

091-22529m

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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

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
NYSE Arca, Inc. (trading pursuant to unlisted trading privileges)

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

MAY 17 2017

3. Class of New Derivative Securities Product:
Investment Company Units

Washington DC
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4. Name of Underlying Instrument:
Hartford Multifactor Low Volatility International Equity Index

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:
LVIN

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
ASX, Dublin, Dusseldorf, Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris, Frankfurt, Hong Kong, Indonesia, Istanbul, JSE, Korea, London, Luxembourg Unlisted, Madrid, Malaysia, Mexico, Milan, New Zealand, NYSE, OMX Nordic Copenhagen, OMX Nordic Helsinki, OMX Nordic Stockholm, Oslo, Philippines, Santiago, Sao Paulo, Singapore, SIX Swiss, Taiwan, Tel Aviv, Thailand, Tokyo, Toronto, Vienna, Warsaw, Xetra

8. Settlement Methodology of New Derivative Securities Product:
Regular way trades settle on T+3/Book entry only held in DTC.

9. Position Limits of New Derivative Securities Product (if applicable):
Not applicable.



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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:
Martha Redding

Securities and Exchange

Title:
Associate General Counsel and Assistant Secretary

MAY 17 2017

Telephone Number:
(212) 656-2938

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Manual Signature of Official Responsible for Form:

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)

May 16, 2017

Public Availability: **MAY 17 2017**



Via Overnight Mail

May 16, 2017

Ms. Claudette Ransom
US Securities and Exchange Commission
Division of Trading and Markets
Station Place – Building I
100 F Street, N.E. – Room 6628
Washington, DC 20549

Re: 19b-4(e) – Transmittal

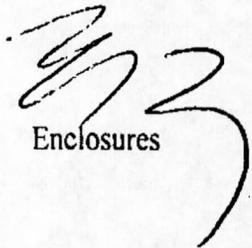
Dear Ms. Ransom:

Enclosed for filing pursuant to Section 19(b) of the Securities Exchange Act of 1934 and Rule 19b-4 thereunder, please find an original and nine copies of Form 19b-4(e) with respect to the securities listed below.

**Principal Active Global Dividend Income ETF (GDVD)
Hartford Multifactor Low Volatility International Equity ETF (LVIN)
Hartford Multifactor Low Volatility US Equity ETF (LVUS)
IQ Chaikin U.S. Small Cap ETF (CSML)**

If you have any questions, please do not hesitate to call me at (212) 656-2938.

Sincerely,


Enclosures

Securities and Exchange

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Martha Redding
Associate General Counsel
Assistant Secretary

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