For Internal Use

RECEIVED

Submit 1 Original and 9 Copies

Only

Sec File No. 9- 3915 MAY 29 AM 8: 39

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

OMB Number: 3235-0504 Expires: August 31, 2010 Estimated average burden

OMB APPROVAL

hours per response.....3.60

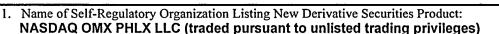
FORM 19b-4(e)

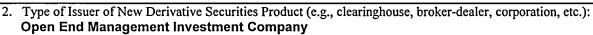
Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

# READ ALL INSTRUCTIONS PRIOR TO COMPLETING 1

### Part I

## **Initial Listing Report**





3. Class of New Derivative Securities Product:

**Exchange Traded Fund** 

4. Name of Underlying Instrument:

Scientific Beta United States Multi-Beta Multi-Strategy Equal Risk Contribution 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:

SCIU

- 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

## 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 14, 2015

SEC 2449 (6-01)

Act

Securitles Exchange Act of 1934

Section

14:11

19b-4(e)

Public

Availability:

MAY 2 8 2015