

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

Generated on Thu Nov 02 2023 15:37:25 GMT-0400 (Eastern Daylight Time)

3rd Quarter, 2023

July 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	2.11	12.39	52.30	33.18

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)
The Nasdaq Stock Market LLC. (XNAS)	35.63	1.97	8.82	53.57	35.62	-29.05	-4.3500	-1,248.61	-28.3100	-113.49	-2.8900	-399.79	-13.2500
New York Stock Exchange LLC. (NYSE)	27.18	3.67	4.61	64.47	27.23	-29.19	-3.0600	-505.96	-25.4500	98.26	2.0900	-187.40	-8.3800
NASDAQ OMX BX. (BOSE)	6.15	0.00	50.56	24.60	24.82	0.00	0.0000	11.91	2.4400	-337.65	-29.9700	-6.08	-2.8400
Investors Exchange LLC (IEXG)	4.93	0.00	15.77	28.56	55.65	0.00	0.0000	-99.94	-8.8500	-32.39	-5.7300	-73.54	-5.1200
NYSE Arca, Inc. (ARCA)	4.91	0.00	9.65	62.47	27.87	0.00	0.0000	-319.36	-30.0000	6.48	0.4100	-11.99	-4.7800
CBOE BZX Exchange (BATS)	4.47	0.00	33.55	41.33	25.10	0.00	0.0000	-1,919.81	-29.4100	-562.79	-20.7600	-364.70	-17.5100
CBOE EDGA Exchange (EDGA)	4.07	0.00	24.90	39.82	35.27	0.00	0.0000	222.99	20.5400	-51.14	-9.4900	9.61	1.3700
CBOE BYX Exchange (BATY)	2.48	0.00	3.15	55.86	40.98	0.00	0.0000	2.84	2.0000	-118.85	-15.4500	-48.43	-15.7500
MEMX (MEMX)	2.33	0.00	0.00	75.18	24.81	0.00	0.0000	0.00	0.0000	-140.11	-21.9700	7.96	28.1100
CBOE EDGX Exchange (EDGX)	2.16	0.00	19.60	44.55	35.84	0.00	0.0000	-381.74	-30.0000	-196.65	-20.4100	7.49	1.0400

Material Aspects:

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_202307.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

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_202307.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_202307.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

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_202307.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/

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_202307.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/

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_202307.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/

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_202307.xlsx

MEMX (MEMX):

Members Exchange (MEMX): An investment entity affiliate of GSCO has a minority, non-controlling ownership interest in MEMX. MEMX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://info.memxtrading.com/fee-schedule/> Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202307.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/

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_202307.xlsx

July 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	1.11	7.49	51.09	40.29

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)
NYSE Arca, Inc. (ARCA)	27.28	0.95	1.67	57.46	39.90	-384.01	-15.0000	-1,236.72	-26.8500	-336.04	-4.9600	-273.42	-4.7300
The Nasdaq Stock Market LLC. (XNAS)	20.62	1.87	7.91	59.83	30.37	-104.43	-4.4300	-3,389.95	-27.4800	683.33	3.3000	-2,428.98	-16.0700
New York Stock Exchange LLC. (NYSE)	11.36	1.58	3.49	65.36	29.55	-34.00	-3.0600	-1,305.75	-16.7400	348.47	2.4300	-242.43	-5.8400
CBOE BZX Exchange (BATS)	6.42	0.05	17.14	43.43	39.36	-13.50	-7.5000	-7,064.50	-29.3700	-2,198.01	-21.4600	-2,483.38	-24.5500
NASDAQ OMX BX. (BOSE)	6.29	0.00	29.43	26.75	43.80	0.00	0.0000	16.89	1.3600	-983.40	-29.9700	-233.84	-12.8400
Investors Exchange LLC (IEXG)	5.60	0.00	7.78	38.21	54.00	0.00	0.0000	-237.04	-7.8500	-77.24	-1.5300	-189.15	-6.7800
CBOE EDGA Exchange (EDGA)	5.10	0.00	14.28	38.48	47.22	0.00	0.0000	464.27	19.1700	-912.73	-21.6100	-216.44	-6.1900
CBOE BYX Exchange (BATY)	3.79	0.00	1.87	49.09	49.03	0.00	0.0000	-38.15	-4.6000	-730.51	-17.2000	-173.97	-12.0900
CBOE EDGX Exchange (EDGX)	2.89	0.00	10.51	49.14	40.34	0.00	0.0000	-1,452.08	-30.0000	-622.40	-13.2500	-522.89	-18.2200
Nasdaq PHLX, LLC (XPHL)	2.79	0.00	15.36	41.70	42.93	0.00	0.0000	-767.39	-30.0000	483.34	29.9700	-434.64	-25.3600

