

091-2252181

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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)**

SEC  
Mail Processing  
Section

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:

**Managed Fund Shares**

Washington DC  
412

4. Name of Underlying Instrument:

**n/a**

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:

**GDVD**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

**n/a**

8. Settlement Methodology of New Derivative Securities Product:

**Regular way trades settle on T+3/Book entry only held in DTC.**



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9. Position Limits of New Derivative Securities Product (if applicable):

**Not applicable.**

**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**

Telephone Number:

**(212) 656-2938**

MAY 17 2017

Manual Signature of Official Responsible for Form:

RECEIVED

*Martha Redding*

**May 16, 2017**

SEC 2449 (1/99)

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

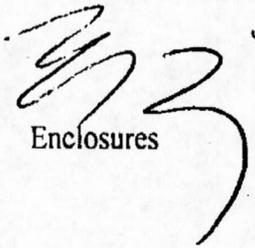
Dear Ms. Ransom:

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

MAY 17 2017

**RECEIVED**

Martha Redding  
Associate General Counsel  
Assistant Secretary

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