

GOLDMAN SACHS ELECTRONIC TRADING (“GSET”) – REMINDER ON CERTAIN ORDER RESTRICTIONS

As a reminder, GSET currently does not have the ability to accept the following orders:

Non-Regular Way Settlement Transactions – Currently, GSET does not support orders for non-regular way settlement. All orders entered for US securities are settle regular way.

Restrictions on Transactions in Restricted Stock – Orders that would require restriction of sale or which would require broker representation letters in order to clear restricted shares are prohibited.

As previously disclosed, the following restrictions are imposed in order to comply with regulatory obligations:

NYSE Rule 123C(9) – In order to ensure compliance with NYSE Rule 123C(9), which restricts the entry of orders during an extreme market imbalance state unless they meet specific criteria, our systems will reject any order which is entered after the market close and directed to the New York Stock Exchange.

Restrictions on Crossing Orders in Options through GSET Systems – Broker Dealers may not enter the following sequence of options orders into the electronic platforms provided by GSET:

1. Two orders, one of which the broker dealer solicited and the other they represent as agent, in less than one second of one another;
2. An order for a customer of the broker dealer if the entry of such order would cause an order for the broker dealer’s account to cross with such customer order, without either the customer order or the broker dealer’s order being exposed on the exchange for at least one second.