SECURITES AND EXCHANGE COMMISSION

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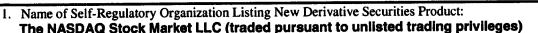
# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 UNITED STATES

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**





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:

Northern Trust International Quality Dividend Defensive 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:

IQDE

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

Listed on: Borsa Italiana, Bovespa, Deutsche Borse, Euronext Amsterdam, Euronext Brussels, Euronext Lisbon, Euronext Paris, Hong Kong, Irish Stock Exchange, Istanbul Stock Exchange, Johannesburg Stock Exchange, London Stock Exchange, NASDAQ Stock Market LLC, NYSE, OMX, OMX Nordic Exchange, Helsinki, SWS Swiss, Santiago Stock Exchange, Seoul, Singapore Stock Exchange, Taiwan Stock Exchange, Thailand, Tokyo Stock Exchange, Toronto, ASX

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

# 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

SEC 2449 (6-01)

Securities Exchange Act of 1994

Section 195-4

195-4(e) Rule

Public

APR 3 0 2013 Availability: