

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

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3rd Quarter, 2024

July 2024

## 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
0.00	16.98	0.58	66.03	16.39

### 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)	57.08	27.23	1.03	61.86	9.87	-141.81	-4.0000	-10.92	-2.6900	397.48	3.7500	-1.34	-0.0900
The Nasdaq Stock Market LLC. (XNAS)	25.72	4.90	0.00	70.53	24.55	-166.12	-5.7100	0.00	0.0000	3,252.69	12.4700	695.29	18.4400
NASDAQ OMX PSX (XPSX)	4.33	0.00	0.00	85.34	14.65	0.00	0.0000	0.00	0.0000	-92.98	-30.0000	-4.67	-30.0000
CBOE BZX Exchange (BATS)	4.15	0.00	0.00	63.15	36.84	0.00	0.0000	0.00	0.0000	-2,331.33	-29.8300	-62.07	-9.0300
NYSE Arca, Inc. (ARCA)	2.34	0.00	0.00	76.13	23.86	0.00	0.0000	0.00	0.0000	-620.15	-29.4400	44.03	10.9700
Members Exchange (MEMX)	1.28	0.00	0.00	61.85	38.14	0.00	0.0000	0.00	0.0000	-267.02	-28.0800	31.75	8.7700
CBOE EDGX Exchange (EDGX)	1.14	0.00	0.00	85.14	14.85	0.00	0.0000	0.00	0.0000	-812.74	-30.0000	-60.47	-30.0000
CBOE BYX Exchange (BATY)	0.43	0.00	0.00	71.01	28.98	0.00	0.0000	0.00	0.0000	6.40	1.9200	-0.15	-1.0500
CBOE EDGA Exchange (EDGA)	0.42	0.00	0.00	72.53	27.46	0.00	0.0000	0.00	0.0000	57.98	13.5100	2.42	11.5200
NYSE Chicago (XCHI)	0.42	0.00	0.00	87.39	12.60	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

**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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.xlsx)

NASDAQ OMX PSX (XPSX):

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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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/equities-trading-resources/us-equities-fee-schedule/>

Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.xlsx)

NYSE Chicago (XCHI):

XCHI has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.nyse.com/publicdocs/nyse/NYSE\\_Chicago\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/NYSE_Chicago_Fee_Schedule.pdf)

## July 2024

### 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
0.01	2.01	0.32	47.34	50.31

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	23.31	1.78	0.30	71.50	26.41	-582.92	-15.0000	-26.02	-6.1300	-1,274.93	-11.7200	-212.30	-11.2100
New York Stock Exchange LLC. (NYSE)	15.61	5.82	1.42	79.36	13.38	-176.21	-4.0400	-19.37	-1.7100	1,671.51	5.4600	-40.94	-3.0300
Sigma X2 ATS (SGMT)	11.56	0.00	0.00	2.88	97.11	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market LLC. (XNAS)	10.73	4.23	0.14	71.31	24.30	-119.49	-6.0300	-1.90	-10.0000	525.35	1.4200	-330.69	-6.3000
CBOE BZX Exchange (BATS)	6.99	0.08	0.00	54.66	45.24	-0.19	-7.5000	0.00	0.0000	-6,463.06	-28.0800	-1,242.18	-27.8700
CBOE BYX Exchange (BATY)	4.43	0.00	0.00	6.84	93.15	0.00	0.0000	0.00	0.0000	12.53	1.2000	0.76	0.7800
CBOE EDGA Exchange (EDGA)	4.11	0.00	0.00	8.22	91.77	0.00	0.0000	0.00	0.0000	130.17	12.3700	9.16	10.5300
VIRTU Americas LLC (KCGM)	3.90	0.00	0.00	5.63	94.36	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX. (BOSE)	3.89	0.00	0.00	6.96	93.03	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
LEVEL ATS (EBXL)	3.47	0.07	0.00	3.12	96.80	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO. Accordingly, GSCO receives revenue for executions in SGMT.

