

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

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3rd Quarter, 2022

July 2022

## 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 |
|--|---|---|---|--|
| 0.02                                   | 1.58                                      | 17.99   | 42.44   | 37.96                                    |

### Venues

| Venue - Non-directed Order Flow     | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit Orders (%) | Other Orders (%) | Net Payment Paid/Received for Market Orders(USD) | Net Payment Paid/Received for Market Orders(cents per hundred shares) | Net Payment Paid/Received for Marketable Limit Orders(USD) | Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Non-Marketable Limit Orders(USD) | Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cents per hundred shares) |
|-------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| New York Stock Exchange LLC. (NYSE) | 31.67                   | 2.58              | 6.45                        | 50.43                           | 40.52            | -27.10   | -2.5000   | -605.44  | -22.5100  | -106.77  | -3.7500   | -52.14  | -1.7900  |
| The Nasdaq Stock Market LLC. (XNAS) | 27.46                   | 2.55              | 16.71                       | 43.42                           | 37.30            | -43.22   | -4.8200   | -1,268.43  | -27.0200  | -326.03  | -9.3500   | -78.44  | -3.1900  |
| NASDAQ OMX BX. (BOSE)               | 8.55                    | 0.00              | 58.29                       | 19.58                           | 22.12            | 0.00   | 0.0000  | 9.44   | 2.3800  | -85.78   | -29.9600  | -71.58  | -21.6100   |
| Investors Exchange LLC (IEXG)       | 6.48                    | 0.00              | 20.21                       | 27.60                           | 52.18            | 0.00   | 0.0000  | -64.88   | -6.7000   | -27.62   | -4.3200   | -62.77  | -7.1300  |
| CBOE EDGA Exchange (EDGA)           | 4.91                    | 0.00              | 28.30                       | 40.29                           | 31.39            | 0.00   | 0.0000  | 137.39   | 19.2200   | -247.28  | -21.2800  | 0.62  | 0.2000   |
| CBOE BZX Exchange (BATS)            | 4.72                    | 0.00              | 36.77                       | 35.23                           | 27.98            | 0.00   | 0.0000  | -1,781.07  | -29.4000  | -522.65  | -23.3300  | -303.13   | -27.8300   |
| NYSE Arca, Inc. (ARCA)              | 3.14                    | 0.00              | 19.13                       | 47.14                           | 33.72            | 0.00   | 0.0000  | -463.89  | -30.0000  | -134.56  | -12.4200  | 72.40   | 14.5900  |
| CBOE BYX Exchange (BATY)            | 2.98                    | 0.00              | 4.21                        | 56.97                           | 38.80            | 0.00   | 0.0000  | 23.87  | 13.5500   | -164.12  | -15.0200  | -96.44  | -18.9900   |
| CBOE EDGX Exchange (EDGX)           | 2.88                    | 0.00              | 16.95                       | 43.38                           | 39.66            | 0.00   | 0.0000  | -412.83  | -30.0000  | -242.53  | -25.4900  | 7.64  | 1.8100   |
| Nasdaq PHLX, LLC (XPHL)             | 2.33                    | 0.00              | 25.85                       | 36.92                           | 37.21            | 0.00   | 0.0000  | -276.19  | -30.0000  | 164.52   | 33.8600   | -42.49  | -29.0300   |

**Material Aspects:**

New York Stock Exchange LLC. (NYSE):

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

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

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE EDGA Exchange (EDGA):

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

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE BZX Exchange (BATS):

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

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE EDGX Exchange (EDGX):

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

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

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## July 2022

### 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 |
|--|---|---|---|--|
| 0.02                                   | 1.26                                      | 12.83   | 43.56   | 42.33                                    |

