

For Internal Use
Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

SEC
Mail Processing
Section

JUN 26 2015

091-18814 *ju*

OMB APPROVAL
OMB Number: 3235-0504
Expires: August 31, 2010
Estimated average burden
hours per response.....3.60



15020457

UNITED STATES ~~Washington DC~~
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

- Name of Self-Regulatory Organization 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
- Class of New Derivative Securities Product:
Exchange Traded Fund
- Name of Underlying Instrument:
Horizon Kinetics Global Spin-Off Index
- 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:
SPUN
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Australian Stock Exchange (ASX), Deutsche Borse, Euronext Paris, Hong Kong, London Stock Exchange, Mercado Continuo Espanol, NASDAQ Stock Market LLC, NYSE, New Zealand, OMX Nordic Exchange, Helsinki, Oslo Stock Exchange, SWS Swiss, Vienna
- 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

RECEIVED
JUN 26 PM 3:50
SEC/WR

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: **June 12, 2015**

Joan Conley

Act Securities Exchange Act of 1934
Section 19b-4
Rule 19b-4(e)

Public Availability: JUN 26 2015