091-15704g/

For Internal Use
Only
Sec File No. 9SECHMIES AND EXCHANGE COMMISSION
SECHMIES AND EXCHANGE COMMISSION
SECHMIES AND EXCHANGE COMMISSION
SECHMIES AND EXCHANGE COMMISSION
NAY
TO A DOMESTIC OF THE COMMISSION
NAME OF THE COMISSION
NAME OF THE COMMIS

Submit 1 Original and 9 Copies

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

OMB APPROVAL

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

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 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** 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: NYSE, OTC 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 Name of Official Responsible for Form: Joan Conley Title: Secretary Telephone Number: Becurities Exchange Act of 1934 301-978-8735 Manual Signature of Official Responsible for Form: etion 95-4(a) lule Date: May 03, 2013 MAY 17 2013 Availability: SEC 2449 (6-01)