#### 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) | 22.17                   | 1.68              | 12.77                       | 45.29                           | 40.24            | -85.54   | -4.8200   | -2,602.83  | -26.9800  | -379.74  | -2.9000   | -2,045.19                                       | -23.2000   |
| NYSE Arca, Inc. (ARCA)              | 18.03                   | 1.96              | 4.21                        | 48.12                           | 45.69            | -117.50  | -15.0000  | -1,176.32  | -25.2100  | -466.57  | -9.2900   | -703.13   | -13.6400   |
| New York Stock Exchange LLC. (NYSE) | 17.21                   | 1.81              | 6.15                        | 53.25                           | 38.77            | -59.34   | -2.5000   | -1,290.69  | -17.2900  | 1,532.72   | 9.4300  | -194.48   | -9.8300  |
| NASDAQ OMX BX. (BOSE)               | 8.07                    | 0.00              | 37.47                       | 21.76                           | 40.76            | 0.00   | 0.0000  | 60.50  | 3.6900  | -591.75  | -29.4700  | -177.07   | -8.7500  |
| CBOE BZX Exchange (BATS)            | 7.09                    | 0.00              | 24.37                       | 34.26                           | 41.35            | 0.00   | 0.0000  | -6,354.77  | -28.7100  | -2,507.15  | -24.6200  | -3,558.31                                       | -24.8900   |
| Investors Exchange LLC (IEXG)       | 6.03                    | 0.00              | 12.46                       | 35.34                           | 52.18            | 0.00   | 0.0000  | -126.79  | -6.6000   | -116.36  | -3.4900   | -129.43   | -4.9400  |
| CBOE EDGA Exchange (EDGA)           | 5.74                    | 0.00              | 20.75                       | 36.82                           | 42.41            | 0.00   | 0.0000  | 358.61   | 16.5700   | -276.35  | -14.3200  | 173.72  | 9.4200   |
| CBOE BYX Exchange (BATY)            | 3.51                    | 0.00              | 2.97                        | 53.68                           | 43.33            | 0.00   | 0.0000  | 102.79   | 14.1400   | -374.17  | -13.6200  | 50.59   | 5.8300   |
| Nasdaq PHLX, LLC (XPHL)             | 3.28                    | 0.00              | 21.15                       | 33.68                           | 45.15            | 0.00   | 0.0000  | -1,161.74  | -29.9900  | 434.24   | 33.6800   | -923.92   | -25.4100   |
| CBOE EDGX Exchange (EDGX)           | 3.26                    | 0.00              | 16.86                       | 44.97                           | 38.16            | 0.00   | 0.0000  | -1,264.36  | -29.8300  | -384.04  | -7.0800   | -555.94   | -28.0000   |

#### 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.

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NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

New York Stock Exchange LLC. (NYSE):

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NASDAQ OMX BX. (BOSE):

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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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE BZX Exchange (BATS):

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

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CBOE EDGA Exchange (EDGA):

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

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CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

CBOE EDGX Exchange (EDGX):

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

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202207.xlsx)

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## July 2022

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### Options

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.77                                   | 0.10                                      | 3.20  | 61.14   | 35.54                                    |

