For Internal Use. Only No. 17 Ph 3: 44 2915 JUL 1

Mail Processing Submit 1 Original Section and 9 Copies

JUL 17 2015.

UNITED STAT Washington DC SECURITIES AND EXCHANGE COMMIS Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0504

Expires: July 31, 2016 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: The NASDAQ Stock Market LLC
- 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:

**NASDAQ AlphaDEX Canada Index** 

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:

**FCAN** 

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

**Toronto** 

8. Settlement Methodology of New Derivatives Product:

Regular way trades settle on T + 3 (cash settled)

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 standards.

Name of Official Responsible for Form:

William Slattery

Title:

Vice President

Telephone Number: 1-301-978-8088

Manual Signature of Official Responsible for Form:

Date: July 14, 2015

Securities Exchange Act of 1934 Act

19b-4 Section <del>196-4(e)</del> Rule

Publis

Availability:

JUL 1 7 2015