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JUN 2 4 2016 OMB Number

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

OMB APPROVAL

SEC/THE

UNITED STATES
SECURITIES AND EXCHANGE COMMUSION DC
Washington, D.C. 20549
412

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**

- 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
- 3. Class of New Derivative Securities Product:
  - Exchange Traded Fund

4. Name of Underlying Instrument:

Beta Advantage Sustainable U.S. Equity Income 100 Index



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- 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:
- 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)
- 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:

## Colleen Steele

Title:

**Assistant Corporate Secretary** 

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for Form

Date: June 22, 2016

Act

Securities Exchange Act of 1934

pare. June 22, 2010

Section Rule

19b-4(e)

Public

Availability:

JUN 2 4 2016

SEC 2449 (6-01)