#### 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 C2 Options Exchange, Inc. (C2OX) | 40.54                   | 0.00              | 0.12                        | 99.86                           | 0.00             | 0.00   | 0.0000  | -30,835.24   | -48.4000  | 23,981.54  | 15.7000   | 43.72   | 23.5000  |
| NYSE Arca, Inc. (PCOE)                | 28.01                   | 0.05              | 0.34                        | 31.52                           | 68.07            | -7,741.77  | -21.5300  | -26,478.51   | -55.9100  | 71,679.29  | 33.1300   | -28,700.58                                      | -21.4200   |
| Nasdaq ISE, LLC (ISOE)                | 8.64                    | 0.22              | 1.16                        | 1.90                            | 96.69            | 8,849.45   | 15.4000   | -22,591.85   | -41.5500  | 4,198.38   | 6.4200  | 18,989.44                                       | 16.2100  |
| CBOE BZX Options Exchange (BATO)      | 6.63                    | 0.00              | 10.85                       | 89.12                           | 0.01             | 0.00   | 0.0000  | -133,898.90  | -57.9700  | 38,554.05  | 25.1300   | 94.40   | 33.1200  |
| CBOE Options Exchange (XCBO)          | 5.31                    | 0.61              | 4.99                        | 8.33                            | 86.05            | -13,096.22                                       | -21.5900  | -35,847.98   | -24.5600  | -39,599.39   | -30.2700  | -18,649.03                                      | -20.9600   |
| NASDAQ Options Market LLC (NDOE)      | 4.31                    | 0.00              | 10.39                       | 89.59                           | 0.00             | 0.00   | 0.0000  | -106,901.88  | -45.3300  | 16,394.14  | 22.3100   | -2.32   | -3.1700  |
| NYSE American LLC (AMEX)              | 1.38                    | 0.62              | 6.75                        | 7.12                            | 85.49            | 0.00   | 0.0000  | -1,645.72  | -3.5500   | -1,721.20  | -5.2600   | -4,842.08                                       | -13.6800   |
| MIAX Securities Exchange, LLC (MIAX)  | 1.25                    | 0.64              | 7.05                        | 7.75                            | 84.54            | 22.86  | 0.1800  | -5,652.42  | -15.2500  | -1,461.40  | -5.5600   | -4,403.21                                       | -14.3000   |
| Nasdaq PHLX, LLC (PHLX)               | 0.81                    | 1.08              | 9.37                        | 12.70                           | 76.83            | -4.32  | -0.0300   | -4,640.30  | -9.1400   | -1,827.68  | -5.8100   | -7,119.05                                       | -13.3500   |
| NASDAQ BX Options (XBOX)              | 0.74                    | 1.11              | 43.70                       | 14.28                           | 40.89            | 6,338.00   | 61.0700   | 28,091.80  | 23.9900   | -776.10  | -2.3000   | 8,135.90  | 38.9500  |

#### Material Aspects:

NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.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 "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.

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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

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

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

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

#### CBOE Options Exchange (XCBO):

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

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

Information reflecting the XCBO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

#### NYSE American LLC (AMEX):

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

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

Information reflecting the AMEX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.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\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

#### Nasdaq PHLX, LLC (PHLX):

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

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

Information reflecting the PHLX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

#### NASDAQ BX Options (XBOX):

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

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202207.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202207.xlsx)

## August 2022

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### S&P 500 Stocks

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.02                                   | 1.59                                      | 13.18   | 44.42   | 40.80                                    |

## Venues

| Venue - Non-directed Order Flow     | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit Orders (%) | Other Orders (%) | Net Payment Paid/Received for Market Orders(USD) | Net Payment Paid/Received for Market Orders(cents per hundred shares) | Net Payment Paid/Received for Marketable Limit Orders(USD) | Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Non-Marketable Limit Orders(USD) | Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cents per hundred shares) |
|-------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| New York Stock Exchange LLC. (NYSE) | 31.44                   | 2.76              | 4.65                        | 52.50                           | 40.06            | -44.85   | -2.5100   | -784.03  | -26.2700  | -68.98   | -1.5900   | -97.46  | -9.8200  |
| The Nasdaq Stock Market LLC. (XNAS) | 28.20                   | 2.40              | 11.92                       | 44.83                           | 40.83            | -59.43   | -4.5900   | -1,272.84  | -28.7100  | -346.01  | -7.5200   | -613.95   | -14.5000   |
| NASDAQ OMX BX. (BOSE)               | 7.64                    | 0.00              | 41.46                       | 21.88                           | 36.64            | 0.00   | 0.0000  | -10.10   | -1.8300   | -451.42  | -29.9800  | -37.28  | -11.4800   |
| Investors Exchange LLC (IEXG)       | 6.23                    | 0.00              | 12.65                       | 28.49                           | 58.85            | 0.00   | 0.0000  | -74.12   | -6.6900   | -42.12   | -2.2200   | -76.40  | -5.1500  |
| CBOE EDGA Exchange (EDGA)           | 4.95                    | 0.00              | 21.03                       | 42.42                           | 36.53            | 0.00   | 0.0000  | 139.79   | 18.5100   | -121.59  | -13.9400  | 18.12   | 4.9200   |
| CBOE BZX Exchange (BATS)            | 4.62                    | 0.00              | 33.13                       | 37.44                           | 29.42            | 0.00   | 0.0000  | -1,861.31  | -29.4200  | -854.45  | -26.8000  | -406.85   | -19.3900   |
| NYSE Arca, Inc. (ARCA)              | 3.37                    | 0.00              | 16.53                       | 50.45                           | 33.01            | 0.00   | 0.0000  | -331.54  | -30.0000  | 355.56   | 9.1500  | 64.02   | 10.9700  |
| CBOE EDGX Exchange (EDGX)           | 2.91                    | 0.00              | 15.98                       | 47.79                           | 36.21            | 0.00   | 0.0000  | -468.41  | -30.0000  | -213.93  | -9.0400   | -31.13  | -5.3400  |
| CBOE BYX Exchange (BATY)            | 2.87                    | 0.00              | 3.12                        | 54.24                           | 42.63            | 0.00   | 0.0000  | 23.13  | 14.7100   | -221.15  | -14.9700  | -20.00  | -10.8400   |
| Nasdaq PHLX, LLC (XPHL)             | 2.17                    | 0.00              | 26.58                       | 33.92                           | 39.48            | 0.00   | 0.0000  | -288.42  | -30.0000  | 285.51   | 33.9800   | -10.71  | -1.9800  |

