

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

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4th Quarter, 2023

October 2023

## S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.01	1.76	2.47	61.30	34.45

### 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)	40.32	2.45	0.95	73.58	23.00	-29.32	-2.6100	-177.33	-25.0300	175.90	2.5100	-26.10	-1.9400
The Nasdaq Stock Market LLC. (XNAS)	32.65	2.22	1.63	57.79	38.34	-25.58	-4.0900	-228.40	-30.0000	3,627.57	17.6700	-484.81	-10.0800
NASDAQ OMX PSX (XPSX)	6.14	0.00	0.00	80.96	19.03	0.00	0.0000	0.00	0.0000	-77.45	-30.0000	-2.80	-30.0000
Investors Exchange LLC (IEXG)	5.28	0.00	2.14	10.51	87.34	0.00	0.0000	-26.81	-9.8000	-48.78	-7.7900	-113.90	-8.3600
UBS ATS (UBSA)	3.63	0.00	0.00	0.00	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BZX Exchange (BATS)	2.89	0.00	9.77	70.78	19.43	0.00	0.0000	-524.85	-29.5100	-834.43	-18.9500	-149.30	-29.5000
NYSE Arca, Inc. (ARCA)	1.92	0.00	4.86	72.51	22.62	0.00	0.0000	-57.95	-30.0000	-432.47	-25.1000	-35.25	-26.4500
NASDAQ OMX BX. (BOSE)	1.87	0.00	36.90	26.21	36.87	0.00	0.0000	2.61	2.6600	-12.90	-30.0000	-21.46	-14.7800
MEMBERS EXCHANGE (MEMX)	1.04	0.00	0.00	80.23	19.76	0.00	0.0000	0.00	0.0000	-308.25	-29.2700	-20.22	-29.1400
CBOE EDGA Exchange (EDGA)	1.02	0.00	18.07	50.73	31.18	0.00	0.0000	55.65	20.0200	13.22	2.1900	10.25	8.6200

### 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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.xlsx)

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## October 2023

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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
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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	1.64	1.79	53.71	42.84

## 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)	32.69	1.16	0.31	69.18	29.34	-464.42	-15.0000	-89.16	-24.1000	-825.44	-9.4500	-637.07	-14.3800
New York Stock Exchange LLC. (NYSE)	18.56	2.95	0.79	74.59	21.65	-31.08	-2.6100	-68.11	-13.9100	1,509.95	6.5000	227.89	2.3800
The Nasdaq Stock Market LLC. (XNAS)	17.52	1.71	2.03	45.79	50.45	-28.18	-4.0900	-245.90	-29.9700	-905.44	-5.2300	-3,523.52	-20.9300
CBOE BZX Exchange (BATS)	4.81	0.43	4.38	58.52	36.65	-2.11	-7.5000	-566.05	-29.4100	-3,556.48	-28.5300	-1,625.64	-22.8000
Investors Exchange LLC (IEXG)	4.72	0.00	2.93	10.99	86.06	0.00	0.0000	-20.16	-9.7200	-77.89	-6.3200	-282.56	-8.4800
UBS ATS (UBSA)	3.30	0.00	0.00	0.41	99.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	2.94	0.00	0.00	82.96	17.03	0.00	0.0000	0.00	0.0000	-143.10	-30.0000	-44.71	-30.0000
NASDAQ OMX BX. (BOSE)	2.61	0.00	18.93	16.78	64.27	0.00	0.0000	10.63	3.6100	-141.82	-30.0000	5.73	3.2300
Sigma X2 ATS (SGMT)	2.43	0.00	0.00	5.60	94.39	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE EDGA Exchange (EDGA)	2.04	0.00	8.28	24.33	67.37	0.00	0.0000	74.98	19.6300	16.84	1.5900	69.94	12.4500

## 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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.xlsx)

New York Stock Exchange LLC. (NYSE):

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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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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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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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO.

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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202310.xlsx)

## October 2023

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
1.28	0.03	3.19	91.20	5.55

#### 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)	45.43	0.01	0.23	94.11	5.64	-28,613.39	-32.6800	-52,442.28	-57.0200	125,804.36	26.7100	-37,174.57	-24.8100
NASDAQ Options Market LLC (NDOE)	28.98	0.00	1.41	98.57	0.00	0.00	0.0000	-124,813.56	-53.9600	45,965.15	29.3400	-236.00	-32.2800
CBOE C2 Options Exchange, Inc. (C2OX)	12.45	0.00	0.31	99.67	0.00	0.00	0.0000	-59,716.09	-48.1000	29,472.03	24.5400	-151.72	-35.6900
CBOE BZX	3.98	0.00	6.74	93.23	0.01	0.00	0.0000	-88,761.74	-68.0700	42,720.71	23.1100	-437.65	-52.4100

