

091-24433 Jn

For Internal Use Only
RECEIVED

Submit 1 Original
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	August 31, 2010
Estimated average burden hours per response.....	3.60

Sec File No. 9-
2019 MAR 14 AM 11:18
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

Mail Processing
Section
MAR 14 2018
Washington DC
715

Part I

Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
Nasdaq PHLX LLC (traded pursuant to unlisted trading privileges)

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:
FTSE Asia ex Japan RIC Capped Index

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Broad-based



-18002395

6. Ticker Symbol(s) of New Derivative Securities Product:
FLAX

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Bangkok, Bursa Malaysia, Hong Kong, Indonesia, Karachi, Korea Stock Exchange, NASDAQ Stock Market LLC, NYSE, National Stock Exchange Of India, Philippine Stock Exchange, Singapore Stock Exchange, Taiwan Stock Exchange

8. Position Limits of New Derivative Securities Product (if applicable):
Regular way trades settle on T + 2 (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:
LQ Mgr

Telephone Number:
+1 301 9788088

Manual Signature of Official Responsible for Form:

William Slattery

Date: **March 11, 2018**

SEC 2449 (6-01)

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	MAR 14 2018