

Additions: Underlined  
Deletions: [Bracketed]

## **Rules of NYSE Arca, Inc.**

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### **Rule 1 DEFINITIONS**

#### **Rule 1.1. Definitions**

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#### **Derivative Securities Product and UTP Derivative Securities Product**

(k) With respect to equities traded on the Exchange, the term “Derivative Securities 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 Derivative Securities Product” means one of the following Derivative Securities Products that trades on the Exchange pursuant to unlisted trading privileges:

- Equity Linked Notes,
- Investment Company Units listed pursuant to NYSE Arca, Inc. Rule 5.2-E(j)(3) and Index Fund Shares listed pursuant to Cboe BZX Exchange, Inc. Rule 14.11(c) or Nasdaq Stock Exchange LLC Rule 5705(b),
- 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[.], and
- Active Proxy Portfolio Shares listed pursuant to NYSE Arca, Inc. Rule 8.601-E, Tracking Fund Shares listed pursuant to Cboe BZX Exchange, Inc. Rule 14.11(m), and Proxy Portfolio Shares listed pursuant to Nasdaq Stock Market LLC Rule 5750.

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