777 OMB APPROVAL For Internal Use Only Submit I Original Sec File NBESCEIVED OMB Number: 3235-0504 and 9 Copies August 31, 2013 Expires: **UNITED STATES** Estimate Editorage burden 2014 SEP 15 PH 5: 17 Wall ricesponsing ... 3.60 SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Section SEC / MR SEP 152014 FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New York 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 Name of Self-Regulatory Organization Listing New Derivative Securities Product: 1. Chicago Stock Exchange Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): 2. Trust 3. Class of New Derivative Securities Product: Ownership of the Trust Name of Underlying Instrument: 4. SPDR SSgA Risk Aware ETF 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: RORO 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Various Settlement Methodology of New Derivative Securities Product: 8. See Prospectus Position Limits of New Derivative Securities Product (if applicable): 9 See Prospectus 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: Peter D. Santori Title: Executive Vice President Chief Compliance Officer, Chief Regulatory Officer Telephone Number: 312-663-2402 Convillar Freebongs Act of 1024 A . . . Manual Signature of Official Responsible for Form: Section 198-4 111111 104-4(0) Date: September 12, 2014 Public SEP 15 2014



September 12, 2014

## **By UPS**

Ms. Gayle S. Jackson Division of Trading and Markets Securities and Exchange Commission 100 F Street NE – Stop 7010 Washington, DC 20549

## Re: Form 19b-4(e) for exchange traded product

Dear Ms. Jackson:

Pursuant to Rule 19b-4(e) of the Securities Exchange Act of 1934, I enclose for filing an original and four copies of the Form 19b-4(e) relating to the following exchange traded product:

RORO SPDR SSgA Risk Aware ETF

If you have any questions about this filing, please contact me at (312) 663-2402.

Sincerely,

Peter D. Santori Executive Vice President Chief Compliance Officer Chief Regulatory Officer

Enclosures

Securities Exchange Act of 1934
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