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

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_202307.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_202307.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

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_202307.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/

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_202307.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_202307.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/

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_202307.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/

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_202307.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/

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_202307.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_202307.xlsx

July 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
0.48	0.03	2.43	83.40	14.12

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)	35.19	0.00	0.90	99.07	0.02	0.00	0.0000	-129,403.33	-50.5600	42,477.21	32.4400	-188.81	-9.6800
NYSE Arca, Inc . (PCOE)	29.07	0.01	0.45	78.49	21.04	-25,268.80	-39.7500	-55,120.69	-51.1800	80,383.94	16.2000	-35,890.99	-25.4300
CBOE C2 Options Exchange, Inc. (C2OX)	20.77	0.00	0.15	99.83	0.00	0.00	0.0000	-54,053.97	-44.7400	15,042.02	16.1400	-194.69	-35.2600
NASDAQ BX Options (XBOX)	4.69	0.08	9.71	1.00	89.19	6,072.00	49.7800	59,682.50	19.9600	-799.40	-2.0300	21,281.40	41.8900
CBOE BZX Options Exchange (BATO)	3.34	0.00	8.16	91.74	0.09	0.00	0.0000	-106,792.84	-67.0200	31,490.23	14.6500	-245.76	-16.1200
NYSE American LLC (AMEX)	1.92	0.10	3.54	2.41	93.93	-24.72	-0.1900	-2,471.82	-4.2800	-7,553.95	-16.2400	-478.66	-0.7800
CBOE Options Exchange (XCBO)	1.79	0.76	9.63	29.11	60.48	-18,236.34	-25.9400	-33,808.36	-20.2200	-37,633.23	-15.7800	-13,859.60	-20.0800
MIAX PEARL LLC (MPRL)	0.83	0.00	38.36	60.85	0.77	0.00	0.0000	-216,109.10	-50.9100	5,458.01	10.4800	-1,200.94	-33.3500
NASDAQ BX Options (NBXO)	0.77	0.00	37.45	62.18	0.36	0.00	0.0000	-110,953.85	-43.7200	9,002.74	22.5400	-1,018.23	-32.6600
Nasdaq ISE, LLC (ISOE)	0.44	0.47	13.62	15.78	70.10	1,448.25	5.5800	-36,395.31	-41.8300	4,861.67	6.2600	13,421.75	12.8800

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_202307.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

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_202307.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_202307.xlsx

CBOE BZX Options Exchange (BATO):

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

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)
The Nasdaq Stock Market LLC. (XNAS)	36.63	1.21	11.61	54.69	32.47	-39.65	-4.4100	-1,513.70	-28.7700	8.90	0.1900	-510.98	-18.8300
New York Stock Exchange LLC. (NYSE)	25.93	2.22	6.56	63.82	27.38	-13.28	-2.7900	-609.07	-23.4800	369.19	6.5600	-191.68	-5.3500
NASDAQ OMX BX. (BOSE)	8.40	0.00	60.71	16.82	22.45	0.00	0.0000	-231.79	-16.4800	-204.77	-29.9900	-95.43	-18.6000
Investors Exchange LLC (IEXG)	4.68	0.00	21.96	30.10	47.92	0.00	0.0000	-124.81	-8.6400	-23.70	-1.2700	-51.19	-7.4500
CBOE BZX Exchange (BATS)	4.54	0.00	29.64	44.50	25.84	0.00	0.0000	-2,174.85	-29.3000	-390.95	-20.6100	-359.91	-25.3700
NYSE Arca, Inc. (ARCA)	4.28	0.00	9.42	62.69	27.88	0.00	0.0000	-370.96	-30.0000	-80.06	-4.7000	-9.67	-4.7800
CBOE EDGA Exchange (EDGA)	3.65	0.00	22.69	41.32	35.98	0.00	0.0000	207.22	19.5200	-219.79	-20.5900	1.04	0.1800
MEMX (MEMX)	2.47	0.00	0.00	76.61	23.38	0.00	0.0000	0.00	0.0000	-115.03	-19.7600	4.50	27.9800
CBOE BYX Exchange (BATY)	2.41	0.00	2.96	55.38	41.64	0.00	0.0000	1.73	1.4500	-93.08	-14.7500	-58.57	-18.7800
CBOE EDGX Exchange (EDGX)	2.07	0.00	20.43	45.06	34.49	0.00	0.0000	-564.64	-30.0000	-160.60	-14.9700	-42.10	-8.2800

