



## NYSE Arca Dividend Distribution Notification Instructions

NYSE Arca Rule 5.3(i)(1)(i)(H) requires all issuers to provide NYSE Arca with notice of the payment at least ten calendar days prior to record date or notice of the non-payment of dividends.

To meet this requirement, NYSE Arca issuers, or their designated trustees, should provide an anticipation schedule, if available, upon listing or as soon as the schedule is determined.

Submission of the distribution amount, ex-dividend, record and payment date must be transmitted via electronic file transfer protocol (FTP). For ETPs listed on NYSE Arca, all FTP submissions must take place one-day prior to the scheduled ex-dividend date using the referenced issuer identifier available in Table 2 of this document.

Once NYSE Arca receives the file transmission with the distribution information, two things occur:

1. Good-to-Cancel buy side orders are adjusted down by the amount of the distribution.
2. The data is also transmitted to market data vendors such as Thomson Reuters and Bloomberg, to update their data base and displays.

Timely and accurate submission of data using this FTP submission process provides for swift and efficient system-to-system uploads to our matching engine and the market data providers, ultimately providing your market makers and investors with the information they need to trade your products.

### New Account Set Up:

If you do not have an account for <ftp.nyxdata.com>:

1. Please complete sections 1 and 2 of the attached form titled NYSE Euronext FTP/PGP Request.
2. Email the form to [service.desk@nyx.com](mailto:service.desk@nyx.com) and [dividend.submission@nyx.com](mailto:dividend.submission@nyx.com). In the subject line of your email, please state that you require set up for a FTP account for NYSE Arca dividend submission. Please include your contact information.

Upon receipt, the service desk will:

3. Create and email your login information for FTP server name: [upload.nyxdata.com](ftp.nyxdata.com). This email will include your account user ID, password and example login format.
4. Coordinate a test submission of a file with the new issuer identifier (Table 2). Please be sure this is completed prior to a live production submission to avoid any initial configuration problems.

To prepare for the test, please plan to FTP a sample comma separated format (.csv) file. See Table 2 for the specific issuer identifier and the sample comma separated format (.csv) file included in this email saved as `IssuerIdentifier11302009.csv`

Turnaround time is usually within five days.

If you have an upload account for <ftp.nyxdata.com>:

1. Use your established FTP server account user ID and password to upload data.
2. Coordinate a test submission of a file with the new issuer identifier (Table 2). Please be sure this is completed prior to a live production submission to avoid any initial configuration problems.

### **Instructions for Sending Dividend Notification:**

- An anticipation schedule for distributions should be supplied upon listing to [dividend.submission@nyx.com](mailto:dividend.submission@nyx.com). If no set schedule is available, notice must be supplied at least 10-days in advance of your record date so we know what submissions to expect on each business day.
- Please send the dividend notification file by 5:00 pm ET one business day before the ex-dividend date via the FTP server and e-mail to [dividend.submission@nyx.com](mailto:dividend.submission@nyx.com).
- If you require an extension of time, please send your request to the e-mail address above by 5:00 pm ET.
- If you already requested an extension, please submit all dividend notification files no later than 6:30 pm ET one business day before the ex-dividend date to the e-mail address above.

### **Instructions for Creating the Dividend Notification file:**

- Please follow the format and column order illustrated in the attached sample comma separated format (.csv) file with the exact column headers and sample data in each row. Table 1 provides a description of each field.
- Column headings are required
- If there is an omitted dividend, please leave the exchange traded product on the list and populate the per share fields with a 0 to provide certainty that the exchange traded product is not paying a dividend for the period.
- Once the template is complete, save the file as a comma separated format (.csv). Do not submit file saved in the Excel format (.xls), as a zip file or as an encrypted file.
- The name of the file should contain the issuer identifier and submission date, for example: IssuerIdentifier11302009.csv. Reference the specific issuer identifier listed below in Table 2.
- Processing via the FTP server is case sensitive; therefore, please use the exact case.

### **Instructions for Submitting the Dividend Notification via FTP:**

- Please refer to Table 3 for screen shots detailing the specific instructions for submitting the dividend notification via FTP
- As a back up to the process, once your transmission via FTP is complete, please email the comma separated format (.csv) file to [dividend.submission@nyx.com](mailto:dividend.submission@nyx.com)

### **Contacts:**

#### **NYSE Arca Dividend Group Email Address**

[dividend.submission@nyx.com](mailto:dividend.submission@nyx.com)

#### **NYSE Arca Securities Operations – Dividend Submission**

Kerri Ramirez

212-656-5589

[kramirez@nyx.com](mailto:kramirez@nyx.com)

#### **ETP New Listings**

Laura Morrison

212-656-4066

[lmorrison@nyx.com](mailto:lmorrison@nyx.com)

#### **Technical Support**

Global Service Desk

866-873-7422

[service.desk@nyx.com](mailto:service.desk@nyx.com)

**For the most current version of this document please refer to the following link:**

[http://www.nyse.com/pdfs/NYSE\\_Div\\_Data\\_Inst.pdf](http://www.nyse.com/pdfs/NYSE_Div_Data_Inst.pdf)

