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

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**
- 3. Class of New Derivative Securities Product:

## **Exchange Traded Fund**

4. Name of Underlying Instrument:

**Dorsey Wright Multi-Factor Global Equity Index** 

16019009

- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based**
- Ticker Symbol(s) of New Derivative Securities Product:
- **DWLV**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: BATS, NASDAQ Stock Market LLC, NYSE Arca
- 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

Date: July 19, 2016

Securities Eachange Act of 1934 Act

Section 191-4

19b-4(e) Rule

Public Availability:

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