

Additions: Underlined
Deletions: [Bracketed]

Rules of New York Stock Exchange, LLC

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Rule 1 DEFINITIONS

Rule 1.1 Definitions

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Exchange Traded Product and UTP Exchange Traded Product

(l) The term “Exchange Traded Product” means a security that meets the definition of “derivative securities product” in Rule 19b-4(e) under the Securities Exchange Act of 1934 and a “UTP Exchange Traded Product” means [an] one of the following Exchange Traded Products that trades on the Exchange pursuant to unlisted trading privileges[.];

- Equity Linked Notes,
- Investment Company Units,
- Index-Linked Exchangeable Notes,
- Equity Gold Shares,
- Equity Index-Linked Securities,
- Commodity-Linked Securities,
- Currency-Linked Securities,
- Fixed-Income Index-Linked Securities,
- Futures-Linked Securities,
- Multifactor-Index-Linked Securities,
- Trust Certificates,

- Currency and Index Warrants,
- Portfolio Depository Receipts,
- Trust Issued Receipts,
- Commodity-Based Trust Shares,
- Currency Trust Shares,
- Commodity Index Trust Shares,
- Commodity Futures Trust Shares,
- Partnership Units,
- Paired Trust Shares,
- Trust Units,
- Managed Fund Shares,
- Managed Trust Securities, and
- Managed Portfolio Shares.

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Rule 5P SECURITIES TRADED

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Rule 5.1 Unlisted Trading Privileges

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(a) General Provisions and Unlisted Trading Privileges.

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(2) UTP Exchange Traded Product. Any UTP security that is a [“new derivative securities product” as defined in Rule 19b-4(e) under the Exchange Act (a “UTP Exchange Traded Product”) and traded pursuant to Rule 19b-4(e) under the Exchange

Act] UTP Exchange Traded Product, as defined in Rule 1.1, will be subject to the additional following rules:

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