

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

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4th Quarter, 2020

October 2020

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
0.08	1.89	20.65	49.09	28.35

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)	28.65	0.93	4.92	13.62	9.17	-79.98	-6.6400	-3,370.35	-29.7700	-143.83	-4.7500	-0.08	0.0000
New York Stock Exchange LLC. (NYSE)	25.85	0.92	1.64	15.85	7.42	-44.70	-2.2600	-2,109.10	-25.9200	367.86	7.3700	-107.63	-4.5700
Investors Exchange LLC (IEXG)	10.24	0.00	4.95	3.15	2.13	0.00	0.0000	-237.79	-4.8600	-98.95	-3.2900	-28.85	-3.8300
NASDAQ OMX BX. (BOSE)	7.08	0.00	2.20	2.99	1.88	0.00	0.0000	148.73	10.2200	-801.15	-26.1500	-204.70	-25.2600
CBOE EDGA Exchange (EDGA)	5.90	0.00	1.41	2.80	1.69	0.00	0.0000	424.71	17.8200	-678.88	-20.3200	-11.65	-4.2800
CBOE EDGX Exchange (EDGX)	5.15	0.00	1.49	2.27	1.37	0.00	0.0000	-2,838.44	-26.7200	-19.75	-0.5000	-59.43	-10.4300
CBOE BYX Exchange (BATY)	4.59	0.00	0.55	2.58	1.45	0.00	0.0000	126.40	13.6100	-426.64	-16.6700	-64.92	-16.4200
CBOE BZX Exchange (BATS)	4.51	0.00	1.49	1.98	1.02	-0.04	-5.0000	-4,410.13	-29.9000	-631.16	-17.4900	-138.03	-20.8700
NYSE Arca, Inc. (ARCA)	3.69	0.00	1.11	1.65	0.92	0.00	0.0000	-1,338.03	-29.8300	95.99	6.8600	-57.13	-25.7100
Nasdaq PHLX, LLC (XPHL)	2.94	0.00	0.57	1.49	0.87	0.00	0.0000	-1,410.03	-24.9900	-308.30	-11.9400	62.67	10.1500

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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202010.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_202010.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-options-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_202010.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_202010.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_202010.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_202010.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_202010.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_202010.xlsx

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:
http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-lcrules/chp_1_1/

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_202010.xlsx

October 2020

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
0.10	2.29	15.74	53.95	28.00

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)	24.41	1.34	4.37	13.96	4.72	-167.90	-8.2100	-6,412.90	-27.8800	1,694.87	12.1000	-1,010.95	-12.3400
NYSE Arca, Inc. (ARCA)	19.44	0.27	1.13	10.57	7.46	-176.16	-15.0000	-3,256.53	-28.9200	1,154.76	14.4000	-612.06	-9.1900
New York Stock Exchange LLC. (NYSE)	18.36	0.62	1.47	11.92	4.34	-72.30	-2.2800	-2,841.67	-23.6800	1,700.21	9.7800	-229.07	-8.0800
Investors Exchange LLC (IEXG)	6.41	0.00	2.34	2.43	1.63	0.00	0.0000	-274.26	-4.8200	-185.31	-3.3100	-53.01	-3.7000
CBOE EDGX Exchange (EDGX)	6.28	0.00	1.97	2.27	2.03	0.00	0.0000	-4,125.48	-26.1600	341.00	4.2800	-621.68	-12.6100
NASDAQ OMX BX. (BOSE)	5.83	0.00	1.15	2.87	1.81	0.00	0.0000	304.88	11.0300	-1,776.87	-25.6000	-99.44	-7.3000
CBOE EDGA Exchange (EDGA)	5.49	0.00	0.95	2.76	1.77	0.00	0.0000	708.31	16.8000	-1,742.93	-21.2400	24.13	1.2600
CBOE BZX Exchange (BATS)	4.59	0.00	1.16	2.16	1.26	-20.98	-5.0000	-4,955.27	-29.5600	469.03	5.2800	-1,155.82	-24.5600
CBOE BYX Exchange (BATY)	4.31	0.00	0.31	2.63	1.36	0.00	0.0000	213.46	14.3000	-1,511.71	-18.5300	-21.05	-2.5100
Nasdaq PHLX, LLC (XPHL)	2.88	0.00	0.51	1.40	0.96	0.00	0.0000	-1,527.81	-24.9800	444.49	8.1300	-98.91	-3.6900

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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202010.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_202010.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_202010.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_202010.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-options-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_202010.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_202010.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_202010.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_202010.xlsx

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:
http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-lcrules/chp_1_1/

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_202010.xlsx

October 2020

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
6.07	0.08	5.13	84.48	10.29

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)
CBOE BZX Options Exchange (BATO)	65.27	0.00	2.25	63.01	0.00	0.00	0.0000	-291,257.10	-57.9800	99,363.13	30.2700	0.00	0.0000
NASDAQ Options Market LLC (NDOE)	15.19	0.00	0.81	14.38	0.00	0.00	0.0000	-180,038.97	-51.6600	30,316.64	25.1400	0.00	0.0000
NYSE Arca, Inc. (PCOE)	6.86	0.01	0.13	3.86	2.85	1,505.30	4.3500	-30,012.81	-57.0600	56,702.79	33.3700	11,134.65	5.9100
Nasdaq ISE, LLC (ISOE)	4.02	0.01	0.14	0.16	3.70	16,761.75	18.9200	-39,317.51	-39.2700	10,787.04	15.5300	91,224.66	30.6200
CBOE Options Exchange (XCBO)	2.44	0.03	0.24	0.36	1.80	-19,932.96	-17.6000	-27,718.07	-23.0200	-44,902.67	-22.5900	-21,433.82	-11.7800
NYSE American LLC (AMEX)	1.40	0.01	0.18	0.19	1.01	-15.00	-0.0600	1,977.49	2.5900	376.20	0.7900	-637.50	-0.7900
CBOE C2 Options Exchange, Inc. (C2OX)	1.35	0.00	0.09	1.26	0.00	0.00	0.0000	-48,626.45	-45.3500	-13,942.98	-31.0400	0.00	0.0000
Nasdaq PHLX, LLC (PHLX)	1.23	0.00	0.11	0.18	0.91	-43.34	-0.1600	-12,271.53	-16.9400	-769.33	-1.5700	-562.95	-0.5700
MIAX PEARL LLC (MPRL)	0.63	0.00	0.29	0.34	0.00	0.00	0.0000	-72,337.03	-50.6200	4,546.34	11.9600	0.00	0.0000
Nasdaq GEMX, LLC (ISEG)	0.48	0.00	0.26	0.22	0.00	0.00	0.0000	-71,772.45	-51.5500	2,044.48	6.3900	0.00	0.0000

Material Aspects:

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_202010.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_202010.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_202010.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_202010.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/

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_202010.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_202010.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-options-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_202010.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_202010.xlsx

Nasdaq GEMX, LLC (ISEG):

ISEG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:
http://nasdaqgemx.cchwallstreet.com/contents/gemx/nasdaq-gemx-rules/chp_1_1/chp_1_1_2/

Information reflecting the ISEG's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202010.xlsx

November 2020

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
0.10	1.96	23.60	45.29	29.12

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)
The Nasdaq Stock Market LLC. (XNAS)	27.15	0.81	5.68	11.76	8.89	-82.92	-6.5500	-4,461.27	-28.4000	927.25	17.8600	-326.59	-8.4700
New York Stock Exchange LLC. (NYSE)	25.79	1.15	2.31	14.58	7.73	-58.80	-2.4600	-2,874.43	-20.0200	240.87	2.6900	-179.92	-6.1600
Investors Exchange LLC (IEXG)	8.57	0.00	4.04	2.43	2.08	0.00	0.0000	-379.18	-6.0100	-101.31	-3.0900	-68.85	-3.7300
NASDAQ OMX BX. (BOSE)	8.26	0.00	3.31	2.98	1.95	0.00	0.0000	154.13	9.2800	-459.05	-28.5000	-151.03	-22.7100
CBOE EDGA Exchange (EDGA)	6.37	0.00	1.56	2.87	1.93	0.00	0.0000	447.10	17.3500	-1,170.69	-24.7800	-137.73	-15.6700
CBOE EDGX Exchange (EDGX)	5.22	0.00	1.58	2.30	1.33	0.00	0.0000	-3,139.77	-26.6300	-47.13	-1.9800	-6.81	-0.6900
CBOE BZX Exchange (BATS)	5.13	0.00	2.06	1.88	1.18	0.00	0.0000	-6,500.65	-29.8200	321.86	9.8500	-157.14	-10.9800
CBOE BYX Exchange (BATY)	4.53	0.00	0.36	2.71	1.45	0.00	0.0000	109.03	14.3700	-736.58	-19.4500	-105.30	-17.5500
NYSE Arca, Inc. (ARCA)	4.49	0.00	1.63	1.72	1.13	0.00	0.0000	-1,959.78	-30.0000	336.94	12.5100	-72.37	-17.2300
Nasdaq PHLX, LLC (XPHL)	3.33	0.00	0.80	1.50	1.03	0.00	0.0000	-1,438.68	-25.0000	120.65	9.6900	39.86	5.3000

