

091-24709

For Internal Use Only
Sec File No. 9-

Submit 1 Original and 9 Copies

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

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

SEC Mail Processing
MAY 02 2018
Washington, DC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

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:
Actively Managed Portfolio of Securities
- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Not Applicable
- 6. Ticker Symbol(s) of New Derivative Securities Product:
CGVIC
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Deutsche Borse, Euronext Amsterdam, Euronext Brussels, Euronext Paris, Hong Kong, Korea Stock Exchange, London Stock Exchange, Mercado Continuo Espanol, NASDAQ Stock Market LLC, NYSE, SWS Swiss, Tokyo Stock Exchange, Toronto
- 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



18002633

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:

William Slattery

Date: **April 27, 2018**

RECEIVED
SEC. TA
MAY - 2 2018
PH: 19

Act Securities Exchange Act of 1934
Section 19b-4
Rule 19b-4(e)
Public Availability: **MAY - 2 2018**