

091-24712 fm

For Internal Use Only
Sec File No. 9-

Submit 1 Original and 9 Copies

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

FORM 19b-4(e)

SEC Mail Pro
MAY 02 2018
Washington, DC

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 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:
Indxx Global Robotics and Artificial Intelligence Thematic Index



18002636

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:
UBOT

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Australian Stock Exchange (ASX), Borsa Italiana, Deutsche Borse, Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris, Hong Kong, Irish Stock Exchange, Korea Stock Exchange, London Stock Exchange, Mercado Continuo Espanol, NASDAQ Stock Market LLC, NYSE, New Zealand, OMX Nordic Exchange, Helsinki, OMX Nordic Exchange, Stockholm, Oslo Stock Exchange, SWS Swiss, Singapore Stock Exchange, Tel Aviv Stock Exchange, Tokyo Stock Exchange, Vienna

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:
Vice President

Telephone Number:
+1 301 9788088

Manual Signature of Official Responsible for Form:

William Slattery

Date: April 27, 2018

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

RECEIVED
MAY - 2 2018
SEC / TR