

For Internal Use
Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

SEC
Mail Processing
Section

SEP 26 2014

Washington DC

091-1796

OMB APPROVAL

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

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION 404
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

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.):
Corporation

3. Class of New Derivative Securities Product:
Exchange Traded Note

4. Name of Underlying Instrument:
The Miller/Howard Strategic Dividend Index Total Return

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:
DIVC

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

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

RECEIVED
2014 SEP 26 PM 1:21
SEC / MFR

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: September 18, 2014

Act Securities Exchange Act of 1934

Section 19b-4
Rule 19b-4(e)

Public Availability: SEP 26 2014

SEC 2449 (6-01)