Material Aspects:

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_202308.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

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_202308.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_202308.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/

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_202308.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

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_202308.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/

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_202308.xlsx

MEMX (MEMX):

Members Exchange (MEMX): An investment entity affiliate of GSCO has a minority, non-controlling ownership interest in MEMX. MEMX has a tiered pricing/payment schedule.

For detailed information, please see the exchange's public website: <https://info.memxtrading.com/fee-schedule/> Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202308.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/

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_202308.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/

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_202308.xlsx

August 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	1.10	9.81	48.04	41.03

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)	22.63	0.85	2.33	53.69	43.12	-136.80	-15.0000	-1,071.11	-29.5600	-260.80	-3.2000	-630.27	-14.9300
The Nasdaq Stock Market LLC. (XNAS)	22.19	1.40	10.12	54.40	34.06	-91.41	-4.4100	-2,929.61	-26.6000	53.87	0.2700	-1,729.83	-14.0900
New York	13.56	2.80	5.53	64.23	27.42	-49.26	-2.7900	-1,274.24	-21.6200	512.91	3.2200	-218.67	-5.1200

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)
Stock Exchange LLC. (NYSE)													
NASDAQ OMX BX. (BOSE)	7.74	0.00	37.11	21.73	41.15	0.00	0.0000	43.27	3.5200	-622.36	-29.9800	-78.77	-8.0500
CBOE BZX Exchange (BATS)	5.82	0.00	18.89	44.13	36.97	0.00	0.0000	-6,007.29	-29.4400	-2,185.52	-21.0200	-1,362.05	-19.6900
Investors Exchange LLC (IEXG)	5.60	0.00	10.67	36.70	52.62	0.00	0.0000	-183.33	-8.8400	-74.74	-2.0000	-231.92	-7.0500
CBOE EDGA Exchange (EDGA)	5.01	0.00	15.50	37.54	46.95	0.00	0.0000	428.56	15.5000	-1,107.89	-22.5400	-244.90	-9.2400
CBOE BYX Exchange (BATY)	3.67	0.00	1.79	48.98	49.22	0.00	0.0000	6.86	1.8100	-1,290.78	-18.0800	-227.72	-17.4000
CBOE EDGX Exchange (EDGX)	2.66	0.00	13.70	46.05	40.24	0.00	0.0000	-1,243.71	-29.9800	-989.46	-23.3700	-58.67	-1.6500
Nasdaq PHLX, LLC (XPHL)	2.51	0.00	16.16	37.91	45.92	0.00	0.0000	-597.34	-30.0000	860.38	29.9700	-239.33	-16.4000

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

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_202308.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_202308.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

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_202308.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_202308.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/

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_202308.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/

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_202308.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/

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_202308.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/

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_202308.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_202308.xlsx

August 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
0.31	0.04	5.27	86.05	8.62

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. (PCOE)	35.65	0.01	0.55	88.91	10.51	-12,071.16	-35.1700	-56,225.32	-54.1800	61,109.94	12.5400	-34,471.37	-26.3400
NASDAQ Options Market LLC (NDOE)	27.99	0.00	2.29	97.68	0.01	0.00	0.0000	-133,737.34	-52.7900	33,741.84	22.4100	-89.20	-10.0300
CBOE C2 Options Exchange, Inc. (C2OX)	20.22	0.00	0.26	99.72	0.00	0.00	0.0000	-74,151.61	-46.2400	28,212.80	20.6100	-134.57	-40.6500
CBOE BZX	5.82	0.00	12.05	87.91	0.03	0.00	0.0000	-108,407.37	-64.7200	32,525.79	14.2800	-297.74	-27.3400

