

Additions underscored

Deletions [bracketed]

### NYSE Arca Rules

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#### **Rule 5.1-E(a). General Provisions and Unlisted Trading Privileges.**

(1) Only such securities as shall have been approved by the Board of Directors for listing or admission to unlisted trading privileges shall be dealt in on the Exchange. Unlisted trading privileges may be extended to any security that is an NMS Stock (as defined in Rule 600 of Regulation NMS under the Act) that is listed on another national securities exchange and any such security shall be subject to all the Exchange trading rules applicable to NMS Stocks, unless otherwise noted. Securities may be listed or admitted to unlisted trading privileges on a "when issued" or "when distributed" basis.

(2) *UTP Derivative Securities*. Any unlisted trading privileges security that is a "new derivative securities product" as defined in Rule 19b-4(e) under the Exchange Act (a "UTP Derivative Security") and traded pursuant to Rule 19b-4(e) under the Exchange Act shall be subject to the additional following rules:

[(i) Form 19b-4(e). The Exchange shall file with the Securities and Exchange Commission a Form 19b-4(e) with respect to each UTP Derivative Security within five business days after commencement of trading.]

(i[i]) Information Circular. The Exchange shall distribute an information circular prior to the commencement of trading in each such UTP Derivative Security that generally includes the same information as is contained in the information circular provided by the listing exchange, including (a) the special risks of trading the new derivative securities product, (b) the Exchange Rules that will apply to the new derivative securities product, including Rule 9.2-E(a)(2), (c) information about the dissemination of value of the underlying assets or indices, and (d) the risk of trading during the Opening session (1:00 a.m. - 6:30 a.m. Pacific Time) and the Late Trading Session (1:00 p.m. - 5:00 p.m. Pacific Time) due to the lack of calculation or dissemination of the intra-day indicative value or a similar value.

(ii[i]) Product Description.

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(iii)(v) Trading Halts. If a temporary interruption occurs in the calculation or wide dissemination of the intraday indicative value (or similar value) or the value of the underlying index or instrument and the listing market halts trading in the product, the Exchange, upon notification by the listing market of such halt due to such temporary interruption, also shall immediately halt trading in that product on the Exchange. If the intraday indicative value (or similar value) or the value of the underlying index or instrument continues not to be calculated or widely available as of the commencement of trading on the Exchange on the next business day, the Exchange shall not commence trading of the product that day. If an interruption in the calculation or wide dissemination of the intraday indicative value (or similar value) or the value of the underlying index or instrument continues, the Exchange may resume trading in the product only if calculation and wide dissemination of the intraday indicative value (or similar value) or the value of the underlying index or instrument resumes or trading in such series resumes in the listing market. The Exchange also shall halt trading in a UTP Derivative Security listed on the Exchange for which a net asset value (and in the case of managed fund shares or actively managed exchange-traded funds, a "disclosed portfolio") is disseminated if the Exchange becomes aware that the net asset value or, if applicable, the disclosed portfolio is not being disseminated to all market participants at the same time. The Exchange shall maintain the trading halt until such time as the Exchange becomes aware that the net asset value and, if applicable, the disclosed portfolio is available to all market participants. Nothing in this rule shall limit the power of the Exchange under the Rules (including without limitation Rules 7.12-E, 7.13-E, 7.18-E, and 7.34-E) or procedures of the Exchange with respect to the Exchange's ability to suspend trading in any securities if such suspension is necessary for the protection of investors or in the public interest.

(iv) [(v)] Market Maker Restrictions. The following restrictions shall apply to each ETP Holder registered as a Market Maker in a UTP Derivative Security that derives its value from one or more currencies, commodities, or derivatives based on one or more currencies or commodities, or is based on a basket or index composed of currencies or commodities (collectively, "Reference Assets"):

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(v)(i) Surveillance. The Exchange shall enter into comprehensive surveillance sharing agreements with markets that trade components of the index or portfolio on which the UTP Derivative Security is based to the same extent as the listing exchange's rules require the listing exchange to enter into comprehensive surveillance sharing agreements with such markets.

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