

091-227558

For Internal Use Only		Submit 1 Original		OMB Approval No.:
Sec File No. 91 -		and 9 Copies		Expires:

Estimated average burden hours per response: 2.00

**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 American, LLC (trading pursuant to unlisted trading privileges)**

SEC  
Mail Processing  
Section  
AUG 31 2017

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:

**Managed Fund Shares**



Washington DC  
412

4. Name of Underlying Instrument:

**17003159**

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:

**FPEI**

RECEIVED  
AUG 31 PM 1:23  
SEC/TM

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.**

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**

Title:

**Associate General Counsel and Assistant Secretary**

Telephone Number:

**(212) 656-2938**

Manual Signature of Official Responsible for Form:

*(Handwritten Signature)*  
**August 30, 2017**

SEC 2449 (1/99)

Act	<b>Securities Exchange Act of 1934</b>
Section	<b>19b-4</b>
Rule	<b>19b-4</b>
Public Availability:	<b>AUG 31 2017</b>



Martha Redding  
Associate General Counsel  
Assistant Secretary

New York Stock Exchange  
11 Wall Street  
New York, NY 10005  
T + 1 212 656 2938  
F + 1 212 656 8101  
Martha.Redding@theice.com

Via Overnight Mail

August 30, 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

SEC  
Mail Processing  
Section

AUG 31 2017

Washington DC  
412

Re: **19b-4(e) – Transmittal (NYSE American, LLC)**

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.

**First Trust Institutional Preferred Securities and Income ETF (FPEI)**

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

Sincerely,

Enclosures

RECEIVED  
2017 AUG 31 PM 1:23  
SEC / TM