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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202011.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_202011.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-options-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_202011.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_202011.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_202011.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_202011.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_202011.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_202011.xlsx

Nasdaq PHILX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-lcrules/chp_1_1/

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_202011.xlsx

November 2020

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
0.11	1.88	19.51	50.09	28.49

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)	21.13	0.81	4.72	11.20	4.39	-189.86	-6.7800	-9,436.90	-26.8900	2,059.94	13.8200	-1,146.71	-16.5800

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)	20.00	0.36	1.77	10.07	7.79	-584.08	-15.0000	-4,923.93	-28.7300	2,096.75	19.9700	-1,200.57	-17.6900
New York Stock Exchange LLC. (NYSE)	18.33	0.68	1.71	11.64	4.28	-140.97	-2.4600	-5,780.23	-20.3500	2,359.89	12.7100	-290.67	-4.3300
NASDAQ OMX BX. (BOSE)	7.21	0.00	2.13	2.96	2.10	0.00	0.0000	425.86	11.0900	-5,843.49	-29.6900	-272.61	-12.7200
CBOE EDGX Exchange (EDGX)	6.69	0.00	2.43	2.21	2.04	0.00	0.0000	-6,416.57	-26.4600	740.73	9.2400	-1,105.33	-21.5600
CBOE EDGA Exchange (EDGA)	6.09	0.00	1.37	2.83	1.88	0.00	0.0000	260.60	3.2600	-3,624.35	-24.9700	-67.31	-2.6200
Investors Exchange LLC (IEXG)	5.84	0.00	1.98	2.25	1.59	0.00	0.0000	-495.25	-5.5700	-264.83	-3.4900	-74.40	-3.6300
CBOE BZX Exchange (BATS)	4.98	0.01	1.80	1.78	1.37	-9.70	-5.0000	-10,502.37	-29.5600	1,013.78	10.9600	-1,587.10	-23.2900
CBOE BYX Exchange (BATY)	4.44	0.00	0.36	2.68	1.39	0.00	0.0000	373.79	14.2900	-2,248.24	-19.4000	-256.39	-10.4000
Nasdaq PHLX, LLC (XPHL)	3.34	0.00	0.76	1.57	1.00	0.00	0.0000	-2,437.72	-24.6200	1,831.60	18.2600	-441.40	-18.8300

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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202011.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_202011.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_202011.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-options-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_202011.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_202011.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_202011.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_202011.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_202011.xlsx

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-lcrules/chp_1_1/

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_202011.xlsx

November 2020

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
4.49	0.06	4.64	79.52	15.75

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)
CBOE BZX Options Exchange (BATO)	60.82	0.00	2.06	58.75	0.00	0.00	0.0000	-249,919.85	-58.9500	63,755.84	18.9300	0.00	0.0000
NASDAQ Options Market LLC (NDOE)	15.20	0.00	0.75	14.45	0.00	0.00	0.0000	-159,987.34	-51.7400	24,317.02	19.7100	0.00	0.0000