**Table 1. NYSE Arca ETP Distribution Dissemination Template**

<b>Column Heading</b>	<b>Length</b>	<b>Type</b>	<b>Description</b>
Identifier	128	Alphanumeric	128 characters representing the identifier of supplier of the dividend information, assigned to each issuer by NYSE Arca. (See Page 1 of Instructions)
Issue Symbol	6	Alphanumeric	Issue Symbol of the ETP
CUSIP	9	Alphanumeric	9 characters representing the Issues CUSIP
Registered Issue Name	180	Alphanumeric	The name of the Issue as it appears on the application for certification filed with the SEC. No comma within the Issue Name.
Declared Date	10	Date	10 characters representing the date on which the dividend is declared (ETPs same day as electronic submission) in the format mm/dd/yyyy
Record Date	10	Date	10 characters representing the date on which the shareholder must officially own the shares in order to be entitled to a dividend, in the format mm/dd/yyyy
Ex-Date	10	Date	10 characters representing the date on which the dividend is to go ex dividend in the format mm/dd/yyyy
Pay Date	10	Date	10 characters representing the date on which the dividend is to be paid in the format mm/dd/yyyy
Cash Dividend Per Share	15	Numeric	The part of a dividend that represents the normal or regular distribution for an Issue per share. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Long Term Capital Gains Per Share	15	Numeric	The amount of a dividend that represents long-term capital gains for the issue per share. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Short Term Capital Gains Per Share	15	Numeric	The amount of a dividend that represents short-term capital gains for the issue per shares. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Return of Capital Per Share	15	Numeric	The amount of a dividend that represents Return of Capital for the issue per share. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Special Per Share	15	Numeric	The amount of a dividend that represents a special distribution for the issue per share. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Other Per Share	15	Numeric	The per share amount of a dividend that represents a distribution for the issue of a type that is other than the existing components defined. Max 12 decimal places. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Total Dividend Per Share	15	Numeric	Sum of all dividend components per share. No alphanumeric character, for example dollar sign (\$) or dash (-) allowed for this column.
Comments	255	Alphanumeric	Notes/Comments regarding the dividend to NYSE Arca (information will not be published). If you do not use this field please populate field with a 0.
Misc Note	255	Alphanumeric	Notes/Comments regarding the dividend to be published (information will not be published). If you do not use this field please populate field with a 0.