## Material Aspects:

New York Stock Exchange LLC. (NYSE):

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

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

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

#### CBOE EDGA Exchange (EDGA):

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

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

#### CBOE BZX Exchange (BATS):

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

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

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

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

#### CBOE EDGX Exchange (EDGX):

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

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

#### CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

#### Nasdaq PHILX, 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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

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## August 2022

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### Non-S&P 500 Stocks

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.03                                   | 1.53                                      | 10.31   | 45.10   | 43.04                                    |

#### 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) | 20.71                   | 2.27              | 12.19                       | 43.86                           | 41.66            | -137.61  | -4.5900   | -4,238.77  | -23.5300  | -1,041.01  | -3.9100   | -3,512.77                                       | -26.2800   |
| NYSE Arca, Inc. (ARCA)              | 19.95                   | 1.90              | 2.84                        | 49.69                           | 45.55            | -191.26  | -15.0000  | -2,191.85  | -27.2600  | -1,041.70  | -14.0500  | -532.47   | -6.3100  |
| New York Stock Exchange LLC. (NYSE) | 16.66                   | 2.02              | 4.55                        | 54.97                           | 38.45            | -94.10   | -2.5100   | -2,213.41  | -20.7600  | 91.31  | 0.4600  | -113.50   | -3.0300  |
| NASDAQ OMX BX. (BOSE)               | 7.20                    | 0.00              | 32.38                       | 26.89                           | 40.72            | 0.00   | 0.0000  | 69.83  | 3.4100  | -2,212.62  | -29.7600  | -1,106.60                                       | -22.1700   |
| Investors Exchange LLC (IEXG)       | 6.98                    | 0.00              | 9.14                        | 34.35                           | 56.50            | 0.00   | 0.0000  | -212.26  | -6.3200   | -155.72  | -3.8100   | -257.25   | -5.1400  |
| CBOE BZX Exchange (BATS)            | 6.86                    | 0.43              | 20.31                       | 41.95                           | 37.29            | -8.75  | -7.5000   | -8,786.53  | -29.5600  | -5,768.78  | -24.0200  | -2,757.70                                       | -27.7700   |
| CBOE EDGA Exchange (EDGA)           | 5.40                    | 0.00              | 17.26                       | 41.98                           | 40.75            | 0.00   | 0.0000  | 461.29   | 12.9200   | -720.25  | -17.4800  | 125.42  | 4.7700   |
| CBOE BYX Exchange (BATY)            | 3.70                    | 0.00              | 2.99                        | 57.17                           | 39.82            | 0.00   | 0.0000  | 154.61   | 14.5900   | -412.32  | -11.8000  | -15.83  | -1.5900  |
| CBOE EDGX Exchange (EDGX)           | 3.45                    | 0.00              | 10.31                       | 50.71                           | 38.96            | 0.00   | 0.0000  | -2,340.22  | -29.7200  | -1,388.89  | -12.9300  | -49.60  | -1.1400  |
| Nasdaq PHLX, LLC (XPHL)             | 3.06                    | 0.00              | 18.82                       | 36.51                           | 44.65            | 0.00   | 0.0000  | -1,743.22  | -29.9700  | 1,188.09   | 31.3100   | -702.87   | -21.3200   |