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)	9.65	0.01	0.11	4.11	5.40	6,149.55	12.9900	-24,677.00	-57.3100	42,865.13	23.9800	20,081.91	10.9000
Nasdaq ISE, LLC (ISOE)	5.14	0.01	0.13	0.13	4.85	20,093.30	28.4100	-36,320.14	-38.9300	11,271.82	15.8400	116,850.22	35.1900
CBOE Options Exchange (XCBO)	3.29	0.02	0.22	0.58	2.45	-14,014.75	-22.4900	-22,967.61	-21.7000	-58,588.91	-26.9700	-26,714.44	-17.3700
NYSE American LLC (AMEX)	1.91	0.00	0.16	0.12	1.61	-25.25	-0.0600	1,980.25	2.5700	-43.89	-0.1100	-29.44	-0.0400
Nasdaq PHLX, LLC (PHLX)	1.68	0.00	0.12	0.12	1.42	-30.86	-0.1500	-8,019.63	-11.2900	-855.60	-1.5100	-59.18	-0.0600
MIAX PEARL LLC (MPRL)	0.56	0.00	0.24	0.31	0.00	0.00	0.0000	-57,315.66	-51.4100	4,049.21	9.7600	0.00	0.0000
CBOE C2 Options Exchange, Inc. (C2OX)	0.48	0.00	0.07	0.40	0.00	0.00	0.0000	-31,987.04	-47.0700	-11,927.51	-27.1300	0.00	0.0000
Nasdaq GEMX, LLC (ISEG)	0.40	0.00	0.22	0.17	0.00	0.00	0.0000	-63,287.74	-52.4100	1,972.53	5.6600	0.00	0.0000

Material Aspects:

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_202011.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_202011.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_202011.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_202011.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/

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_202011.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_202011.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-options-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_202011.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_202011.xlsx

Nasdaq GEMX, LLC (ISEG):

ISEG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:
http://nasdaqgemx.cchwallstreet.com/contents/gemx/nasdaq-gemx-rules/chp_1_1/chp_1_1_2/

Information reflecting the ISEG's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202011.xlsx

December 2020

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
0.12	2.11	22.53	45.39	29.95

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)	28.91	1.05	2.48	16.74	8.63	-32.02	-2.2000	-4,424.32	-25.7100	775.48	11.4200	-118.70	-4.4800
The Nasdaq Stock Market LLC. (XNAS)	25.15	0.86	5.28	10.41	8.59	-88.75	-5.2500	-5,299.99	-29.4900	1,287.89	21.9000	-229.36	-10.7400
NASDAQ	8.48	0.00	3.43	2.86	2.18	0.00	0.0000	192.88	9.9200	-1,695.46	-29.1100	-172.97	-23.5200

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)
OMX BX. (BOSE)													
Investors Exchange LLC (IEXG)	7.58	0.00	3.26	2.37	1.94	0.00	0.0000	-241.78	-5.5900	-98.73	-3.0600	-17.24	-4.7700
CBOE EDGA Exchange (EDGA)	6.27	0.00	1.58	2.86	1.82	0.00	0.0000	602.58	16.7800	-1,572.27	-24.4000	4.57	1.2100
CBOE BZX Exchange (BATS)	5.00	0.00	1.99	1.80	1.19	0.00	0.0000	-9,307.65	-29.8200	633.27	13.9900	-174.90	-16.8800
CBOE EDGX Exchange (EDGX)	4.99	0.00	1.58	1.94	1.45	0.00	0.0000	-5,628.75	-26.9400	30.19	1.6900	-16.29	-1.4200
CBOE BYX Exchange (BATY)	4.54	0.00	0.52	2.43	1.59	0.00	0.0000	236.46	14.3100	-1,281.89	-19.2000	-154.33	-17.6600
NYSE Arca, Inc. (ARCA)	4.15	0.00	1.34	1.67	1.13	0.00	0.0000	-2,661.24	-30.0000	447.55	20.8500	2.09	0.3100
Nasdaq PHLX, LLC (XPHL)	3.37	0.00	0.74	1.63	0.99	0.00	0.0000	-2,203.96	-25.0000	443.04	12.8900	-44.34	-18.2600

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

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_202012.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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202012.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-options-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_202012.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_202012.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_202012.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_202012.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_202012.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_202012.xlsx

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-llrules/chp_1_1/

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_202012.xlsx

December 2020

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
0.13	2.24	21.67	49.67	26.41

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)	23.13	1.30	5.54	12.05	4.23	-286.27	-6.0600	-10,622.71	-23.7900	7,674.74	19.1700	-1,590.36	-20.5600
NYSE Arca, Inc. (ARCA)	18.62	0.25	1.95	9.37	7.04	-491.76	-15.0000	-4,779.15	-27.6300	1,231.39	15.2700	-1,126.65	-19.1800
New York Stock Exchange LLC. (NYSE)	18.31	0.62	2.03	11.94	3.71	-87.87	-2.2000	-5,590.18	-22.1400	992.68	8.4000	-558.80	-10.2000
NASDAQ OMX BX. (BOSE)	7.15	0.00	2.47	2.72	1.95	0.00	0.0000	504.84	9.7900	-3,027.12	-25.7200	-223.23	-9.0700

