SEC

For Internal Use Onlyto the state of the state that

Sec File No. 9-

Submit 1 Original Processing and 9 Copies

SEP 06 2016

RECEIVED

**UNITED STATES** SECURITIES AND EXCHANGE COMMINISTION DC Washington, D.C. 20549

OMB APPROVAL

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

2016 SEP -7 AM 8: 30

FORM 19b-4(e)

SEC / TM 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: ETFx HealthTech Index

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based **Broad-based** 

16019158

- 6. Ticker Symbol(s) of New Derivative Securities Product: IMED
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: Australian Stock Exchange (ASX), Deutsche Borse, Euronext Amsterdam, Euronext Paris, London Stock Exchange, Mercado Continuo Espanol, NASDAQ Stock Market LLC, NYSE, OMX Nordic Exchange, Copenhagen, OMX Nordic Exchange, Stockholm, SWS Swiss, Tokyo Stock Exchange, Vienna
- 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

Name of Official Responsible for Form:

Colleen Steele

**Assistant Corporate Secretary** 

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for

Date: September 02, 2016

Act

Securities Exchange Act of 1934

Rule

19b-4(c)

Public

Availability:

SEP 0 6 2016

SEC 2449 (6-01)