

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

Generated on Fri Apr 30 2021 09:09:19 GMT-0400 (Eastern Daylight Time)

1st Quarter, 2021

January 2021

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
0.14	2.50	25.93	44.53	27.02

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)
New York Stock Exchange LLC. (NYSE)	27.86	1.46	2.71	15.46	8.21	-46.92	-2.0600	-2,020.37	-22.7900	512.11	14.4500	-119.18	-4.6800
The Nasdaq Stock Market LLC. (XNAS)	26.25	0.95	6.74	10.85	7.70	-69.75	-5.4400	-3,357.50	-28.8000	634.79	23.7200	49.81	2.2600
NASDAQ OMX BX. (BOSE)	8.98	0.00	4.48	2.68	1.82	0.00	0.0000	113.51	7.8100	-697.00	-29.9800	5.10	4.4500
Investors Exchange LLC (IEXG)	7.18	0.00	3.54	2.18	1.45	0.00	0.0000	-152.74	-5.6800	-39.22	-3.0400	-23.81	-3.6300
CBOE EDGA Exchange (EDGA)	5.91	0.00	1.59	2.63	1.69	0.00	0.0000	267.94	15.3100	-233.55	-26.0000	-92.46	-17.3700
CBOE EDGX Exchange (EDGX)	5.34	0.00	1.79	2.25	1.30	0.00	0.0000	-2,577.04	-26.9500	158.70	15.7400	-11.30	-2.1400
CBOE BZX Exchange (BATS)	5.31	0.00	2.11	2.05	1.14	0.00	0.0000	-4,941.62	-29.6900	101.97	25.1100	-90.08	-18.1900
NYSE Arca, Inc. (ARCA)	4.33	0.00	1.62	1.76	0.94	0.00	0.0000	-1,361.82	-30.0000	382.71	26.7000	34.67	9.7400
CBOE BYX Exchange (BATY)	4.27	0.00	0.44	2.37	1.45	0.00	0.0000	76.67	13.9300	-308.88	-19.9700	-79.14	-17.4300
Nasdaq PHLX, LLC (XPHL)	3.17	0.00	0.72	1.53	0.92	0.00	0.0000	-1,164.28	-25.0000	57.81	19.7100	9.27	3.0900

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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.xlsx

January 2021

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
0.18	2.73	23.73	48.50	25.02

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)
The Nasdaq Stock Market LLC. (XNAS)	24.02	1.62	6.40	11.73	4.25	-284.17	-6.2900	-9,472.47	-25.6500	6,240.59	23.0900	-1,239.85	-16.1300
New York Stock Exchange LLC. (NYSE)	18.40	0.74	2.19	11.95	3.51	-57.95	-2.0600	-4,339.13	-24.7800	2,345.32	16.0400	-1,010.97	-9.7800
NYSE Arca, Inc. (ARCA)	17.45	0.33	2.12	8.56	6.42	-129.71	-15.0000	-4,655.71	-26.4000	1,819.90	24.7900	-882.16	-22.8600
NASDAQ OMX BX. (BOSE)	7.17	0.00	2.75	2.50	1.91	0.00	0.0000	191.90	4.7400	-4,461.53	-29.9000	-342.74	-17.1800
CBOE EDGX Exchange (EDGX)	7.07	0.00	3.12	2.11	1.83	0.00	0.0000	-5,582.33	-20.9700	2,264.12	15.5800	-811.34	-19.4500
CBOE EDGA Exchange (EDGA)	5.92	0.00	1.42	2.73	1.76	0.00	0.0000	780.87	18.1000	-2,751.30	-25.8200	37.23	2.2200
CBOE BZX Exchange (BATS)	5.79	0.01	2.25	1.95	1.57	-7.08	-5.0000	-9,933.40	-29.2100	1,861.97	26.0200	-1,387.68	-23.5400
Investors Exchange LLC (IEXG)	5.17	0.00	1.90	2.03	1.24	0.00	0.0000	-433.40	-6.3500	-275.66	-2.9900	-79.72	-3.6300
CBOE BYX Exchange (BATY)	3.83	0.00	0.44	2.30	1.07	0.00	0.0000	265.20	11.2900	-1,892.21	-19.9800	-367.07	-14.0300
Nasdaq PHLX, LLC (XPHL)	3.19	0.00	0.84	1.51	0.83	0.00	0.0000	-2,051.31	-24.9800	993.67	19.9900	-356.32	-17.9300

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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.xlsx

January 2021

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
5.51	0.08	4.14	79.81	15.95

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)
CBOE BZX Options Exchange (BATO)	61.65	0.00	1.54	60.10	0.00	0.00	0.0000	-169,372.70	-57.5300	54,220.05	19.7900	-9.35	-19.0800
NASDAQ Options Market LLC (NDOE)	14.12	0.00	0.61	13.50	0.00	0.00	0.0000	-117,790.62	-51.0300	26,823.23	24.5200	1.60	13.3300
NYSE Arca, Inc. (PCOE)	10.19	0.01	0.12	3.96	6.09	-207.58	-0.6200	-25,049.23	-55.4100	45,556.21	33.7700	3,175.35	2.5700
Nasdaq ISE, LLC (ISOE)	3.22	0.01	0.10	0.14	2.95	11,551.26	6.0500	-25,619.52	-39.6500	4,286.23	8.6900	53,161.65	31.6400
CBOE Options Exchange (XCBO)	2.49	0.02	0.22	0.36	1.87	-3,597.75	-4.2000	-32,368.77	-33.3900	-42,316.27	-36.7200	-4,591.97	-6.3200
NYSE American LLC (AMEX)	1.76	0.00	0.14	0.09	1.51	-130.19	-0.9000	571.99	1.1300	-171.03	-0.7000	-266.32	-0.5900
Nasdaq PHLX, LLC (PHLX)	1.42	0.00	0.12	0.09	1.19	-43.15	-0.2400	-6,552.18	-11.3500	-919.35	-3.8900	-450.10	-0.8100
NASDAQ BX Options (XBOX)	1.16	0.00	0.34	0.09	0.72	540.90	24.1100	13,428.95	27.0600	14.25	0.0600	3,037.80	61.0100
CBOE EDGO Exchange (EDGO)	1.06	0.00	0.14	0.10	0.81	938.50	7.7000	-422.44	-0.8800	-691.08	-3.6000	4,304.69	47.6600
MIAX Securities Exchange, LLC (MIAX)	0.94	0.00	0.06	0.08	0.78	-24.02	-0.1800	-870.99	-3.1100	-722.16	-3.6400	-112.03	-0.8700

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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.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_202101.xlsx

CBOE EDGO Exchange (EDGO):

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.

EDGO 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/edgo/

Information reflecting the EDGO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202101.xlsx

MIAX Securities Exchange, LLC (MIAX):

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.

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

Information reflecting the MIAX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202101.xlsx

February 2021

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	2.96	26.95	42.73	27.34

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)	26.95	1.77	2.71	14.22	8.23	-55.80	-2.1100	-3,514.00	-24.8700	572.74	13.0000	-88.49	-4.0300
The Nasdaq Stock Market LLC. (XNAS)	25.16	1.17	7.02	9.57	7.39	-75.99	-5.5100	-4,407.48	-29.2700	692.76	26.2800	-243.77	-10.5000
NASDAQ OMX BX. (BOSE)	9.77	0.00	4.88	2.76	2.12	0.00	0.0000	132.15	9.3600	-1,175.96	-29.9600	-122.53	-21.7900
Investors Exchange LLC (IEXG)	7.51	0.00	3.42	2.43	1.65	0.00	0.0000	-251.26	-5.4800	-207.89	-2.9600	-24.90	-3.7900
CBOE EDGA Exchange (EDGA)	6.48	0.00	1.82	2.84	1.81	0.00	0.0000	336.31	17.8200	-948.19	-25.9900	-140.70	-17.9500
CBOE BZX Exchange (BATS)	5.05	0.00	2.49	1.58	0.96	0.00	0.0000	-6,311.37	-29.7200	123.86	25.8200	85.16	4.3600
CBOE EDGX Exchange (EDGX)	4.94	0.00	1.50	2.22	1.21	0.00	0.0000	-2,963.44	-26.5400	450.65	15.9200	129.04	7.5900
CBOE BYX Exchange (BATY)	4.49	0.00	0.40	2.69	1.39	0.00	0.0000	87.65	11.5800	-396.22	-19.8900	-73.62	-15.9400
NYSE Arca, Inc. (ARCA)	4.36	0.00	1.38	1.91	1.07	0.00	0.0000	-1,966.65	-30.0000	729.15	28.7300	58.96	8.9500
Nasdaq PHLX, LLC (XPHL)	3.73	0.00	1.06	1.64	1.02	0.00	0.0000	-1,128.80	-25.0000	239.01	19.9400	-22.56	-6.5000

