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Washington D.C. 2054 Estimated average burden hours per response.....3.60 DIVISION OF TRADING & MARKETS 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 **Initial Listing Report** Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX BX, Inc. (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: Actively managed portfolio of securities 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Not Applicable** 6. Ticker Symbol(s) of New Derivative Securities Product: 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 + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A Execution Part II 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: Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Securities Exchange Act of 1934

SEC 2449 (6-01)

Date: February 15, 2013

Rule 19b-4(e)

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Availability: