

091-24617

For Internal Use Only
SEC
Mail Processing Section

Submit 1 Original and 9 Copies

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

APR 11 2018
WASHINGTON DC 408
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: **Nasdaq BX, Inc. (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: **Russell 1000 2Qual/Val 5% Capped Factor 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: **QARP**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: **Listed on: NASDAQ Stock Market LLC, NYSE**
- 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**

RECEIVED
2018 APR 11 PM 2:48
SEC/TM



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: **Vice President**

Telephone Number: **+1 301 9788088**

Manual Signature of Official Responsible for Form:

Date: **April 09, 2018**

SEC 2449 (6-01)

Act: Securities Exchange Act of 1934
Section: 19b-4
Rule: 19b-4(e)
Public Availability: **APR 11 2018**