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Options Exchange (BATO)													
CBOE Options Exchange (XCBO)	1.82	0.95	13.68	55.41	29.94	-44,766.77	-27.5000	1,179.50	0.5700	-33,347.42	-14.5400	-21,904.41	-13.1500
MIAX PEARL LLC (MPRL)	1.51	0.00	35.62	64.32	0.05	0.00	0.0000	-266,059.47	-53.4300	5,582.07	10.7400	-263.69	-37.5600
NASDAQ BX Options (XBOX)	1.45	0.33	42.36	4.96	52.32	9,122.80	22.1200	65,789.45	16.6700	-332.60	-0.9700	23,168.54	50.0400
NASDAQ BX Options (NBXO)	1.35	0.00	32.54	67.38	0.06	0.00	0.0000	-121,107.38	-45.0400	6,397.19	17.7700	-440.06	-36.7600
Nasdaq ISE, LLC (ISOE)	1.08	0.24	9.65	8.88	81.22	3,570.95	12.6100	-51,440.10	-41.0500	9,755.93	12.0400	8,123.89	11.0400
Nasdaq GEMX, LLC (ISEG)	0.56	0.00	28.77	71.12	0.09	0.00	0.0000	-84,098.08	-44.3400	3,591.62	9.6300	-528.95	-37.5600

#### 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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.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\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.xlsx)

Nasdaq GEMX, LLC (ISEG):

ISEG has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website:  
[http://nasdaqgemx.cchwallstreet.com/contents/gemx/nasdaq-gemx-rules/chp\\_1\\_1/chp\\_1\\_1\\_2/](http://nasdaqgemx.cchwallstreet.com/contents/gemx/nasdaq-gemx-rules/chp_1_1/chp_1_1_2/)

Information reflecting the ISEG's tiered pricing/payment schedule, as applicable to GSCO, can be found at : [https://www.goldmansachs.com/compliance-rule606/docs/us\\_options\\_rate\\_card\\_202310.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202310.xlsx)

## November 2023

### S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.01	1.95	0.67	58.37	38.99

#### 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)	38.85	1.99	1.72	72.58	23.69	-26.42	-3.2400	-14.52	-3.2400	229.40	2.3200	290.51	6.2700
The Nasdaq Stock Market LLC. (XNAS)	34.76	2.65	0.00	53.86	43.48	-48.37	-5.2100	0.00	0.0000	8,593.97	21.4100	-804.06	-11.0200
NASDAQ OMX PSX (XPSX)	6.82	0.00	0.00	82.39	17.60	0.00	0.0000	0.00	0.0000	-59.93	-30.0000	-4.43	-30.0000
Investors Exchange LLC (IEXG)	6.63	0.00	0.00	2.68	97.31	0.00	0.0000	0.00	0.0000	-93.08	-9.5700	-142.10	-8.3800
UBS ATS (UBSA)	5.50	0.00	0.00	0.01	99.98	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CBOE BZX Exchange (BATS)	2.97	0.00	0.00	79.51	20.48	0.00	0.0000	0.00	0.0000	-1,741.33	-29.8500	-277.13	-30.0000
NYSE Arca, Inc. (ARCA)	1.35	0.00	0.00	81.07	18.92	0.00	0.0000	0.00	0.0000	-673.25	-29.6200	-81.27	-29.4800
MEMBERS EXCHANGE (MEMX)	0.95	0.00	0.00	77.54	22.45	0.00	0.0000	0.00	0.0000	-409.18	-29.2800	-46.29	-29.3400
CBOE EDGX Exchange (EDGX)	0.53	0.00	0.00	80.20	19.79	0.00	0.0000	0.00	0.0000	-810.63	-30.0000	-82.60	-30.0000
CBOE EDGA Exchange (EDGA)	0.27	0.00	0.00	73.70	26.29	0.00	0.0000	0.00	0.0000	95.24	21.5700	14.37	21.7600

