

091-17259

For Internal Use
Only
Sec File No. 9-

RECEIVED

2014 JUN -5 PM 12:42

Submit 1 Original
and 9 Copies

OMB APPROVAL

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

SEC / MR

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

Mail Processing
Section

FORM 19b-4(e)

JUN 05 2014

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

404

Part I Initial Listing Report



14010422

- 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:
LQDH
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: NYSE, NYSE Arca, 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: **May 30, 2014**

Act	Securities Exchange Act of 1934
Section	19b-4
Title	19b-4(e)
Public Availability:	JUN 05 2014