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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202407.xlsx)

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## July 2024

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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
2.40	0.05	5.43	90.74	3.75

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (PCOE)	41.38	0.01	0.76	97.05	2.16	-12,984.84	-25.1000	-51,974.04	-53.3800	211,174.27	33.6700	-40,726.69	-25.0100
Members Exchange (MXOP)	32.72	0.00	1.66	98.28	0.05	0.00	0.0000	-168,834.94	-49.4200	151,824.53	44.0400	92.52	6.1800
CBOE C2 Options Exchange, Inc. (C2OX)	8.95	0.00	1.70	98.28	0.00	0.00	0.0000	-49,061.47	-48.5600	-32,663.55	-20.4000	12.63	8.6500
MIAX PEARL LLC (MPRL)	8.37	0.00	3.16	96.83	0.00	0.00	0.0000	-87,262.05	-52.3100	-32,659.32	-29.0000	-175.05	-32.7100
CBOE Options Exchange (XCBO)	1.79	1.13	31.60	39.25	27.99	-17,743.08	-24.8900	-45,793.11	-21.1800	-49,605.25	-21.5800	-18,064.90	-23.8000
NASDAQ Options Market LLC (NDOE)	1.05	0.00	93.74	6.22	0.02	0.00	0.0000	-165,472.57	-53.0600	-3,940.60	-11.9100	-70.80	-29.1300
NASDAQ BX Options (XBOX)	0.98	0.66	57.09	2.73	39.50	11,439.00	46.1300	41,097.55	11.5900	233.10	0.5200	24,073.70	45.3300
CBOE BZX Options Exchange (BATO)	0.77	0.00	64.07	35.80	0.12	0.00	0.0000	-66,399.55	-64.4700	20,009.75	12.9200	-81.05	-10.6200
Nasdaq ISE, LLC (ISOE)	0.75	0.67	19.11	10.66	69.54	3,592.35	11.4000	-44,032.57	-43.8300	11,981.21	12.5500	10,451.35	16.7200
NYSE American LLC (AMEX)	0.68	0.48	29.67	3.79	66.04	-5.00	-0.0200	-9,186.75	-8.6300	-5,660.33	-14.3700	-3,741.72	-6.5200

#### 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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.xlsx)

Members Exchange (MXOP):

An investment entity affiliate of GS&Co. has a minority, non-controlling ownership interest in MXOP. We also participate in a MXOP program whereby the affiliate can earn warrants, which provide the right, but not the obligation, to purchase additional equity in MXOP contingent upon GS&Co. achieving certain monthly executed contract thresholds through the end of April 2026.

MXOP has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://info.memxtrading.com/us-options-trading-resources/us-options-fee-schedule/>

Information reflecting the MXOP's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.xlsx)

CBOE C2 Options Exchange, Inc. (C2OX):

C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.cboe.com/us/options/membership/fee\\_schedule/ctwo/](https://www.cboe.com/us/options/membership/fee_schedule/ctwo/)

Information reflecting the C2OX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.xlsx)

MIAX PEARL LLC (MPRL):

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

<https://www.miaxglobal.com/markets/us-options/pearl-options/fees>

Information reflecting the MPRLs tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.xlsx)

Nasdaq ISE, LLC (ISOE):

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

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

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.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\\_202407.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202407.xlsx)

## August 2024

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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
0.01	8.78	0.52	64.98	25.70

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
New York Stock Exchange LLC. (NYSE)	50.98	14.27	1.02	71.20	13.49	-63.91	-3.9800	-8.47	-3.9700	84.07	0.7700	79.19	4.7500
The Nasdaq Stock Market LLC. (XNAS)	31.66	3.89	0.00	61.51	34.59	-98.30	-5.3800	0.00	0.0000	2,268.33	13.3000	250.72	8.6800
CBOE BZX Exchange (BATS)	4.45	0.00	0.00	43.21	56.78	0.00	0.0000	0.00	0.0000	-1,244.52	-29.7100	-167.72	-24.5000
NYSE Arca, Inc. (ARCA)	2.70	0.00	0.00	57.03	42.96	0.00	0.0000	0.00	0.0000	-541.42	-29.0000	-6.53	-2.1600
NASDAQ OMX PSX (XPSX)	2.53	0.00	0.00	89.35	10.64	0.00	0.0000	0.00	0.0000	-65.25	-30.0000	-12.84	-30.0000
Members Exchange (MEMX)	1.78	0.00	0.00	49.65	50.34	0.00	0.0000	0.00	0.0000	-148.08	-27.5200	5.50	4.1200
CBOE EDGX Exchange (EDGX)	0.90	0.00	0.00	66.19	33.80	0.00	0.0000	0.00	0.0000	-526.53	-30.0000	-65.00	-30.0000
Sigma X2 ATS (SGMT)	0.75	0.00	0.00	2.95	97.04	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA Exchange (EDGA)	0.55	0.00	0.00	51.06	48.93	0.00	0.0000	0.00	0.0000	67.28	14.3300	6.26	14.5500
CBOE BYX Exchange (BATY)	0.53	0.00	0.00	49.50	50.49	0.00	0.0000	0.00	0.0000	6.54	1.8400	0.93	1.6200

### 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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.xlsx)

NASDAQ OMX PSX (XPSX):

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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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/equities-trading-resources/us-equities-fee-schedule/>

Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO. Accordingly, GSCO receives revenue for executions in SGMT.

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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.xlsx)

## August 2024

### 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
0.01	1.94	0.32	47.38	50.34

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	22.74	1.72	0.45	71.80	26.00	-294.10	-15.0000	-18.07	-5.5900	-1,887.59	-14.1000	-302.49	-13.6800



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)	17.80	4.89	1.19	79.02	14.88	-111.69	-4.1000	-15.25	-2.1100	1,727.90	4.8300	38.25	1.2200
The Nasdaq Stock Market LLC. (XNAS)	11.96	3.05	0.00	69.62	27.31	-186.90	-5.3800	0.00	0.0000	-20.87	-0.0400	-424.62	-7.6400
Sigma X2 ATS (SGMT)	10.56	0.00	0.00	3.01	96.98	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BZX Exchange (BATS)	6.30	0.40	0.00	47.99	51.60	-17.22	-7.5000	0.00	0.0000	-6,864.33	-24.6100	-1,442.81	-23.3000
CBOE BYX Exchange (BATY)	4.30	0.00	0.00	6.21	93.78	0.00	0.0000	0.00	0.0000	6.00	0.6900	-0.04	-0.0400
CBOE EDGA Exchange (EDGA)	4.07	0.00	0.00	7.34	92.65	0.00	0.0000	0.00	0.0000	137.13	14.0500	11.56	11.3500
VIRTU Americas LLC (KCGM)	3.93	0.00	0.00	5.67	94.32	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX. (BOSE)	3.85	0.00	0.00	6.21	93.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
LEVEL ATS (EBXL)	3.58	0.00	0.00	3.73	96.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO. Accordingly, GSCO receives revenue for executions in SGMT.

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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202408.xlsx)

## August 2024

### 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
1.99	0.05	3.58	90.26	6.10

#### 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)	44.38	0.01	0.42	96.01	3.53	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Members Exchange (MXOP)	30.13	0.00	1.39	98.56	0.04	0.00	0.0000	-150,815.74	-47.6800	122,126.14	38.7200	228.56	18.7600
CBOE C2 Options Exchange, Inc. (C2OX)	8.07	0.00	0.77	99.22	0.00	0.00	0.0000	-35,669.73	-49.8300	-39,893.49	-25.4300	-41.48	-26.7600
MIAX PEARL LLC (MPRL)	7.55	0.00	2.05	97.94	0.00	0.00	0.0000	-15,197.20	-11.7000	-13,917.90	-12.7000	-13.05	-4.0100
CBOE Options Exchange (XCBO)	2.17	1.26	16.01	42.92	39.79	-32,931.85	-16.0100	-15,431.86	-7.2100	-5,759.51	-2.4200	-5,323.47	-5.2200
Nasdaq ISE, LLC (ISOE)	1.18	0.26	8.08	7.24	84.40	-70.50	-0.3400	-34,961.58	-46.4900	-1,920.01	-2.4600	-466.85	-0.6500

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)	0.91	0.00	39.21	60.72	0.06	0.00	0.0000	-51,069.00	-59.7800	4,886.20	3.5100	-103.05	-16.3800
NASDAQ BX Options (XBOX)	0.90	0.57	51.67	5.53	42.21	9,509.30	34.5700	-7,820.35	-2.1800	-211.95	-0.7400	26,601.80	30.6000
MIAX Securities Exchange, LLC (MIAX)	0.82	0.29	13.48	5.97	80.24	0.00	0.0000	0.00	0.0000	-1,055.15	-5.8300	-0.65	0.0000
Nasdaq PHLX, LLC (PHLX)	0.80	0.31	6.85	7.34	85.48	-641.32	-2.5000	-2,890.81	-5.5700	-445.29	-1.4100	-223.95	-0.6900

#### 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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.xlsx)

Members Exchange (MXOP):

An investment entity affiliate of GS&Co. has a minority, non-controlling ownership interest in MXOP. We also participate in a MXOP program whereby the affiliate can earn warrants, which provide the right, but not the obligation, to purchase additional equity in MXOP contingent upon GS&Co. achieving certain monthly executed contract thresholds through the end of April 2026.

