

091-216912

For Internal Use Only
Sec File No. 9-

RECEIVED

Submit 1 Original
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	August 31, 2019
Estimated average burden hours per response:	3.60

2016 OCT 12 PM 2:55

SEC / TM

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

Part I

Initial Listing Report

Mail Processing
Section

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
National Stock Exchange, Inc.

OCT 11 2016

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

Washington DC
412

3. Class of New Derivative Securities Product:
Equity

4. Name of Underlying Instrument:
Principal U.S. Small Cap Index ETF

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

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

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

8. Settlement Methodology of New Derivative Securities Product:
Cash

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



16020001

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:
James Buckley

Title:
Chief Regulatory Officer

Telephone Number:
201-499-3698

Manual Signature of Official Responsible for Form:

Date:
October 7, 2016

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 11 2016



National Stock Exchange

SEC
Mail Processing
Section

OCT 11 2016

Washington DC
412

James G. Buckley
Chief Regulatory Officer
t: 201.499.3698
f: 201.499.0727
james.buckley@nrx.com

VIA FED EX

October 7, 2016

Ms. Claudette Ransom
Division of Trading and Markets
Securities and Exchange Commission
100 F Street N.E.
Washington, DC 20549

Re: Securities Exchange Act Forms 19b-4(e)

Dear Ms. Ransom:

Pursuant to Rule 19b-4(e) under the Securities Exchange Act of 1934, enclosed please find one original and nine copies of completed Forms 19b-4(e), executed on behalf of the National Stock Exchange, Inc. (the "Exchange") for each of the following securities which were recently approved for trading on the Exchange:

- 1) FINQ
- 2) IMED
- 3) SMD
- 4) SMMV
- 5) GBIL
- 6) SHNY
- 7) DULL
- 8) BOTZ
- 9) FINX
- 10) SNSR
- 11) JPHY
- 12) BSJO
- 13) BSCQ
- 14) JPHF
- 15) NUAG
- 16) FDVV

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 11 2016

RECEIVED
2016 OCT 12 PM 2:41
SEC / TM

Ms. Claudette Ransom

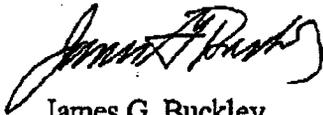
October 7, 2016

Page 2

- 17) FDRR
- 18) FDLO
- 19) FDMO
- 20) FVAL
- 21) FQAL
- 22) IBDR
- 23) ITML
- 24) ITMS
- 25) FTXO
- 26) FTXG
- 27) FTXN
- 28) FTXH
- 29) FTXD
- 30) FTXL
- 31) FTXR
- 32) DWAC
- 33) RCOM
- 34) PFV
- 35) USMR
- 36) CWS
- 37) PSC
- 38) FLLV
- 39) FCEF
- 40) MCEF
- 41) TTAC
- 42) OILK
- 43) KOR
- 44) VRIG

Please contact me at (201) 499-3698 if you have any questions.

Very truly yours,



James G. Buckley
Chief Regulatory Officer

Enclosures