#### 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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

New York Stock Exchange LLC. (NYSE):

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

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

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

CBOE BZX Exchange (BATS):

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

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

CBOE EDGA Exchange (EDGA):

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

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

CBOE EDGX Exchange (EDGX):

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

Information reflecting the EDGX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202208.xlsx)

## August 2022

### Options

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.12                                   | 0.13                                      | 6.67  | 45.55   | 47.63                                    |

#### Venues

| Venue - Non-directed Order Flow | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit Orders (%) | Other Orders (%) | Net Payment Paid/Received for Market Orders(USD) | Net Payment Paid/Received for Market Orders(cents per hundred shares) | Net Payment Paid/Received for Marketable Limit Orders(USD) | Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Non-Marketable Limit Orders(USD) | Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cents per hundred shares) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| NYSE Arca, Inc. (PCOE)          | 51.28                   | 0.03              | 0.38                        | 53.25                           | 46.32            | -17,000.93                                       | -29.3500  | -27,825.89   | -53.6700  | 132,834.76   | 35.8100   | -14,803.94                                      | -16.2100   |
| Nasdaq ISE, LLC (ISOE)          | 14.12                   | 0.18              | 1.44                        | 1.96                            | 96.40            | 8,291.15   | 8.4900  | -25,411.13   | -40.9400  | 8,186.02   | 13.2200   | 18,030.85                                       | 11.6000  |

| 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) | 12.73                   | 0.00              | 9.97                        | 90.01                           | 0.01             | 0.00   | 0.0000  | -145,125.45  | -57.1100  | 38,587.75  | 23.9400   | -179.40   | -22.7000   |
| CBOE Options Exchange (XCBO)     | 7.35                    | 0.53              | 6.92                        | 11.44                           | 81.09            | -16,099.03                                       | -20.2400  | -38,720.54   | -24.9900  | -46,702.31   | -30.5400  | -21,038.23                                      | -24.1800   |
| NASDAQ Options Market LLC (NDOE) | 4.41                    | 0.00              | 19.23                       | 80.74                           | 0.02             | 0.00   | 0.0000  | -128,506.31  | -51.1900  | 12,460.89  | 17.0000   | -665.56   | -47.3000   |
| NYSE American LLC (AMEX)         | 2.36                    | 0.47              | 8.94                        | 6.96                            | 83.61            | 0.00   | 0.0000  | -920.96  | -1.7900   | -1,211.93  | -3.7400   | -965.70   | -4.3000  |
| NASDAQ BX Options (XBOX)         | 1.69                    | 0.63              | 69.77                       | 9.55                            | 20.03            | 4,219.30   | 41.9800   | 29,204.80  | 24.8300   | -656.10  | -1.9300   | 7,704.90  | 47.0500  |
| Nasdaq PHLX, LLC (PHLX)          | 1.57                    | 0.76              | 9.18                        | 11.10                           | 78.94            | -3.47  | -0.0100   | -3,275.76  | -7.4300   | -1,302.55  | -3.3300   | -1,172.77                                       | -3.5700  |
| NASDAQ BX Options (NBXO)         | 1.00                    | 0.00              | 68.69                       | 31.23                           | 0.07             | 0.00   | 0.0000  | -82,411.07   | -38.3100  | 10,177.22  | 28.9300   | -408.39   | -43.3500   |
| CBOE EDGO Exchange (EDGO)        | 0.94                    | 1.12              | 36.44                       | 17.57                           | 44.85            | 2,538.63   | 24.5900   | -1,333.56  | -1.2200   | -1,239.96  | -4.5900   | 4,576.10  | 35.3000  |

#### Material Aspects:

NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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 "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.

