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

OMB APPROVAL  
OMB Number: 3235-0504  
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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

REC  
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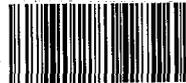
READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM 19b-4(e)

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:  
**S&P 500 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:  
**UOCT**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: CBOE**
- 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**

Securities and Exchange Commission  
Trading and Markets  
OCT 22 2018

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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: **October 18, 2018**

Act: Securities Exchange Act of 1934  
Section: 19b-4  
Rule: 19b-4(a)  
Public Availability: **OCT 22 2018**