



## NYSE ARCA ANNUAL WRITTEN AFFIRMATION Exchange-Traded Products

### Registered Name of Listed Issuer(s) (the “Issuer”):

NYSE Regulation requires each issuer of an Exchange Traded Product (“ETP”)<sup>1</sup> listed on NYSE Arca, Inc. (“NYSE Arca” or the “Exchange”) to submit this Annual Written Affirmation regarding compliance with certain NYSE Arca Rules and, for certain securities, with the SEC Order approving the ETP for listing on NYSE Arca. This Annual Written Affirmation must be submitted no later than December 31 of each calendar year.

### A. Board of Trustees/Directors and Audit Committee/Rule 10A-3 Compliance

**INSTRUCTIONS:** Check the applicable box below and provide the related information using the **Exhibit A** template provided.

1. The Issuer claims no exemption from Rule 10A-3 under the 1934 Act and is compliant with Rule 10A-3 and all applicable NYSE Arca corporate governance rules. The current members of the Issuer’s board of trustees/directors are listed on **Exhibit A**.
2. The Issuer is organized as a trust or other unincorporated association that does not have a board of directors or persons acting in a similar capacity and the activities of the Issuer are limited to passively owning or holding (as well as administering and distributing amounts in respect of) securities, rights, collateral or other assets on behalf or for the benefit of the holders of the listed securities. As such, the undersigned certifies that the Issuer relies on an exemption from Rule 10A-3. The Issuer certifies that it is compliant with all applicable NYSE Arca corporate governance rules.
3. The Issuer either: **a)** relies on an exemption from Rule 10A-3 that is not described above or **b)** is not compliant with Rule 10A-3 and/or the applicable NYSE Arca corporate governance rules. The details of this exemption or non-compliance are described below:
4. NYSE Arca Rule 5.3-E(i)(1)(i)(D) requires that ETP issuers notify the Exchange of any changes to its Board of Trustees/Directors. The Issuer: **a)** affirms that it has notified the Exchange of any changes to its Board of Trustees/Directors during the previous calendar year or **b)** did not notify the Exchange of all changes to its Board of Trustees/Directors during the previous calendar year. Such changes are described below:

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<sup>1</sup> For purposes of this form, an Exchange-Traded Product is a security listed on NYSE Arca, Inc. under one of the following NYSE Arca Rules: 5.2-E(j)(3) (Investment Company Units), 5.2-E(j)(5)(Equity Gold Shares), 5.2-E(j)(6) (Index-Linked Securities—Exchange Traded Notes) or any sub-section of Rule 8-E. An issuer of Index-Linked Securities listed pursuant to NYSE Arca Rule 5.2-E(j)(6) that has its primary class of common equity securities listed on the New York Stock Exchange or NYSE American markets is not required to complete this form.



## B. Listed Securities

**INSTRUCTIONS:** Provide information for all securities currently listed on NYSE Arca using the **Exhibit B** template provided. Affirm the statements below or confirm that they are not applicable to the Issuer by checking the appropriate boxes. If unable to make a selection for each item, please describe the reasons why in the box provided.

Affirmed   N/A

1. The Issuer affirms it has not changed the index or reference asset underlying any listed ETP without prior notice to the Exchange as required by NYSE Arca Rule 5.3-E(i)(1)(i)(P).
2. For self-indexing<sup>2</sup> ETPs, the Issuer affirms that it continues to maintain an appropriate “fire-wall” around the personnel who have access to information concerning changes and adjustments to the index and, if applicable, the index continues to be calculated by a third party who is not a broker-dealer or fund advisor.
3. For self-indexing ETPs, the Issuer affirms that any committee (or similar entity) that advises or makes decisions on the index methodology or composition continues to maintain procedures designed to prevent the use and dissemination of material non-public information about the index.
4. For ETPs approved for listing pursuant to NYSE Arca Rule 8.600-E, the Issuer represents that it has a compliance program in place to ensure continuous compliance with the provisions of its SEC Approval Order or the continued listing standards set forth under NYSE Arca Rule 8.600-E.
5. For ETPs approved for listing pursuant to an NYSE Arca Rule 8.600-E, the Issuer represents that each of its ETPs has complied with the applicable SEC Approval Order(s) or the continued listing standards set forth under NYSE Arca Rule 8.600-E during the current year.

Please provide the details of any index changes or instances of non-compliance below.

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<sup>2</sup> A “self-indexing security” is an ETP that is based on an index (or other benchmark) where the components of such index (or other benchmark) are determined by the applicable ETP issuer or an entity affiliated with such ETP issuer by virtue of being under common control or management with such ETP issuer.



**C. Certification**

I am an officer of the Issuer and have the authority to provide the information and make the affirmations contained herein on behalf of the Issuer. I hereby certify that all information contained herein is true and correct to the best of my knowledge as of the date hereof.

Name:

Title:

Date submitted:

Telephone number:

E-mail address:

Signature: /s/