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 EDGX Exchange (EDGX)	6.61	0.00	2.75	1.95	1.89	0.00	0.0000	-6,515.43	-26.7300	354.92	4.5400	-1,353.68	-21.1300
CBOE EDGA Exchange (EDGA)	5.89	0.00	1.44	2.67	1.77	0.00	0.0000	1,161.72	15.3800	-4,400.86	-24.1600	-147.31	-3.6900
CBOE BZX Exchange (BATS)	5.53	0.00	2.14	1.77	1.60	-1.61	-5.0000	-12,777.69	-29.7200	1,826.23	13.4700	-2,449.89	-23.7000
Investors Exchange LLC (IEXG)	5.16	0.00	1.57	2.25	1.32	0.00	0.0000	-391.46	-6.0000	-311.38	-4.0800	-88.15	-4.1500
CBOE BYX Exchange (BATY)	4.08	0.00	0.32	2.44	1.30	0.00	0.0000	326.68	9.0000	-1,526.69	-18.4900	-176.64	-8.9200
Nasdaq PHLX, LLC (XPHL)	3.25	0.00	0.82	1.50	0.92	0.00	0.0000	-3,144.11	-24.6700	1,331.17	15.6800	-470.66	-11.4900

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://www.nasdaqtrader.com/Trader.aspx?id=PriceListTrading2>

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_202012.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_202012.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_202012.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-options-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_202012.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_202012.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_202012.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_202012.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_202012.xlsx

Nasdaq PHLX, LLC (XPHL):

XPHL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:
http://nasdaqphlx.cchwallstreet.com/nasdaqphlx/phlx/phlx-lcrules/chp_1_1/

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_202012.xlsx

December 2020

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
4.02	0.08	5.42	84.77	9.70

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)
CBOE BZX Options Exchange (BATO)	67.42	0.00	2.00	65.42	0.00	0.00	0.0000	-233,623.70	-59.4900	58,074.45	19.2600	0.00	0.0000
NASDAQ Options Market LLC (NDOE)	11.46	0.00	0.89	10.56	0.00	0.00	0.0000	-170,155.24	-51.7200	24,292.32	21.4700	0.00	0.0000
NYSE Arca, Inc. (PCOE)	7.98	0.01	0.12	4.57	3.26	2,491.71	12.8200	-29,176.41	-57.9700	43,759.27	27.1500	10,029.15	6.3200
Nasdaq ISE, LLC (ISOE)	3.28	0.01	0.14	0.15	2.97	10,042.00	7.0500	-39,283.36	-39.1400	8,423.71	15.1400	62,237.45	24.5600
CBOE Options Exchange (XCBO)	2.54	0.03	0.28	0.42	1.80	-7,864.87	-3.5400	-31,614.28	-26.6000	-56,001.91	-27.8000	-29,373.44	-21.9600
MIAX PEARL LLC (MPRL)	1.94	0.00	0.25	1.68	0.00	0.00	0.0000	-55,376.76	-52.1800	5,045.77	12.4000	0.00	0.0000

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 American LLC (AMEX)	1.33	0.00	0.23	0.16	0.92	0.00	0.0000	449.13	0.6000	-386.77	-1.3100	-235.66	-0.4600
Nasdaq PHLX, LLC (PHLX)	1.14	0.00	0.18	0.20	0.73	-7.59	-0.0500	-7,989.57	-10.5500	-1,587.01	-3.6900	-198.43	-0.2000
CBOE C2 Options Exchange, Inc. (C2OX)	0.96	0.00	0.07	0.88	0.00	0.00	0.0000	-38,746.91	-48.1300	-10,698.67	-25.2800	0.00	0.0000
NASDAQ BX Options (XBOX)	0.50	0.00	0.35	0.14	0.00	0.00	0.0000	17,206.60	27.2000	-382.90	-1.4000	0.00	0.0000

Material Aspects:

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_202012.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_202012.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_202012.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_202012.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/

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_202012.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_202012.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_202012.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-options-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_202012.xlsx

NASDAQ BX Options (XBOX):

XBOX 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 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_202012.xlsx