

091-222154

For Internal Use
Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

OMB APPROVAL

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

RECEIVED

2017 FEB 21 PM 3:49

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
Mail Processing
Section

FEB 21 2017

Washington DC
412



17002387

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:
Actively managed portfolio of primarily equity securities
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
N/A
6. Ticker Symbol(s) of New Derivative Securities Product:
DUSA
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Nasdaq, New York, Euronext Paris
8. Settlement Methodology of New Derivatives Product:
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:
William Slattery

Title:
Vice President

Telephone Number:
1-301-978-8088

Manual Signature of Official Responsible for Form:

William Slattery

Date: **February 15, 2017**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	FEB 21 2017