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

OMB APPROVAL

OMB Number: 3235-0504 Expires: August 31, 2010 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: 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:

**EMBH** 

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: Interbank Market, OTC

8. Position Limits of New Derivative Securities Product (if applicable):

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

Date: August 18, 2015

SEC 2449 (6-01)

Securities Exchange Act of 1934 Act

196-4 Section 196-4(e) Rule

Public

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