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

FORM 19b-4(e)

Mail Processing  
Section  
OCT 23 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**

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**Nasdaq PHLX LLC (traded pursuant to unlisted trading privileges)**
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Corporation**
- Class of New Derivative Securities Product:  
**Exchange Traded Note**
- Name of Underlying Instrument:  
**Solactive Preferred Stock ETF Index**
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Narrow-based**
- Ticker Symbol(s) of New Derivative Securities Product:  
**PFFL**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: NASDAQ Stock Market LLC, NYSE Arca**
- Position Limits of New Derivative Securities Product (if applicable):  
**Regular way trades settle on T + 2 (cash settled)**
- 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**

Securities and Exchange Commission  
Trading and Markets

Telephone Number:  
**+1 301 9788088**

Manual Signature of Official Responsible for Form:  
*William Slattery*

Date: **October 17, 2018**

OCT 23 2018

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Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	<b>OCT 23 2018</b>