091-08341Ju

For Internal Use Only Sec File No. 9- NEUCE/VED 2019 MPR 19 Pril 3: 03 SEC / Trig UNITED STATES SEC
SEC Trick UNITED STATES Estimated average burden hours per response3.60 SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Estimated average burden hours per response3.60 FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report 10046990 NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 2 Open End Management Investment Company Class of New Derivative Securities Product: Exchange Traded Fund Anne of Underlying Instrument: SafP SmallCap Information Technology Portfolio 5 If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based Andrew to Market Upon Which Securities Product: XLKS Naste Symbolicy of New Derivative Securities Product: XLKS Name of Underlying Instrument: Safe SmallCap Information Technology Portfolio If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based Advetor M
Signature UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Estimated average burden hours per response3.60 FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Product: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)
FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Initial Listing Report 10046990 10046990 1 Initial Listing Report 10046990 10046990 2 7 Type of Issuer of New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 2 10046990 2 2 Type of Issuer of New Derivative Securities Product: Exchange Traded Fund 2 2 10046990 2 3 Class of New Derivative Securities Product: Exchange Traded Fund 2 2 10046990 2 2 3 Class of New Derivative Securities Product: Exchange Traded Fund 2
FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report 10046990 10046990 2 Type of Issuer of New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 2 2 Open End Management Investment Company 3 2 Colspan="2">Colspan="2"Colspan="
Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Initial Listing Report Initial Listing Report Initial Listing Report Initial Listing Report Initial Listing Report Initial Listing Report Indefende Information Company Information Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company Information Technology Portfolio Information Technology Port
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report 10046990 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 10046990 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company 10046990 3. Class of New Derivative Securities Product: Exchange Traded Fund 10046990 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 10046990 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 10046990 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 10046990 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 10046990 9. Position Limits of New Derivative Securities Product (if applicable): 10046990
Part I Initial Listing Report 10046990 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 10046990 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company 10046990 3. Class of New Derivative Securities Product: Exchange Traded Fund 10046990 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 10046990 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 10046990 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 10046990 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 10046990 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. 9. Position Limits of New Derivative Securities Product (if applicable): 10046990
1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: 10046990 NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 10046990 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): 0pen End Management Investment Company 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)
Name of Serveguatory Organization Esting New Derivative Securities Product: NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
Open End Management Investment Company 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
Exchange Traded Fund 4. Name of Underlying Instrument: S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
S&P SmallCap Information Technology Portfolio 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
XLKS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
Listed on: NASDAQ Stock Market LLC, NYSE 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable):
Part II Execution
The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly
approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing
standards.
Name of Official Responsible for Form: Joan Conley
Title: Secretary
Telephone Number:
301-978-8735
Manual Signature of Official Responsible for Form:
Date: April 14, 2010
SEC 2449 (6-01) Act Securities Exchange Act of 1934
Section 19b-4
Rule 19b-4(e) Public ADD 1.0 costo