



Initial Listing Requirements for NYSE Arca

The following documentation and materials are required to obtain authorization and approval of an original listing application to list a new Trust on NYSE Arca:

- (1) Initial Listing Application
- (2) Initial Listing Agreement
- (3) A letter from an officer of the Trust representing adherence to provisions of NYSE Arca Rules (template to be obtained from ETF listing team)
- (4) Certified Board Resolution (or similar documentation) authorizing the filing of the application and the designation of the officer(s)
- (5) Certified Articles of Incorporation (or comparable document)
- (6) Certified copy of Trust's By-Laws, as amended to date
- (7) An executed copy of the Transfer Agent Agreement
- (8) Broadridge Consent Letter allowing NYSE Regulation to obtain shareholder information for continued listing compliance ((template to be obtained from ETF listing team)
- (9) Copy of Form 8-A as filed with the SEC

For further information, please reference the following NYSE Arca Equities Rules found [here](#)

NYSE Listings Contacts:

Maital D. Legum
Director, Exchange Traded Products, Intercontinental Exchange | NYSE
Tel: +1 212 656 4891; maital.legum@nyse.com

Viola M. Aureggi
ETF Product Specialist, Intercontinental Exchange | NYSE
Tel: +1 212 656 4358; viola.aureggi@nyse.com

Ryan P. Lee
ETF Product Specialist, Intercontinental Exchange | NYSE
Tel: +1 212 656 3483; ryan.lee@nyse.com