

Additions underlined.  
Deletions [bracketed].

## NYSE Arca Equities Rules

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### Rule 5.3(i)(1). Financial Reports and Related Notices

Companies applying for listing enter into agreements with the Corporation and become subject to its Rules, regulations and policies applicable to listed companies. Pursuant to the listing agreement with the Corporation and the rules of the Securities and Exchange Commission under the Securities Exchange Act of 1934, each listed company is required to submit the following information and is subject to the following requirements:

(i) Reports [and], Notifications and Changes to Indices:

(A) - (O) No change

(P) This paragraph (P) sets forth procedures to be followed in relation to any listed Derivative Securities Product (as defined in Rule 5.2(j)(3), Commentary .01(a)(A)(1)) or listed Structured Product (as defined in Rule 5.1(b)(17)) based on an index or portfolio of securities with respect to which: (1) the value of such index or portfolio is no longer calculated or available and a new index or portfolio is substituted; or (2) such index or portfolio is replaced with a new index or portfolio from the same or a different index provider; or (3) the index or portfolio is significantly modified (including, but not limited to, a significant modification to the index methodology, a change in the index provider or a change in control of the index provider) (each of (1), (2) or (3), a “Material Index or Portfolio Change”).

The issuer of any listed Derivative Securities Product or listed Structured Product must notify the Corporation no fewer than ten business days in advance of the effective date of any change or modification in the index or portfolio associated with such security and, if required by the Corporation, make application for the continued listing of the security as so changed and announce such change via a method acceptable under Rule 5.3(i)(2). Issuers are advised to consult with NYSE Regulation in advance of any Material Index or Portfolio Change which could cause the applicable security to cease to be qualified for continued listing without the approval or immediate effectiveness of a rule filing, in which case the issuer is advised to provide adequate notice to the Corporation to provide sufficient time to obtain approval or immediate effectiveness of such rule filing prior to implementation of the Material Index or Portfolio Change, thereby avoiding any disruption in trading.

If an issuer of a listed Derivative Securities Product or listed Structured Product effectuates a Material Index or Portfolio Change which requires the filing of a proposed rule change pursuant to Section 19(b)(1) and such rule filing has not yet been approved or has not yet taken effect (as applicable), then the Corporation will immediately halt trading in the applicable security until such rule filing is approved or takes effect. In such circumstances, the Corporation will have sole discretion as to whether it chooses to submit a rule filing pursuant to Section 19(b)(1) designed to permit the continued listing of the security. If at any time it becomes clear, in the opinion of the Corporation, that such rule filing will not be approved by the Commission, will not be allowed to take effect, or if the Corporation decides in its sole discretion to withdraw or not file such rule filing, the Corporation will immediately commence delisting procedures with respect to such security.

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