

091-15582fr

For Internal Use Only  
Sec File No. 9-

Submit 1 Original and 9 Copies

OMB APPROVAL

OMB Number: 3235-0504  
Expires: August 31, 2010  
Estimated average burden hours per response.....3.60

SECURITIES AND EXCHANGE COMMISSION  
RECEIVED

APR 30 2013

DIVISION OF TRADING & MARKETS

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



13005441

Part I Initial Listing Report

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**NASDAQ OMX PHLX LLC (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:  
**Northern Trust International Quality Dividend 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:  
**IQDF**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: Australian Stock Exchange (ASX), Borsa Italiana, Bovespa, Deutsche Borse, Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris, Hong Kong, Istanbul Stock Exchange, Johannesburg Stock Exchange, London Stock Exchange, NASDAQ Stock Market LLC, NYSE, OMX, OMX Nordic Exchange, Helsinki, SWS Swiss, Seoul, Singapore Stock Exchange, Taiwan Stock Exchange, Thailand, Tokyo Stock Exchange, Toronto**
- Position Limits of New Derivative Securities Product (if applicable):  
**Regular way trades settle on T + 3 (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:  
**Joan Conley**

Title:  
**Secretary**

Telephone Number:  
**301-978-8735**

Manual Signature of Official Responsible for Form:

Date: **April 22, 2013**

Section	19b-4
Rule	19b-4(e)
Public Availability:	APR 30 2013

# JEANETTE MARSHALL

Transfer 2018  
- TA-2 (TA-2)  
(TA-2) Auditor  
inf

Question  
New owner  
will  
Company  
next Qu  
Question 2  
March 2  
Tom@

Tom Curtis  
change address  
TIA -

CTK : TA-1/A

Tom@  
Tom@  
Tom@  
Tom@

ema  
Tom@  
baycity  
transfer  
CTK

com@mail  
C TA-1/A  
all