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)
Options Exchange (BATO)													
NASDAQ BX Options (XBOX)	2.96	0.16	31.58	2.09	66.15	5,172.00	27.0900	69,988.75	16.6600	-545.05	-1.3000	27,290.42	46.4300
CBOE Options Exchange (XCBO)	1.61	1.21	18.03	29.23	51.51	-15,941.31	-29.9000	-38,425.75	-20.2900	-47,255.99	-16.0400	-21,784.25	-22.4600
NASDAQ BX Options (NBXO)	1.25	0.00	73.45	26.32	0.22	0.00	0.0000	-176,705.28	-44.1900	7,376.00	16.5000	-677.57	-31.2600
NYSE American LLC (AMEX)	1.09	0.23	13.24	5.55	80.96	0.00	0.0000	-2,783.89	-3.2100	-7,700.13	-15.0000	-1,075.28	-2.1400
MIAX PEARL LLC (MPRL)	1.03	0.00	66.61	33.20	0.18	0.00	0.0000	-255,781.70	-47.5300	2,021.45	3.6400	-311.48	-30.1200
Nasdaq ISE, LLC (ISOE)	0.65	0.50	22.41	17.27	59.80	1,849.70	1.9600	-39,143.36	-37.8900	14,201.80	15.0700	13,527.88	11.7200

Material Aspects:

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

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_202308.xlsx

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_202308.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/

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_202308.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_202308.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/xco/

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_202308.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_202308.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

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_202308.xlsx

MIAX PEARL LLC (MPRL):

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

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_202308.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_202308.xlsx

September 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	1.48	10.79	53.37	34.35

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)
The Nasdaq Stock Market LLC. (XNAS)	35.03	2.03	7.92	53.47	36.57	-62.58	-5.4100	-1,290.94	-29.3900	57.53	2.7700	-305.98	-18.5200
New York Stock Exchange LLC. (NYSE)	28.51	2.58	3.69	66.36	27.35	-13.40	-1.8900	-663.71	-25.8000	405.96	10.3300	-71.63	-3.3900
NASDAQ OMX BX. (BOSE)	6.76	0.00	48.21	21.13	30.65	0.00	0.0000	-15.72	-2.9200	-315.16	-29.7900	-22.06	-12.8300
Investors Exchange	4.91	0.00	13.93	32.97	53.09	0.00	0.0000	-146.38	-9.8200	23.17	2.3200	-25.89	-4.0800

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)
LLC (IEXG)													
NYSE Arca, Inc. (ARCA)	4.50	0.00	8.38	60.06	31.54	0.00	0.0000	-450.03	-30.0000	356.80	17.9200	63.37	16.1500
CBOE BZX Exchange (BATS)	4.30	0.00	26.10	46.60	27.29	0.00	0.0000	-2,551.85	-29.4400	-120.50	-9.6100	-235.63	-27.1100
CBOE EDGA Exchange (EDGA)	3.86	0.00	18.98	41.52	39.49	0.00	0.0000	195.80	19.7500	-50.84	-18.8300	39.56	15.6200
CBOE BYX Exchange (BATY)	2.82	0.00	1.89	56.41	41.68	0.00	0.0000	3.32	1.9000	-231.17	-18.6500	-34.73	-18.3100
CBOE EDGX Exchange (EDGX)	2.22	0.00	13.26	44.37	42.36	0.00	0.0000	-540.32	-30.0000	48.63	4.1000	-23.00	-17.4000
MEMX (MEMX)	2.03	0.00	0.00	75.16	24.83	0.00	0.0000	0.00	0.0000	-28.74	-8.1000	6.57	23.3000

Material Aspects:

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_202309.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

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_202309.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_202309.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

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_202309.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/

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_202309.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/

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_202309.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/

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_202309.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/

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_202309.xlsx

MEMX (MEMX):

Members Exchange (MEMX): An investment entity affiliate of GSCO has a minority, non-controlling ownership interest in MEMX. MEMX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://info.memxtrading.com/fee-schedule/> Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202309.xlsx

September 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	2.05	9.41	46.50	42.02