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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.xlsx)

CBOE BZX Options Exchange (BATO):

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

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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/](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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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](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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.xlsx)

NASDAQ BX Options (XBOX):

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

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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-equity-7>

Information reflecting the PHLX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.xlsx)

NASDAQ BX Options (NBXO):

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

Information reflecting the NBXO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.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/](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\\_202208.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202208.xlsx)

## September 2022

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### S&P 500 Stocks

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.02                                   | 0.98                                      | 10.31   | 58.94   | 29.74                                    |

#### 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) | 27.59                   | 1.76              | 3.81                        | 63.09                           | 31.32            | -8.69  | -1.5200   | -591.57  | -26.5700  | 222.51   | 6.0100  | 204.60  | 14.2900  |
| The Nasdaq Stock Market LLC. (XNAS) | 25.00                   | 1.87              | 9.43                        | 55.04                           | 33.63            | -13.23   | -2.4600   | -1,139.74  | -27.0700  | -147.26  | -3.8700   | -154.29   | -6.1400  |
| NASDAQ OMX PSX (PSX)                | 7.42                    | 0.00              | 0.00                        | 94.01                           | 5.98             | 0.00   | 0.0000  | 0.00   | 0.0000  | -25.57   | -23.9900  | 0.34  | 34.0000  |
| CBOE BZX Exchange (BATS)            | 7.24                    | 0.00              | 16.52                       | 71.04                           | 12.43            | 0.00   | 0.0000  | -1,932.13  | -29.4200  | -543.10  | -14.1500  | -253.46   | -21.6300   |
| NASDAQ OMX BX. (BOSE)               | 5.93                    | 0.00              | 50.17                       | 25.81                           | 24.00            | 0.00   | 0.0000  | 11.55  | 2.5500  | -150.55  | -27.1800  | -36.70  | -15.5000   |
| Investors Exchange LLC (IEXG)       | 4.73                    | 0.00              | 13.93                       | 29.93                           | 56.13            | 0.00   | 0.0000  | -88.79   | -6.9300   | -24.91   | -2.1000   | -41.96  | -5.5300  |
| NYSE Arca, Inc. (ARCA)              | 4.47                    | 0.00              | 8.30                        | 74.55                           | 17.14            | 0.00   | 0.0000  | -338.25  | -30.0000  | 3.69   | 0.2000  | 404.45  | 24.1000  |
| CBOE EDGA Exchange (EDGA)           | 3.82                    | 0.00              | 22.31                       | 42.23                           | 35.44            | 0.00   | 0.0000  | 122.03   | 18.7900   | -212.74  | -21.2800  | -105.27   | -15.4700   |
| Members Exchange (MEMX)             | 3.14                    | 0.00              | 0.00                        | 99.75                           | 0.24             | 0.00   | 0.0000  | 0.00   | 0.0000  | -109.88  | -30.0000  | -1.59   | -30.0000   |
| CBOE BYX Exchange (BATY)            | 2.50                    | 0.00              | 2.41                        | 54.33                           | 43.24            | 0.00   | 0.0000  | 20.38  | 15.0000   | -183.15  | -17.0700  | -16.79  | -13.3100   |

#### Material Aspects:

New York Stock Exchange LLC. (NYSE):

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

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

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

NASDAQ OMX PSX (PSX):

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

Information reflecting PSX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE BZX Exchange (BATS):

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

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE EDGA Exchange (EDGA):

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

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

Members Exchange (MEMX):

An investment entity affiliate of GSCO has a minority, non-controlling ownership interest in MEMX. MEMX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://info.memxtrading.com/fee-schedule/>

