

Primary Business Name: GOLDMAN SACHS & CO. LLC**BD Number: 361****BD - AMENDMENT****07/11/2023****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 |
| 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 | 09/2017 | NA | N | N | 2872690 |
| MCCASKILL, MARK | I | MANAGING DIRECTOR, PRINCIPAL OPERATIONS OFFICER | 06/2022 | NA | N | N | 3272131 |
| 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 |
| 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 |

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