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# SEC Mail Processing

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

## Washington, DC

## 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

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**Nasdaq BX, Inc. (traded pursuant to unlisted trading privileges)**
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**
- Class of New Derivative Securities Product:  
**Exchange Traded Fund**
- Name of Underlying Instrument:  
**Morningstar Global Wide Moat Focus Index**
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Broad-based**
- Ticker Symbol(s) of New Derivative Securities Product:  
**GOAT**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: Australian Stock Exchange (ASX), Deutsche Borse, Euronext Amsterdam, Euronext Paris, London Stock Exchange, NASDAQ Stock Market LLC, NYSE, SWS Swiss, Tokyo Stock Exchange, Toronto**
- 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**

*Securities and Exchange Commission  
Trading and Markets*

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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:

Date: **November 06, 2018**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)

Public Availability: **NOV 09 2018**