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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.xlsx

February 2021

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	3.37	27.19	47.58	21.85

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)	25.17	1.33	7.86	11.66	4.31	-237.54	-5.9400	-15,877.25	-25.1400	5,019.99	19.2700	-1,997.66	-19.4700
New York Stock Exchange LLC. (NYSE)	19.95	1.28	2.55	12.51	3.60	-157.42	-2.3400	-6,775.89	-21.5400	3,035.72	13.3400	-507.96	-8.2000
NYSE Arca, Inc. (ARCA)	14.22	0.65	2.31	6.87	4.37	-897.07	-15.0000	-7,536.25	-28.6700	3,429.41	26.4100	-295.76	-4.0800
NASDAQ OMX BX. (BOSE)	8.07	0.00	3.33	2.76	1.96	0.00	0.0000	75.18	1.1600	-4,854.62	-29.8400	-317.64	-12.6100
CBOE EDGX Exchange (EDGX)	6.43	0.00	3.01	1.98	1.43	0.00	0.0000	-9,739.31	-26.6500	2,352.10	15.0800	-1,117.65	-18.6900
CBOE EDGA Exchange (EDGA)	6.04	0.00	1.63	2.89	1.50	0.00	0.0000	1,048.40	11.0700	-5,539.27	-25.4600	-495.09	-11.3600
CBOE BZX Exchange (BATS)	5.67	0.04	2.65	1.64	1.33	-24.40	-5.0000	-18,496.67	-29.5700	3,718.73	24.8900	-2,111.72	-26.5000
Investors Exchange LLC (IEXG)	4.97	0.00	1.88	2.03	1.05	0.00	0.0000	-606.86	-6.0400	-411.98	-3.0500	-59.40	-4.3000
CBOE BYX Exchange (BATY)	3.82	0.00	0.41	2.46	0.95	0.00	0.0000	766.29	14.1800	-3,754.79	-19.9200	-177.78	-9.9400
Nasdaq PHLX, LLC (XPHL)	3.61	0.00	1.13	1.62	0.85	0.00	0.0000	-3,504.16	-23.8000	3,062.58	19.9700	-548.85	-18.1700

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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.xlsx

February 2021

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
6.12	0.08	5.26	79.45	15.19

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)	61.09	0.00	1.84	59.24	0.00	0.00	0.0000	-237,191.45	-60.1300	103,380.75	23.0000	-21.55	-11.6500
NASDAQ Options Market LLC (NDOE)	14.41	0.00	0.81	13.60	0.00	0.00	0.0000	-165,045.42	-52.3500	59,482.31	31.5400	5.19	15.7300
NYSE Arca, Inc. (PCOE)	10.11	0.01	0.17	4.57	5.34	804.60	2.0700	-36,025.34	-59.7100	80,681.42	36.7200	18,844.97	13.3000
Nasdaq ISE, LLC (ISOE)	3.54	0.01	0.14	0.17	3.20	13,708.45	20.6600	-49,474.81	-38.9500	8,764.72	12.3000	54,889.24	23.9600
CBOE Options Exchange (XCBO)	2.87	0.02	0.30	0.42	2.12	-8,642.09	-16.8900	-47,738.55	-31.3100	-63,161.45	-32.7300	-11,237.99	-11.9400
NYSE American LLC (AMEX)	1.57	0.00	0.18	0.09	1.27	-327.75	-2.0500	294.16	0.4100	291.59	0.8000	-1,001.51	-1.6900
Nasdaq PHLX, LLC (PHLX)	1.43	0.00	0.18	0.11	1.13	-216.81	-1.2000	-11,245.74	-12.8300	-838.24	-2.1100	-1,810.03	-1.7900
CBOE EDGO Exchange (EDGO)	1.03	0.00	0.16	0.09	0.77	1,668.05	46.2900	-267.30	-0.2800	-883.09	-3.1100	6,058.03	45.0400
NASDAQ BX Options (XBOX)	1.02	0.00	0.32	0.09	0.59	3,123.20	68.2500	21,513.60	24.8300	-86.75	-0.2300	7,508.18	55.1300
MIAX Securities Exchange, LLC (MIAX)	0.89	0.00	0.06	0.08	0.74	-87.94	-1.8500	-1,003.94	-3.2800	-649.61	-2.2200	-761.69	-3.1800

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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.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_202102.xlsx

CBOE EDGO Exchange (EDGO):

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.

EDGO 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/edgo/

Information reflecting the EDGO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202102.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_202102.xlsx

MIAX Securities Exchange, LLC (MIAX):

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.

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

Information reflecting the MIAX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202102.xlsx

March 2021

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
0.15	2.13	18.13	46.80	32.93

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)	27.72	0.84	4.38	12.37	10.11	-33.82	-2.4800	-2,903.99	-29.3700	890.65	24.5400	2.42	0.1400
New York Stock Exchange LLC. (NYSE)	25.83	1.26	1.82	13.93	8.79	-35.11	-1.2900	-3,079.14	-24.7000	121.84	8.3900	46.94	1.8800
NASDAQ OMX BX. (BOSE)	8.92	0.00	3.55	3.11	2.25	0.00	0.0000	59.04	6.2300	-748.51	-29.9800	-233.80	-28.0000
Investors Exchange LLC (IEXG)	6.79	0.00	2.28	2.59	1.90	0.00	0.0000	-293.56	-8.3400	-69.82	-3.0300	-44.18	-3.4100
CBOE EDGA Exchange (EDGA)	6.16	0.00	1.13	2.89	2.13	0.00	0.0000	176.40	10.2300	-621.19	-25.9800	-92.03	-19.8700
CBOE BYX Exchange (BATY)	5.30	0.00	0.32	3.16	1.81	0.00	0.0000	73.64	13.4800	-321.83	-19.9300	-148.00	-18.9500
CBOE EDGX Exchange (EDGX)	4.76	0.00	0.97	2.33	1.45	0.00	0.0000	-2,006.21	-27.9000	227.69	12.9300	280.57	11.2200
CBOE BZX Exchange (BATS)	4.60	0.00	1.78	1.61	1.20	0.00	0.0000	-4,795.82	-29.6800	402.76	23.3100	-1.69	-0.2200
NYSE Arca, Inc. (ARCA)	4.40	0.00	0.99	2.04	1.36	0.00	0.0000	-1,347.03	-30.0000	116.18	24.7400	-21.21	-8.8500
Nasdaq PHLX, LLC (XPHL)	3.77	0.00	0.69	1.78	1.29	0.00	0.0000	-997.61	-25.0000	360.07	19.9700	115.12	14.5800

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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.xlsx

March 2021

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
0.16	2.04	20.36	53.46	24.12

