

Additions underscored
Deletions [bracketed]

RULES OF THE NYSE ARCA EQUITIES, INC.

RULE 2 EQUITY TRADING PERMITS

Rule 2.16. Amendments to ETP Documents

(c) An ETP Holder shall promptly file a Uniform Termination Notice for Securities Industry Registration (“Form U-5”) electronically with the Central Registration Depository (“CRD”), but not later than 30 calendar days after the date of termination of a person associated with that ETP Holder. Any amendment to a Form U-5 shall also be promptly filed electronically with the CRD, but not later than 30 calendar days after learning of the facts or circumstances giving rise to the amendment. All Forms U-5 shall also be provided to the terminated person concurrently with filing.[Each ETP Holder shall electronically file within thirty (30) days of such termination a Uniform Termination Notice for Securities Industry Registration ("Form U-5") with the CRD when a person associated with that ETP Holder terminates their affiliation with an ETP Holder. Any amendments to Form U-5 shall be filed electronically with the CRD within thirty (30) days of the occurrence requiring the amendment.]

Rule 2.21. Employees of ETP Holders Registration

(i) An ETP Holder shall promptly file a Uniform Termination Notice for Securities Industry Registration (“Form U-5”) electronically with the Central Registration Depository (“CRD”), but not later than 30 calendar days after the date of termination of an employee. Any amendment to a Form U-5 shall also be promptly filed electronically with the CRD, but not later than 30 calendar days after learning of the facts or circumstances giving rise to the amendment. All Forms U-5 shall also be provided to the terminated person concurrently with filing.[An ETP Holder is required to file a Form U5 and any amendment thereto within thirty (30) business days of the termination date, when a person's employment by such ETP Holder terminates. For registrations available and maintained electronically through the CRD system, such filings must be submitted to CRD.]
