

091-22822 fl

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

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

Open-end Management Investment Company

AUG 07 2017

3. Class of New Derivative Securities Product:

Investment Company Units



Washington DC  
12

4. Name of Underlying Instrument:

S&P 400 Managed Risk 2.0 Index

17003215

Securities and Exchange Commission  
Trading and Markets  
RECEIVED  
AUG 07 2017

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:

DMRM

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

NYSE, NASDAQ

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:

*Martha Redding*  
August 4, 2017

Act: Securities Exchange Act of 1934  
Section: 19b-4  
Rule: 19b-4(e)  
Public Availability: AUG 07 2017