

091-20679 JN

For Internal Use Only
Sec File No. 9-

Submit 1 Original and 9 Copies

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

UNITED STATES
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
SEC
Mail Processing Section

MAY 18 2016

Part I Initial Listing Report

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

NASDAQ OMX PHLX LLC (traded pursuant to unlisted trading privileges)

Washington DC

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

Open End Management Investment Company

412

3. Class of New Derivative Securities Product:

Exchange Traded Fund

4. Name of Underlying Instrument:

MSCI USA Utilities Diversified Multiple-Factor Capped Index

16000626

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:

Broad-based

SECURITIES AND EXCHANGE COMMISSION

6. Ticker Symbol(s) of New Derivative Securities Product:

UTLF

RECEIVED

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

Listed on: NASDAQ Stock Market LLC, NYSE

MAY 18 2016

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

Regular way trades settle on T + 3 (cash settled)

DIVISION OF TRADING & MARKETS

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

N/A

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:

Colleen Steele

Title:

Assistant Corporate Secretary

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for Form:

Date: May 16, 2016

Act Securities Exchange Act of 1934
Section 19b-4
Rule 19b-4(e)
Public Availability: MAY 18 2016