MXOP has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://info.memxtrading.com/us-options-trading-resources/us-options-fee-schedule/>

Information reflecting the MXOP's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.xlsx)

CBOE C2 Options Exchange, Inc. (C2OX):

C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: [https://www.cboe.com/us/options/membership/fee\\_schedule/ctwo/](https://www.cboe.com/us/options/membership/fee_schedule/ctwo/)

Information reflecting the C2OX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.xlsx)

MIAX PEARL LLC (MPRL):

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

Information reflecting the MPRL's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.xlsx)

Nasdaq ISE, LLC (ISOE):

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

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

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.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.miaxglobal.com/markets/us-equities/pearl-equities/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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.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\\_202408.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202408.xlsx)

## September 2024

### 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
0.01	25.85	0.52	54.38	19.22

#### 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)	62.27	39.83	0.83	50.42	8.89	-62.62	-2.2800	-19.42	-2.2300	537.73	5.0600	39.05	4.1600
The Nasdaq Stock Market LLC. (XNAS)	27.05	3.19	0.00	64.05	32.74	-50.77	-6.4600	0.00	0.0000	1,026.65	8.3700	603.29	18.3700
CBOE BZX Exchange (BATS)	2.93	0.00	0.00	50.87	49.12	0.00	0.0000	0.00	0.0000	-1,148.53	-29.8600	-84.68	-18.6100

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	1.84	0.00	0.00	52.48	47.51	0.00	0.0000	0.00	0.0000	-484.19	-29.6900	-5.97	-2.9100
Members Exchange (MEMX)	1.57	0.00	0.00	45.12	54.87	0.00	0.0000	0.00	0.0000	-105.78	-28.7100	16.61	12.0700
NASDAQ OMX PSX (XPSX)	0.66	0.00	0.00	84.00	15.99	0.00	0.0000	0.00	0.0000	-48.94	-30.0000	-2.41	-30.0000
CBOE EDGX Exchange (EDGX)	0.51	0.00	0.00	61.36	38.63	0.00	0.0000	0.00	0.0000	-525.02	-30.0000	-26.02	-30.0000
Sigma X2 ATS (SGMT)	0.41	0.00	0.00	1.98	98.01	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Investors Exchange LLC (IEXG)	0.39	0.00	0.00	56.70	43.29	0.00	0.0000	0.00	0.0000	-127.20	-13.5100	-11.74	-11.4400
CBOE BYX Exchange (BATY)	0.31	0.00	0.00	55.87	44.12	0.00	0.0000	0.00	0.0000	3.80	1.9200	0.24	1.0500

#### 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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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/equities-trading-resources/us-equities-fee-schedule/>

Information reflecting MEMX's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.xlsx)

NASDAQ OMX PSX (XPSX):

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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO. Accordingly, GSCO receives revenue for executions in SGMT.

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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.xlsx)

## September 2024

### 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
0.01	2.28	0.38	52.94	44.37

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc. (ARCA)	27.01	1.30	0.33	73.45	24.89	-234.14	-15.0000	-36.88	-5.8300	141.60	0.8100	-12.54	-0.6000
New York Stock Exchange LLC. (NYSE)	22.81	5.78	1.29	77.69	15.22	-42.36	-2.3000	-135.81	-1.3700	1,871.28	5.7800	475.74	7.6000
The Nasdaq Stock Market LLC. (XNAS)	13.19	2.76	0.00	68.17	29.06	-74.86	-6.4600	0.00	0.0000	3,557.59	8.8600	-269.57	-8.1700
Sigma X2 ATS (SGMT)	7.92	0.00	0.00	2.18	97.81	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BZX Exchange (BATS)	5.39	0.00	0.00	51.99	48.00	0.00	0.0000	0.00	0.0000	-3,922.28	-27.5800	-1,015.41	-26.8200
CBOE BYX Exchange (BATY)	3.44	0.00	0.00	4.76	95.23	0.00	0.0000	0.00	0.0000	6.71	1.0300	-0.71	-2.0500
CBOE EDGA	3.28	0.00	0.00	5.35	94.64	0.00	0.0000	0.00	0.0000	70.05	8.2500	7.27	12.6900

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)
Exchange (EDGA)													
VIRTU Americas LLC (KCGM)	3.24	0.00	0.00	3.56	96.43	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX BX. (BOSE)	3.17	0.00	0.00	5.07	94.92	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
LEVEL ATS (EBXL)	2.96	0.00	0.00	3.26	96.73	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

NYSE Arca, Inc. (ARCA):

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

Information reflecting ARCA's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_equities\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO. Accordingly, GSCO receives revenue for executions in SGMT.

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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202409.xlsx)

## September 2024

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
4.53	0.08	2.69	88.03	9.18

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Members Exchange (MXOP)	38.47	0.00	1.09	98.85	0.04	0.00	0.0000	-131,559.62	-45.1100	108,363.50	39.6600	-695.57	-24.1600
NYSE Arca, Inc. (PCOE)	34.77	0.02	0.22	90.56	9.18	-14,399.81	-17.9300	-43,722.06	-50.9700	116,900.92	25.7500	-11,755.83	-11.1600
CBOE C2 Options Exchange, Inc. (C2OX)	7.23	0.00	0.39	99.59	0.00	0.00	0.0000	-30,603.72	-44.4200	-23,233.04	-19.5600	-584.33	-41.9100
MIAX PEARL LLC (MPRL)	7.03	0.00	2.69	97.29	0.00	0.00	0.0000	-80,683.55	-55.5500	-18,821.17	-21.4700	-519.05	-45.1700
CBOE Options Exchange (XCBO)	3.72	0.86	6.03	56.69	36.41	-34,516.61	-32.6400	-21,469.88	-12.9400	-43,947.01	-16.8300	-21,336.01	-22.1300
CBOE BZX Options Exchange (BATO)	2.11	0.00	13.83	86.12	0.04	0.00	0.0000	-45,745.00	-61.2100	6,810.95	5.6600	55.65	11.4200
Nasdaq ISE, LLC (ISOE)	1.86	0.38	2.86	3.99	92.75	3,837.40	12.7300	-22,329.13	-43.1600	11,504.71	15.3300	4,895.42	12.2000
NASDAQ BX Options (XBOX)	1.14	0.95	50.38	2.39	46.26	13,112.20	34.6200	46,046.15	14.0300	485.00	1.8800	14,975.10	33.2900
NYSE American LLC (AMEX)	0.89	0.56	10.21	2.97	86.23	-9.00	-0.0300	-2,147.50	-2.2900	-5,218.54	-17.4500	-3,098.50	-8.5100
Nasdaq PHLX, LLC (PHLX)	0.78	0.73	5.74	6.28	87.22	-34.91	-0.1100	-3,007.21	-6.3400	-638.73	-1.9100	-1,112.59	-3.3700

#### Material Aspects:

Members Exchange (MXOP):



An investment entity affiliate of GS&Co. has a minority, non-controlling ownership interest in MXOP. We also participate in a MXOP program whereby the affiliate can earn warrants, which provide the right, but not the obligation, to purchase additional equity in MXOP contingent upon GS&Co. achieving certain monthly executed contract thresholds through the end of April 2026.

MXOP has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: <https://info.memxtrading.com/us-options-trading-resources/us-options-fee-schedule/>

Information reflecting the MXOP's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.xlsx)

NYSE Arca, Inc. (PCOE):

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

[https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE\\_Arca\\_Options\\_Fee\\_Schedule.pdf](https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf)

Information reflecting the PCOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.xlsx)

CBOE C2 Options Exchange, Inc. (C2OX):

C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:

[https://www.cboe.com/us/options/membership/fee\\_schedule/ctwo/](https://www.cboe.com/us/options/membership/fee_schedule/ctwo/)

Information reflecting the C2OX's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.xlsx)

MIAX PEARL LLC (MPRL):

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

<https://www.miaxglobal.com/markets/us-options/pearl-options/fees>

Information reflecting the MPRL's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.xlsx)

Nasdaq ISE, LLC (ISOE):

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

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

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

Information reflecting the ISOE's tiered pricing/payment schedule, as applicable to GSCO, can be found at: [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.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\\_202409.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202409.xlsx)