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)	22.82	0.92	2.86	58.25	37.95	-125.89	-15.0000	-1,270.88	-24.9200	594.48	6.6200	-335.38	-9.6100
The Nasdaq Stock Market LLC. (XNAS)	19.38	5.51	12.08	47.31	35.07	-147.20	-6.4000	-2,444.42	-29.2200	-940.31	-5.4300	-1,818.21	-17.7600
New York Stock Exchange LLC. (NYSE)	14.51	3.65	3.78	64.24	28.30	-21.53	-1.8800	-1,461.63	-12.3500	163.70	1.0800	215.27	5.7100
NASDAQ OMX BX. (BOSE)	7.78	0.00	31.67	22.05	46.27	0.00	0.0000	42.65	2.7100	-374.06	-29.9900	-160.73	-11.5000
CBOE BZX Exchange (BATS)	6.04	0.19	18.63	42.51	38.66	-0.28	-7.5000	-6,706.17	-29.5300	-1,517.71	-20.0200	-2,521.81	-23.7700
CBOE EDGA Exchange (EDGA)	5.29	0.00	14.89	34.80	50.30	0.00	0.0000	446.82	15.9300	-232.79	-8.1800	-7.79	-0.4100

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)	5.16	0.00	11.93	36.61	51.44	0.00	0.0000	-222.38	-9.6100	-6.06	-0.3100	-115.54	-5.7000
CBOE BYX Exchange (BATY)	4.06	0.00	1.63	45.36	52.99	0.00	0.0000	14.95	1.9700	-393.40	-13.2100	-54.97	-12.3200
CBOE EDGX Exchange (EDGX)	2.58	0.00	12.28	45.80	41.91	0.00	0.0000	-1,300.76	-30.0000	-770.59	-18.2100	-339.33	-18.5800
Nasdaq PHLX, LLC (XPHL)	2.54	0.00	16.17	39.93	43.89	0.00	0.0000	-832.52	-30.0000	1,125.81	31.9600	-291.45	-20.9500

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

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_202309.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_202309.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

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_202309.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_202309.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/

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_202309.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/

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_202309.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/

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_202309.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/

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_202309.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_202309.xlsx

September 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
0.65	0.03	3.72	87.96	8.27

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)
NYSE Arca, Inc. (PCOE)	58.73	0.00	0.16	95.98	3.83	-18,382.19	-26.5500	-33,923.38	-49.2400	119,294.52	21.6300	-34,115.76	-23.6700
NASDAQ Options Market LLC (NDOE)	18.65	0.00	2.65	97.32	0.01	0.00	0.0000	-112,179.28	-52.4900	46,486.61	31.6200	-283.31	-28.0700
CBOE BZX Options Exchange (BATO)	5.56	0.00	5.73	94.23	0.02	0.00	0.0000	-70,655.45	-66.2400	27,939.81	14.4500	-237.09	-31.6100
CBOE C2 Options Exchange, Inc. (C2OX)	4.82	0.00	0.76	99.22	0.01	0.00	0.0000	-42,492.17	-45.8200	13,455.69	18.2200	-159.57	-41.2300
CBOE Options Exchange (XCBO)	2.68	0.53	8.16	23.49	67.79	-13,879.10	-21.3400	-22,288.49	-14.8500	-29,551.20	-14.7100	-17,938.64	-21.3900
NASDAQ BX Options (XBOX)	1.95	0.20	33.77	2.69	63.33	8,750.30	48.6200	53,828.70	15.9300	-360.35	-1.0400	20,547.00	50.5500
MIAX PEARL LLC (MPRL)	1.76	0.00	34.81	65.09	0.08	0.00	0.0000	-205,512.44	-45.8500	7,321.45	16.2700	-900.00	-40.9600
NASDAQ BX	1.68	0.00	34.70	65.19	0.10	0.00	0.0000	-122,917.76	-44.5100	7,035.83	20.4000	-417.26	-34.0800

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)
Options (NBXO)													
Nasdaq ISE, LLC (ISOE)	1.12	0.23	11.59	8.42	79.74	2,526.75	8.8400	-38,441.59	-38.8100	10,377.27	15.1100	4,784.13	8.1600
NYSE American LLC (AMEX)	0.83	0.25	12.95	6.11	80.67	0.00	0.0000	-1,817.46	-3.1200	-4,537.93	-16.0000	-980.98	-2.7100

Material Aspects:

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

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_202309.xlsx

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_202309.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/

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_202309.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 "preferred" market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from "preferred" 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/

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_202309.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_202309.xlsx

MIAX PEARL LLC (MPRL):

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

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_202309.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_202309.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_202309.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

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_202309.xlsx