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Washington DC UNITED STATES SEC SECURITIES AND EXCHANGE COMMISSION 12 Washington, D.C. 20549

OMB APPROVAL

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

# 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**

- 1. 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.): Corporation
- 3. Class of New Derivative Securities Product:

**Exchange Traded Note** 

4. Name of Underlying Instrument:

S&P GSCI Crude Oil Index ER

- 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:
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NYMEX
- 8. 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



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### 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

**Assistant Corporate Secretary** 

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for Forr

Date: December 12, 2016

Act

Securities Exchange Act of 1934

SEC 2449 (6-01)

Section Rule

19b-4 196-4(0)

Public

Availability:

DEC 1 4 2016