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SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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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 BX, Inc. (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
- 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:

- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: 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 Form

Date: August 18, 2015

SEC 2449 (6-01)

Securities Exchange Act of 1934

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Rule

19b-4(e

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