Information reflecting the MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

## September 2022

### 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 |
|--|---|---|---|--|
| 0.06                                   | 0.49                                      | 4.05  | 68.36   | 27.08                                    |

#### 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) | 16.90                   | 1.01              | 1.92                        | 80.55                           | 16.50            | -50.62   | -1.5200   | -777.17  | -24.5400  | 466.13   | 3.2200  | -202.40   | -8.6400  |

| 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) | 15.90                   | 0.64              | 5.76                        | 70.63                           | 22.95            | -51.89   | -2.4600   | -1,859.14  | -27.2500  | -1,740.07  | -9.4600   | -2,132.37                                       | -15.9600   |
| NASDAQ OMX PSX (PSX)                | 12.70                   | 0.00              | 0.00                        | 97.84                           | 2.15             | 0.00   | 0.0000  | 0.00   | 0.0000  | -149.00  | -25.5400  | -1.12   | -19.0900   |
| NYSE Arca, Inc. (ARCA)              | 11.98                   | 1.29              | 1.82                        | 66.92                           | 29.94            | -249.71  | -15.0000  | -907.62  | -28.8100  | -1,085.20  | -15.9400  | -663.58   | -11.3400   |
| CBOE BZX Exchange (BATS)            | 10.18                   | 0.09              | 5.29                        | 81.73                           | 12.87            | -14.28   | -7.5000   | -4,295.41  | -29.6000  | -5,426.73  | -25.5300  | -3,450.62                                       | -27.3200   |
| Members Exchange (MEMX)             | 6.50                    | 0.00              | 0.00                        | 98.59                           | 1.40             | 0.00   | 0.0000  | 0.00   | 0.0000  | -611.25  | -29.9100  | -11.10  | -29.4600   |
| NASDAQ OMX BX. (BOSE)               | 4.01                    | 0.00              | 23.71                       | 27.38                           | 48.90            | 0.00   | 0.0000  | 39.38  | 3.1600  | -545.31  | -26.7800  | -844.93   | -21.4100   |
| CBOE EDGA Exchange (EDGA)           | 3.72                    | 0.00              | 9.97                        | 29.98                           | 60.04            | 0.00   | 0.0000  | 336.91   | 17.5900   | -626.80  | -17.2300  | 12.03   | 0.5500   |
| Investors Exchange LLC (IEXG)       | 2.93                    | 0.00              | 7.24                        | 35.80                           | 56.94            | 0.00   | 0.0000  | -89.72   | -6.6000   | -147.64  | -2.1500   | -134.92   | -5.3500  |
| CBOE BYX Exchange (BATY)            | 2.78                    | 0.00              | 1.17                        | 35.32                           | 63.50            | 0.00   | 0.0000  | 92.93  | 14.8500   | -224.64  | -10.5900  | -96.91  | -6.6600  |

#### Material Aspects:

New York Stock Exchange LLC. (NYSE):

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

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

Information reflecting the NYSE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

NASDAQ OMX PSX (PSX):

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

Information reflecting PSX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE BZX Exchange (BATS):

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

Information reflecting the BATS's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

Members Exchange (MEMX):

An investment entity affiliate of GSCO has a minority, non-controlling ownership interest in MEMX. MEMX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
<https://info.memxtrading.com/fee-schedule/>

Information reflecting the MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE EDGA Exchange (EDGA):

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

Information reflecting the EDGA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

CBOE BYX Exchange (BATY):

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

Information reflecting the BATY's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202209.xlsx)

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## September 2022

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### Options

#### Summary

| Non-Directed Orders as % of All Orders | Market Orders as % of Non-Directed Orders | Marketable Limit Orders as % of Non-Directed Orders | Non-Marketable Limit Orders as % of Non-Directed Orders | Other Orders as % of Non-Directed Orders |
|--|---|---|---|--|
| 0.12                                   | 0.10                                      | 5.17  | 34.03   | 60.68                                    |