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)
New York Stock Exchange LLC. (NYSE)	23.48	1.05	2.48	15.23	4.71	-59.93	-1.2900	-6,273.42	-21.0900	2,413.57	12.5100	-206.43	-7.3300
The Nasdaq Stock Market LLC. (XNAS)	22.80	0.53	5.23	12.77	4.26	-97.32	-2.6700	-9,296.60	-27.0200	4,044.68	20.6600	-1,317.68	-26.5400
NYSE Arca, Inc. (ARCA)	16.17	0.36	1.66	8.87	5.26	-365.80	-15.0000	-4,223.52	-21.6100	3,505.37	27.4500	-700.49	-15.9800
NASDAQ OMX BX. (BOSE)	7.47	0.00	2.73	2.87	1.85	0.00	0.0000	-391.28	-6.9200	-5,708.78	-29.9900	-65.79	-7.3500
CBOE EDGA Exchange (EDGA)	5.75	0.00	1.25	2.90	1.59	0.00	0.0000	502.19	10.0500	-2,655.28	-25.4200	-62.85	-4.4100
CBOE EDGX Exchange (EDGX)	5.25	0.00	1.91	1.97	1.35	0.00	0.0000	-4,712.18	-27.4900	2,033.19	14.6000	-494.88	-13.8300
CBOE BZX Exchange (BATS)	4.99	0.03	2.09	1.62	1.24	-22.82	-5.0000	-12,973.11	-29.5200	1,237.93	17.2200	-1,391.18	-28.2100
Investors Exchange LLC (IEXG)	4.81	0.00	1.52	2.15	1.13	0.00	0.0000	-411.71	-6.0700	-490.28	-3.0200	-75.73	-4.2300
CBOE BYX Exchange (BATY)	4.09	0.00	0.30	2.57	1.21	0.00	0.0000	373.15	14.1400	-4,082.22	-19.9100	-146.43	-10.0700
Nasdaq PHLX, LLC (XPHL)	3.28	0.00	0.87	1.54	0.87	0.00	0.0000	-2,736.03	-25.0000	1,095.69	19.9900	-304.14	-17.3300

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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.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_202103.xlsx

March 2021

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
4.48	0.08	5.22	83.33	11.35

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)
CBOE BZX Options Exchange (BATO)	64.39	0.00	1.92	62.46	0.00	0.00	0.0000	-171,754.50	-58.5300	78,723.10	24.0400	59.15	10.0100
NASDAQ	13.51	0.00	0.72	12.78	0.00	0.00	0.0000	-129,856.94	-51.2200	34,261.81	28.3700	-32.88	-3.1700

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 Market LLC (NDOE)													
NYSE Arca, Inc. (PCOE)	10.66	0.01	0.15	6.13	4.36	3,743.20	15.0900	-25,727.87	-59.7600	49,770.85	33.9100	500.38	0.3500
Nasdaq ISE, LLC (ISOE)	4.04	0.01	0.15	0.15	3.71	12,730.40	22.7800	-38,646.80	-39.2100	5,008.61	10.2200	56,373.93	30.8000
CBOE Options Exchange (XCBO)	1.76	0.02	0.31	0.45	0.95	-8,057.32	-21.3200	-31,124.67	-24.4400	-47,011.09	-36.3500	-10,383.97	-11.7700
NYSE American LLC (AMEX)	1.33	0.00	0.18	0.09	1.04	-32.64	-0.2500	1,041.26	1.6300	26.64	0.1000	-397.51	-0.7200
Nasdaq PHLX, LLC (PHLX)	0.88	0.00	0.20	0.12	0.54	-79.50	-0.2900	-9,199.47	-11.2600	-893.21	-3.0200	-630.05	-0.8700
NASDAQ BX Options (XBOX)	0.80	0.00	0.52	0.08	0.19	1,308.30	47.9000	18,535.45	24.7000	-214.40	-0.7600	7,469.30	52.6000
CBOE EDGO Exchange (EDGO)	0.54	0.00	0.22	0.09	0.22	655.50	24.0000	-27.54	-0.0300	-711.85	-3.4200	4,741.35	41.8700
MIAX PEARL LLC (MPRL)	0.54	0.00	0.29	0.24	0.00	0.00	0.0000	-56,885.30	-51.1100	5,208.79	13.9900	-21.00	-14.3800

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_202103.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_202103.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_202103.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_202103.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_202103.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 "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.

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_202103.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 "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.

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_202103.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_202103.xlsx

CBOE EDGO Exchange (EDGO):

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.

EDGO 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/edgo/

Information reflecting the EDGO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202103.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_202103.xlsx