

091-18209 Jan

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UNITED STATES  
 SECURITIES AND EXCHANGE COMMISSION  
 Washington, D.C. 20549  
 FORM 19b-4(e)

SEC  
Mail Processing  
Section

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

JAN 07 2015

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Washington DC  
404

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

NYSE Area, Inc.

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):

Open-end Management Investment Company



15000027

3. Class of New Derivative Securities Product:

Investment Company Units

4. Name of Underlying Instrument:

Poliwogg Medical Breakthroughs Index

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:

SBIO

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

NYSE, NASDAQ

8. Settlement Methodology of New Derivative Securities Product:

Regular way trades settle on T+3/Book entry only held in DTC.

9. Position Limits of New Derivative Securities Product (if applicable):

Not 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:

Sudhir Bhattacharyya

Title:

Vice President

Telephone Number:

(212) 656-2920

Manual Signature of Official Responsible for Form:

January 6, 2015

JAN 07 2015

Sudhir Bhattacharyya  
Vice President



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NYSE Arca, Inc.  
20 Broad Street  
New York, NY 10005

tel: 212.656.2920  
Sudhir.Bhattacharyya@nyse.com

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Via Overnight Mail

January 6, 2015

Ms. Gail Jackson  
US Securities and Exchange Commission  
Division of Trading and Markets  
Station Place – Building I  
100 F Street, N.E. – Room 6628  
Washington, DC 20549

Re: 19b-4(e) – ALPS Medical Breakthroughs ETF

Dear Ms. Jackson:

Enclosed for filing pursuant to Section 19(b) of the Securities Exchange Act of 1934 and Rule 19b-4 thereunder, please find an original and nine copies of Form 19b-4(e) with respect to the securities listed below.

**ALPS Medical Breakthroughs ETF (SBIO)**

If you have any questions, please do not hesitate to call me at (212) 656-2920.

Sincerely,

Enclosures

Act:	Securities Exchange Act of 1934
Section:	19b-4(e)
Availability:	JAN 07 2015