

Primary Business Name: GOLDMAN SACHS & CO. LLC

BD Number: 361

BD - AMENDMENT

~~01/04/2022~~ 04/14/2022

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the *applicant* required to be reported on Schedule B?

☐ Yes ☒ No

Ownership Codes: NA - less than 5% B - 10% but less than 25% D - 50% but less than 75%  
A - 5% but less than 10% C - 25% but less than 50% E - 75% or more

| Full Legal Name                 | DE/FE/I      | Title or Status  | Date Acquired      | Own. Code     | Control Person | PR           | CRD #(or S.S.No., IRS Tax #, Emp. ID) |
|---------------------------------|--------------|--|--------------------|---------------|----------------|--------------|---------------------------------------|
| BROADBERY, MICHAEL MARY         | I            | CHIEF COMPLIANCE OFFICER                                   | 11/2018            | NA            | N              | N            | 6947899                               |
| COLEMAN, DENIS PATRICK III      | I            | MANAGING DIRECTOR, MANAGER                                 | 01/2022            | NA            | Y              | N            | 2782373                               |
| DOYLE, BRIAN RICHARD            | I            | MANAGING DIRECTOR, CFO                                     | 11/2019            | NA            | N              | N            | 6003685                               |
| <del>LEEDER, VALERIE ANNE</del> | <del>I</del> | <del>MANAGING DIRECTOR, PRINCIPAL OPERATIONS OFFICER</del> | <del>11/2021</del> | <del>NA</del> | <del>N</del>   | <del>N</del> | <del>3065273</del>                    |
| HEMPSELL, RICHARD IAN           | I            | MANAGING DIRECTOR, PRINCIPAL OPERATIONS OFFICER            | 02/2022            | NA            | N              | N            | 6001487                               |
| HORAN, ERICKA T                 | I            | MANAGING DIRECTOR, MANAGER                                 | 02/2022            | NA            | Y              | N            | 4902526                               |
| MATTHIAS, THOMAS FAIRBANKS      | I            | CHIEF COMPLIANCE OFFICER - INVESTMENT ADVISERS ACT         | 09/2017            | NA            | N              | N            | 2872690                               |
| <del>MCCASKILL, MARK</del>      | <del>I</del> | <del>MANAGING DIRECTOR, PRINCIPAL OPERATIONS OFFICER</del> | <del>10/2021</del> | <del>NA</del> | <del>N</del>   | <del>N</del> | <del>3272131</del>                    |
| O'CONNELL, JOHN MAURICE         | I            | CHIEF COMPLIANCE OFFICER                                   | 11/2018            | NA            | N              | N            | 1335506                               |
| RUEMMLER, KATHRYN HELEN         | I            | MANAGING DIRECTOR, CLO                                     | 03/2021            | NA            | N              | N            | 7250761                               |
| SOLOMON, DAVID MICHAEL          | I            | MANAGING DIRECTOR, MANAGER                                 | 04/2017            | NA            | Y              | N            | 1616414                               |
| <del>STEIN, LAURENCE</del>      | <del>I</del> | <del>MANAGING DIRECTOR, MANAGER</del>                      | <del>01/2018</del> | <del>NA</del> | <del>Y</del>   | <del>N</del> | <del>5300390</del>                    |
| THE GOLDMAN SACHS GROUP, INC.   | DE           | CLASS A MEMBER   | 04/2017            | E             | Y              | Y            | 13-4019460                            |
| WALDRON, JOHN EDWARD            | I            | MANAGING DIRECTOR, CEO, MANAGER                            | 12/2018            | NA            | Y              | N            | 2569337                               |
| WONDRACK, JON JOSEPH            | I            | MANAGING DIRECTOR, PRINCIPAL OPERATIONS OFFICER            | 03/2022            | NA            | N              | N            | 6001847                               |

