

091-22157

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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  
JAN 17 2017

**Part I Initial Listing Report**

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**The NASDAQ Stock Market LLC**

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**

3. Class of New Derivative Securities Product:  
**Exchange Traded Fund**



4. Name of Underlying Instrument:  
**Dorsey Wright US Sector Momentum Index**

17002297

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:  
**SWIN**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**New York Stock Exchange, Nasdaq**

8. Settlement Methodology of New Derivative Securities Product:  
**Regular way trades settle 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:  
**William Slattery**

Title:  
**Vice President, Listing Qualifications**

Telephone Number:  
**(301) 978-8088**

Securities and Exchange

Manual Signature of Official Responsible for Form:

*William Slattery*

JAN 17 2017

Date:  
**January 13, 2017**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JAN 17 2017