091-1639541

NOV 1 9 2013

Availability:

For Internal Use OMB APPROVAL Submit 1 Original and 9 Copies Only SECURITIES AND EXCHANGE COMMISSION Number: 3235-0504 Sec File No. 9-August 31, 2010 UNITED STATES
RECEIVED SECURITIES AND EXCHANGE COMMISSION Sectionated average burden hourspet response.....3.60 NOV 19 2013 Washington, D.C. 20549 NOV 19 LOS Washington D Washing Washington DC 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** Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX PHLX LLC (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: Citi Corporate Investment Grade (Treasury Rate-Hedged) Index 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based** Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NYSE, OTC 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled) Position Limits of New Derivative Securities Product (if applicable): N/A **Execution** Part II 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: Securities Exchange Act of 1934 Act Date: November 08, 2013 Section 19b-4(e) SEC 2449 (6-01) Rule Public