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UNITED STATES

2016 DEC 14 PM 3: 08 Washington DC 20540 412 Washington, D.C. 20549

SEC / TM

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

For Internal Use

Sec File No. 9-

Only

## **Initial Listing Report**

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (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**
- Class of New Derivative Securities Product:

**Exchange Traded Fund** 

4. Name of Underlying Instrument:

**Actively Managed Portfolio of Securities** 

- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable
- 6. Ticker Symbol(s) of New Derivative Securities Product:
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: Luxembourg, NASDAQ Stock Market LLC, NYSE, OTC
- Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)
- 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

Date: December 12, 2016

Manual Signature of Official Respinsible

SEC 2449 (6-01)

Securities Exchange Act of 1934 Act

190-4 Section 19b-4(c) Rule

Public Availability:

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