

SEC  
Mail Processing  
Section

091-16767 JN

For Internal Use  
Only  
Sec File No. 9-

RECEIVED  
2014 JAN 24 AM 9:30

Submit 1 Original  
and 9 Copies

JAN 23 2014

Washington DC

SEC / MR

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

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

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:  
**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:  
**SYG**
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: NASDAQ Stock Market LLC, 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**

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: **January 13, 2014**

SEC 2449 (6-01)

Section 19b-4(e)  
Public Availability: **JAN 23 2014**