### 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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.xlsx)

## November 2023

### Non-S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.02	1.43	0.26	53.39	44.90

#### 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)	29.36	1.25	0.44	71.80	26.49	-201.94	-15.0000	-11.67	-6.0000	-1,708.96	-16.5100	-672.76	-17.5600
The Nasdaq Stock Market LLC. (XNAS)	19.16	2.15	0.00	47.06	50.78	-63.40	-5.2100	0.00	0.0000	239.18	0.7400	-4,636.04	-21.8300
New York Stock Exchange LLC. (NYSE)	18.31	2.23	0.71	77.10	19.94	-70.04	-3.2600	65.51	4.5700	1,333.93	4.4600	406.55	7.1800
Investors Exchange LLC (IEXG)	4.85	0.00	0.00	4.32	95.67	0.00	0.0000	0.00	0.0000	-131.98	-8.5200	-415.57	-8.9400
CBOE BZX Exchange (BATS)	4.79	0.66	0.00	69.31	30.02	-40.97	-7.5000	0.00	0.0000	-5,153.95	-26.9700	-1,580.88	-29.3800
UBS ATS (UBSA)	4.08	0.00	0.00	1.31	98.68	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Sigma X2 ATS (SGMT)	3.47	0.00	0.00	5.62	94.37	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	3.43	0.00	0.00	83.91	16.08	0.00	0.0000	0.00	0.0000	-181.23	-29.1000	-62.39	-30.0000
CBOE EDGA Exchange (EDGA)	1.84	0.00	0.00	15.27	84.72	0.00	0.0000	0.00	0.0000	163.53	16.8300	36.52	20.7200
CBOE BYX Exchange (BATY)	1.80	0.00	0.00	12.95	87.04	0.00	0.0000	0.00	0.0000	-6.04	-0.6700	2.85	1.1600



## 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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO.

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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202311.xlsx)

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## November 2023

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.43	0.20	9.24	75.55	15.00

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
NYSE Arca, Inc . (PCOE)	42.60	0.05	0.50	87.77	11.66	-13,874.03	-28.5700	-35,820.70	-51.5800	47,192.03	15.0500	-42,483.11	-24.5900
NASDAQ Options Market LLC (NDOE)	19.78	0.00	6.44	93.51	0.03	0.00	0.0000	-128,609.35	-53.9900	22,280.33	18.5000	-867.81	-40.9500
CBOE C2 Options Exchange, Inc. (C2OX)	8.62	0.00	1.28	98.68	0.02	0.00	0.0000	-60,897.52	-49.9700	16,580.71	18.7000	-414.74	-44.6900
CBOE BZX Options Exchange (BATO)	8.60	0.00	10.00	89.91	0.08	0.00	0.0000	-69,597.55	-66.9700	28,985.16	19.2200	-304.75	-16.6800
CBOE Options Exchange (XCBO)	5.69	1.71	11.57	18.49	68.21	-50,242.06	-48.2000	-33,289.27	-18.9500	-27,869.74	-15.2800	-32,378.49	-20.7400
NASDAQ BX Options (XBOX)	3.31	0.72	58.07	6.04	35.15	5,692.76	26.4100	44,386.90	14.5800	-193.65	-0.4200	24,018.20	33.8800
MIAX PEARL LLC (MPRL)	2.18	0.00	81.92	17.83	0.24	0.00	0.0000	-236,549.69	-51.2100	2,394.03	5.6200	-1,148.47	-42.2000
Nasdaq ISE, LLC (ISOE)	2.04	0.51	13.47	13.91	72.09	2,134.75	9.8500	-49,991.34	-44.8200	8,511.22	13.2900	9,814.09	7.9400
NYSE American LLC (AMEX)	1.41	0.98	18.52	13.60	66.88	-62.94	-0.2100	-2,725.89	-3.9600	-6,749.91	-21.3900	-1,609.07	-4.0400
CBOE EDGO Exchange (EDGO)	1.31	0.93	20.34	14.77	63.94	1,104.18	18.6500	-4,277.79	-3.4400	-1,124.13	-4.2800	4,690.29	21.7700

## 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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.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\\_202311.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202311.xlsx)

## December 2023

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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	2.71	0.30	60.32	36.66

#### 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)	41.11	3.23	0.74	74.00	22.02	-20.67	-2.2600	-10.98	-1.9500	-264.70	-3.0300	-142.18	-8.5300
The Nasdaq Stock Market LLC. (XNAS)	33.68	3.56	0.00	54.36	42.06	-43.64	-5.2600	0.00	0.0000	5,951.70	17.8300	-241.38	-2.1700
NASDAQ OMX PSX (XPSX)	6.23	0.00	0.00	83.63	16.36	0.00	0.0000	0.00	0.0000	-76.00	-30.0000	-4.40	-30.0000
Investors Exchange LLC (IEXG)	6.01	0.00	0.00	3.56	96.43	0.00	0.0000	0.00	0.0000	-69.68	-9.3300	-205.22	-9.3100
UBS ATS (UBSA)	4.90	0.00	0.00	0.00	99.99	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CBOE BZX Exchange (BATS)	3.16	0.00	0.00	77.49	22.50	0.00	0.0000	0.00	0.0000	-2,204.66	-29.7400	-312.04	-29.6900
NYSE Arca, Inc. (ARCA)	1.56	0.00	0.00	77.96	22.03	0.00	0.0000	0.00	0.0000	-788.38	-29.6100	-101.88	-28.9300
MEMBERS EXCHANGE (MEMX)	1.14	0.00	0.00	79.13	20.86	0.00	0.0000	0.00	0.0000	-379.20	-28.6800	-48.65	-26.7800
CBOE EDGX Exchange (EDGX)	0.52	0.00	0.00	82.47	17.52	0.00	0.0000	0.00	0.0000	-732.25	-30.0000	-89.05	-30.0000
CBOE EDGA Exchange (EDGA)	0.30	0.00	0.00	82.42	17.57	0.00	0.0000	0.00	0.0000	70.62	16.8900	12.75	16.8600

#### 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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.xlsx)

## December 2023

### Non-S&P 500 Stocks

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.02	2.09	0.25	51.80	45.84

#### 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)	27.31	2.36	0.21	71.64	25.77	-285.44	-15.0000	-12.84	-6.0000	-2,259.10	-15.4100	-859.87	-13.2700
The Nasdaq Stock Market LLC. (XNAS)	20.44	3.84	0.00	41.80	54.35	-146.25	-5.2600	0.00	0.0000	-412.95	-1.0100	-4,880.64	-15.6500
New York Stock Exchange LLC. (NYSE)	17.55	2.69	1.07	77.59	18.63	-78.84	-2.2700	60.72	2.2500	988.19	2.0700	336.60	5.2700
CBOE BZX Exchange (BATS)	5.91	0.14	0.00	69.02	30.83	-0.01	-7.5000	0.00	0.0000	-6,470.94	-29.1900	-2,756.22	-29.1700
Investors Exchange LLC (IEXG)	5.81	0.00	0.00	4.79	95.20	0.00	0.0000	0.00	0.0000	-154.73	-8.1900	-435.62	-9.1000
UBS ATS	4.89	0.00	0.00	1.09	98.90	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
(UBSA)													
Sigma X2 ATS (SGMT)	3.66	0.00	0.00	5.45	94.54	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
NASDAQ OMX PSX (XPSX)	2.79	0.00	0.00	84.14	15.85	0.00	0.0000	0.00	0.0000	-348.28	-29.9800	-56.88	-30.0000
CBOE EDGA Exchange (EDGA)	1.66	0.00	0.00	20.89	79.10	0.00	0.0000	0.00	0.0000	206.92	16.4900	45.95	17.1400
CBOE BYX Exchange (BATY)	1.57	0.00	0.00	18.28	81.71	0.00	0.0000	0.00	0.0000	7.09	0.7100	3.66	1.5500

### 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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.xlsx)

Sigma X2 ATS (SGMT):

SGMT is wholly owned by GSCO.

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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_equities_rate_card_202312.xlsx)

## December 2023

### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
0.64	0.13	10.87	72.13	16.86

#### 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)	55.64	0.02	0.58	87.20	12.19	-11,112.63	-29.7100	-31,910.72	-53.4500	86,578.65	22.4700	-26,533.71	-21.7000
NASDAQ Options Market LLC (NDOE)	10.98	0.00	6.83	93.12	0.03	0.00	0.0000	-103,675.07	-53.6700	22,000.60	22.6600	-155.50	-26.8500
CBOE Options Exchange (XCBO)	5.94	1.08	17.65	27.71	53.53	-47,961.47	-36.4900	-51,673.73	-21.1100	-38,146.29	-17.5700	-24,584.89	-24.0300
NASDAQ BX Options (XBOX)	5.34	0.29	82.22	3.29	14.17	5,178.10	19.8700	62,870.60	17.3400	253.85	0.9000	20,036.00	47.4700
CBOE C2 Options Exchange, Inc. (C2OX)	4.33	0.00	2.53	97.44	0.02	0.00	0.0000	-49,132.47	-46.0200	-4,009.30	-6.0800	-150.10	-34.4200
CBOE BZX Options Exchange (BATO)	3.99	0.00	13.99	85.93	0.07	0.00	0.0000	-78,170.19	-67.7500	18,777.00	12.7000	-172.55	-13.4600
Nasdaq ISE, LLC (ISOE)	3.91	0.22	8.77	6.47	84.53	2,324.89	17.2700	-37,477.09	-42.8800	7,369.40	10.6800	8,254.77	14.5300
MIAX PEARL LLC (MPRL)	3.13	0.00	33.20	66.70	0.09	0.00	0.0000	-203,395.82	-52.6400	780.87	1.4200	-864.64	-41.1700
NYSE American LLC (AMEX)	1.33	0.54	17.78	12.90	68.75	-52.00	-0.0600	-2,621.59	-4.4700	-6,624.23	-17.5500	-429.84	-1.4200
Nasdaq PHLX, LLC (PHLX)	1.30	0.48	10.41	23.64	65.44	-42.41	-0.5300	-5,007.96	-10.7000	-559.12	-1.7000	-429.40	-2.1400

#### 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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.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\\_202312.xlsx](https://www.goldmansachs.com/compliance-rule606/docs/us_options_rate_card_202312.xlsx)