**Table 2. Issuer Identifier**

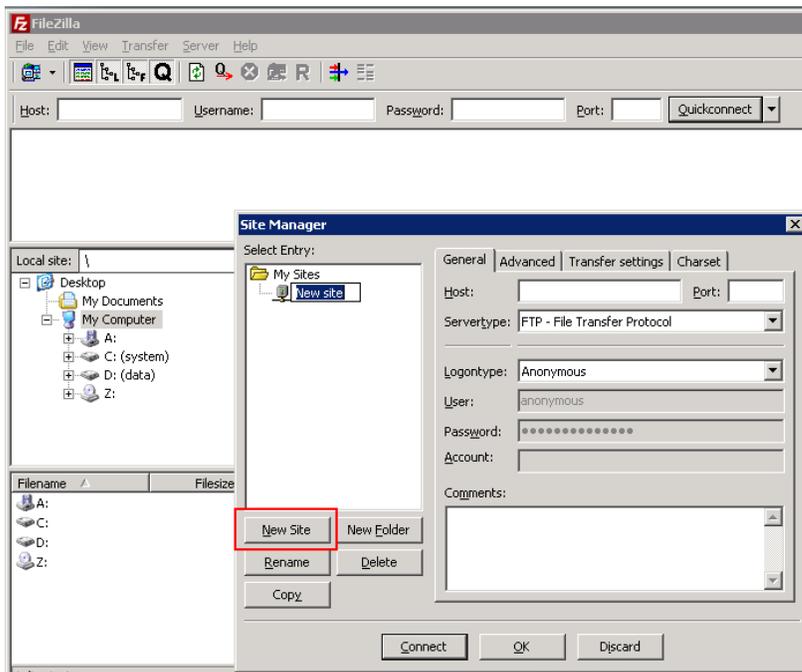
<b>ETP Family Name</b>	<b>ETP Issuer Identifier</b>	<b>ETP File Name MMDDYYYY is the Date of the File Submission</b>
Absolute Shares Trust	WBI	WBIMMDDYYYY.csv
ALPS ETF Trust	Alps	AlpsMMDDYYYY.csv
American International Group, Inc.	AIG	AIGMMDDYYYY.csv
ARK ETF Trust	ARK	ARKMMDDYYYY.csv
Arrow ETF Trust	ArrowShares	ArrowSharesMMDDYYYY.csv
Barclays PLC ETNs	BarCap	BarCapMMDDYYYY.csv
Cambria ETF Trust	Cambria	CambriaMMDDYYYY.csv
Citigroup	Citi	CitiMMDDYYYY.csv
Columbia	Columbia	ColumbiaMMDDYYYY.csv
DBX Funds	DBX	DBXMMDDYYYY.csv
Direxion Shares	Direxion	DirexionMMDDYYYY.csv
Emerging Global Advisors	EGA	EGAMMDDYYYY.csv
ETF Securities	ETF Securities	ETFSecuritiesMMDDYYYY.csv
ETFis Solutions	ETFIS	ETFISMMDDYYYY.csv
Exchange Traded Concepts	ETC	ETCMMDDYYYY.csv
Fidelity	Fidelity	FidelityMMDDYYYY.csv
First Trust	FirstTrust	FirstTrustMMDDYYYY.csv
FlexShares Trust	FlexShares	FlexSharesMMDDYYYY.csv
FQF Trust	QuantShares	QuantSharesMMDDYYYY.csv
Franklin Templeton	Franklin	FranklinMMDDYYYY.csv
GlobalX	GlobalX	GlobalXMMDDYYYY.csv
Goldman Sachs	GS	GSMDDYYYY.csv
Greenhaven	Greenhaven	GreenhavenMMDDYYYY.csv
Guggenheim	CurrencyShares	CurrencySharesMMDDYYYY.csv
Guggenheim (Claymore)	Guggenheim	GuggenheimMMDDYYYY.csv
Highland Funds I	Highland	HighlandMMDDYYYY.csv
Horizons ETF Trust	Horizon	HorizonMMDDYYYY.csv
Huntington Strategy Shares	Huntington	HuntingtonMMDDYYYY.csv
Index IQ	IndexIQ	IndexIQMMDDYYYY.csv
Invesco PowerShares	PowerShares	PowerSharesMMDDYYYY.csv
Invesco PowerShares	PowerSharesB	PowerSharesBMMDDYYYY.csv
iShares	iShares	iSharesMMDDYYYY.csv
JPMorgan Chase	JPM	JPMMMDDYYYY.csv
KraneShares Trust	Krane	KraneMMDDYYYY.csv
LocalShares Investment Trust	LocalShares	LocalSharesMMDDYYYY.csv
Merrill Lynch	MLCO	MLCOMMDDYYYY.csv
Morgan Stanley	MSCO	MSCOMMDDYYYY.csv
PDR Services	PDR	PDRMMDDYYYY.csv
PIMCO	PIMCO	PIMCOMMDDYYYY.csv
PowerShares DB	PDB	PDBMMDDYYYY.csv
Precidian	Precidian	PrecidianMMDDYYYY.csv
ProShares	ProShares	ProSharesMMDDYYYY.csv
Purefunds ISE	Purefunds	PurefundsMMDDYYYY.csv
Renaissance Capital	Renaissance	RenaissanceMMDDYYYY.csv
RevenueShares	RevenueShares	RevenueSharesMMDDYYYY.csv
Russell ETFs	Russell	RussellMMDDYYYY.csv
Schwab	Schwab	SchwabMMDDYYYY.csv

Source ETF Trust	Source	SourceMMDDYYYY.csv
SPDR ETFs	SSGA	SSGAMMDDYYYY.csv
United States Commodity Fund	USCommodity	USCommodityMMDDYYYY.csv
USCF ETF Trust	USCFA	USCFAMMDDYYYY.csv
Van Eck	VanEck	VanEckMMDDYYYY.csv
Vanguard	Vanguard	VanguardMMDDYYYY.csv
WisdomTree	WisdomTree	WisdomTreeMMDDYYYY.csv

**Table 3. Instructions for Submitting the Dividend Notification via FTP**

**Steps to submit files to NYSE Euronext via FTP.**

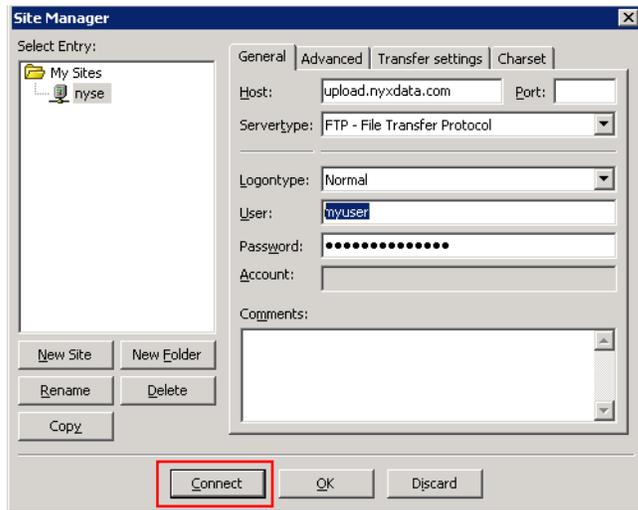
1. Configure NYXdata ftp site using your tool of choice. FileZilla is a free tool that can be downloaded from the internet. To configure the tool, please follow these steps:
  - A. Open the tools and access File / Site Manager menu, select “New Site”



- B. Type “NYSE” in the profile, fill in the rest of the server information
  - a. Host: upload.nyxdata.com
  - b. Server Type: FTP
  - c. Logon Type: Normal
  - d. User: the user ID you received from NYSE to access the FTP site

Click Connect

C.



D. Once you are connected, drag and drop the files