

Additions: Underlined  
Deletions: [Bracketed]

**NYSE Arca Equities Rules**

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**RULE 4 CAPITAL REQUIREMENTS, FINANCIAL REPORTS, MARGINS**

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**Rule 4.3(c). [Trading in Firm's Securities**

An ETP Holder shall not trade in (except on an unsolicited basis) or make recommendations with respect to its own securities or those of its parents or affiliates (other than registered investment companies) and any parents or affiliates of an ETP Holder shall not trade in (except on an unsolicited basis) or make recommendations with respect to its own securities or those of its affiliates, or those of the ETP Holder (other than registered investment companies).] Reserved.

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**CONDUCT RULES**

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Rule 2262. Disclosure of Control Relationship with Issuer

A ETP Holder controlled by, controlling, or under common control with, the issuer of any security, shall, before entering into any contract with or for a customer for the purchase or sale of such security, disclose to such customer the existence of such control, and if such disclosure is not made in writing, it shall be supplemented by the giving or sending of written disclosure at or before the completion of the transaction.

Rule 2269. Disclosure of Participation or Interest in Primary or Secondary Distribution

A ETP Holder that is acting as a broker for a customer or for both such customer and some other person, or an ETP Holder that is acting as a dealer and that receives or has promise of receiving a fee from a customer for advising such customer with respect to securities, shall, at or before the completion of any transaction for or with such customer in any security in the primary or secondary distribution of which such ETP Holder is participating or is

otherwise financially interested, give such customer written notification of the existence of such participation or interest.

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