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

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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

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 Securities and Exchange Commission Trading and Markets
4. Name of Underlying Instrument: Morningstar US Dividend Valuation 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: DURA RECEIVED
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE
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 18011142

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: +1 301 978 088
Manual Signature of Official Responsible for Form: [Signature]
Date: November 06, 2018

SEC 2449 (6-01)

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