#### Venues

| Venue - Non-directed Order Flow  | Non-Directed Orders (%) | Market Orders (%) | Marketable Limit Orders (%) | Non-Marketable Limit Orders (%) | Other Orders (%) | Net Payment Paid/Received for Market Orders(USD) | Net Payment Paid/Received for Market Orders(cents per hundred shares) | Net Payment Paid/Received for Marketable Limit Orders(USD) | Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Non-Marketable Limit Orders(USD) | Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cents per hundred shares) |
|----------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| NYSE Arca, Inc. (PCOE)           | 70.27                   | 0.02              | 0.19                        | 30.00                           | 69.77            | -37,078.55                                       | -40.3000  | -22,088.47   | -55.3800  | 113,245.75   | 35.6100   | -21,731.34                                      | -21.3800   |
| CBOE BZX Options Exchange (BATO) | 9.22                    | 0.00              | 10.73                       | 89.26                           | 0.00             | 0.00   | 0.0000  | -119,963.75  | -56.5500  | 37,273.15  | 25.0600   | -152.80   | -18.2700   |
| Nasdaq ISE, LLC (ISOE)           | 5.68                    | 0.33              | 2.71                        | 3.21                            | 93.73            | 9,342.15   | 12.3500   | -23,039.83   | -40.2200  | 6,250.41   | 12.7300   | 17,739.67                                       | 20.2400  |



| 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 Options Exchange (XCBO)     | 4.37                    | 0.79              | 10.37                       | 11.03                           | 77.79            | -20,126.22                                       | -31.0400  | -25,160.80   | -21.1300  | -36,093.88   | -24.6900  | -17,814.87                                      | -31.0400   |
| NASDAQ Options Market LLC (NDOE) | 3.35                    | 0.00              | 19.02                       | 80.97                           | 0.00             | 0.00   | 0.0000  | -104,971.47  | -51.7800  | 14,149.96  | 23.2700   | 21.82   | 6.1800   |
| NYSE American LLC (AMEX)         | 1.16                    | 0.66              | 15.52                       | 9.74                            | 74.06            | -44.00   | -0.3800   | -591.73  | -1.3800   | -765.22  | -2.8800   | -1,314.65                                       | -6.2600  |
| NASDAQ BX Options (XBOX)         | 1.14                    | 0.64              | 58.42                       | 9.76                            | 31.16            | 3,816.40   | 49.1300   | 25,973.50  | 23.2100   | -667.10  | -2.1500   | 6,892.80  | 52.6400  |
| Nasdaq PHLX, LLC (PHLX)          | 1.03                    | 0.81              | 11.07                       | 10.87                           | 77.23            | -4.41  | -0.0100   | -2,732.65  | -6.9200   | -922.25  | -3.2900   | -1,095.48                                       | -3.7900  |
| NASDAQ BX Options (NBXO)         | 1.00                    | 0.00              | 79.19                       | 20.80                           | 0.00             | 0.00   | 0.0000  | -87,917.66   | -37.3600  | 7,146.21   | 24.3400   | 88.84   | 27.4100  |
| CBOE EDGO Exchange (EDGO)        | 0.80                    | 0.91              | 30.48                       | 13.86                           | 54.73            | 4,308.18   | 35.5500   | -718.52  | -0.7200   | -903.59  | -3.7200   | 5,174.24  | 39.7300  |

#### Material Aspects:

NYSE Arca, Inc. (PCOE):

PCOE has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)

CBOE BZX Options Exchange (BATO):

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

Information reflecting the BATO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.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 "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.

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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.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/xco/](https://markets.cboe.com/us/options/membership/fee_schedule/xco/)

Information reflecting the XCBO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)

NYSE American LLC (AMEX):

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

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

Information reflecting the AMEX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)

NASDAQ BX Options (XBOX):

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

Information reflecting the XBOX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)

Nasdaq PHLX, LLC (PHLX):

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

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

Information reflecting the PHLX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)

NASDAQ BX Options (NBXO):

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

Information reflecting the NBXO's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.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/](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\\_202209.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202209.xlsx)