

For Internal Use  
Only  
Sec File No. 9-

Submit 1 Original  
and 9 Copies

OMB APPROVAL

OMB Number: 3235-0504  
Expires: Oct. 31, 2025  
Estimated average burden  
hours per response.....3.60

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

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:

**The NASDAQ Stock Market LLC**

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 Shares under Nasdaq Rule 5704**



4. Name of Underlying Instrument:

**Actively Managed**

23007709

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:

**BKIV**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

**NYSE, NASDAQ**

8. Settlement Methodology of New Derivatives Product:

**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:

**Eun Ah Choi**

Title:

**Senior Vice President**

Telephone Number:

**1-301-978-8411**

Manual Signature of Official Responsible for Form:

*Eun Ah Choi*

Date: May 24, 2023