/](https://markets.cboe.com/us/equities/membership/fee_schedule/edga/)

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE BZX Exchange (BATS):

BATS has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/equities/membership/fee\\_schedule/bzx/](https://markets.cboe.com/us/equities/membership/fee_schedule/bzx/)

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE BYX Exchange (BATY):

BATY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/byx/](https://markets.cboe.com/us/equities/membership/fee_schedule/byx/)

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

CBOE EDGX Exchange (EDGX):

EDGX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[https://markets.cboe.com/us/equities/membership/fee\\_schedule/edgx/](https://markets.cboe.com/us/equities/membership/fee_schedule/edgx/)

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://listingcenter.nasdaq.com/rulebook/phlx/rules/phlx-equity-7>

Information reflecting the XPHL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202303.xlsx)

## March 2023

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.13	0.15	7.51	85.52	6.79

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NASDAQ Options Market LLC (NDOE)	38.64	0.00	2.72	97.18	0.09	0.00	0.0000	-165,982.88	-51.6900	30,894.98	21.4600	25.05	0.3800
NYSE Arca, Inc. (PCOE)	24.96	0.05	0.85	92.97	6.11	-12,019.75	-22.7700	-46,777.41	-53.3600	132,237.52	28.1800	-27,238.11	-20.0000
CBOE C2 Options Exchange, Inc. (C2OX)	12.49	0.00	0.59	99.33	0.06	0.00	0.0000	-45,401.42	-45.4900	5,173.22	6.4300	-790.83	-30.5800
CBOE BZX Options Exchange (BATO)	10.02	0.00	7.78	92.00	0.21	0.00	0.0000	-106,680.26	-72.1800	27,490.79	12.5600	-967.70	-16.4200
CBOE Options Exchange (XCBO)	3.83	1.85	11.52	24.40	62.22	-39,044.13	-21.1600	-45,206.15	-27.5100	-46,748.64	-21.3400	-24,050.30	-25.1000
NASDAQ BX Options (XBOX)	2.02	0.41	76.20	9.70	13.68	13,407.20	54.7400	74,394.00	23.4100	-3,194.85	-7.4500	30,355.16	46.8700



Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
MIAX PEARL LLC (MPRL)	1.68	0.00	75.44	23.23	1.32	0.00	0.0000	-281,293.96	-49.9100	2,165.59	3.3400	-2,900.70	-32.1500
Nasdaq ISE, LLC (ISOE)	1.66	1.22	16.41	16.51	65.85	10,679.35	10.4400	-47,962.64	-42.7500	6,597.49	8.2500	28,155.88	16.3200
NASDAQ BX Options (NBXO)	1.01	0.00	71.06	27.62	1.31	0.00	0.0000	-109,340.50	-40.3000	8,406.13	20.1600	365.85	11.1600
NYSE American LLC (AMEX)	0.88	1.12	31.82	18.91	48.14	-9.00	-0.0300	-6,816.83	-7.6200	-9,922.98	-21.9100	-2,740.30	-5.1300

### Material Aspects:

#### NASDAQ Options Market LLC (NDOE):

NDOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-options-7>

Information reflecting the NDOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf)

Information reflecting the PCOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### CBOE BZX Options Exchange (BATO):

BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/options/membership/fee\\_schedule/bato/](https://markets.cboe.com/us/options/membership/fee_schedule/bato/)

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### CBOE Options Exchange (XCBO):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://markets.cboe.com/us/options/membership/fee\\_schedule/xcbo/](https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/)

Information reflecting the XCBO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### NASDAQ BX Options (XBOX):

XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://boxoptions.com/regulatory/fee-schedule/>

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### MIAX PEARL LLC (MPRL):

MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://www.miaxoptions.com/fees/pearl>

Information reflecting the MPRL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

#### Nasdaq ISE, LLC (ISOE):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

ISOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

<https://listingcenter.nasdaq.com/rulebook/ise/rules/ise-options-7>

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

NASDAQ BX Options (NBXO):

NBXO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

<https://listingcenter.nasdaq.com/rulebook/bx/rules/bx-options-7>

Information reflecting the NBXO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)

NYSE American LLC (AMEX):

Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a "preferenced" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferenced" registered market makers for options orders the Firm sends to the exchange.

AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

[https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE\\_American\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf)

Information reflecting the AMEX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202303.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202303.xlsx)