091-81317 An

Submit 1 Original OMB Approval No.: For Internal Use Only Sec File No. 91 and 9 Copies Expires: Estimated average burden hours per response: 2.00 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 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 Initial Listing Report Part I . Name of Self-Regulatory Organization Listing New Derivative Securities Product: NYSE Arca, Inc. (trading pursuant to unlisted trading privileges) SEC Mail Processing 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open-end Management Investment Company Section 40 4UID 3. Class of New Derivative Securities Product: Investment Company Units Washington DC 412 16019229 4. Name of Underlying Instrument: Nasdaq US Smart Pharmaceuticals Index 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-Based 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: NYSE, NASDAO, NYSE MKT 8. Settlement Methodology of New Derivative Securities Product: Regular way trades settle on T+3/Book entry only held in DTC. 9. Position Limits of New Derivative Securities Product (if applicable): Not applicable. 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: Martha Redding Title: Associate General Counsel and Assistant Secretary Telephone Number: (212) 656-2938 Manual Signature of Official Responsible for Form: Act Securities Exchange Act of 1934 September 26, 2016 Section 10% 2449 (1/99) Rule 19b-4(e) Public SEP 28 2016 Availability:



Martha Redding Senior Counsel **Assistant Secretary** 

New York Stock Exchange 11 Wall Street New York, NY 10005 T + 1 212 656 2938 F + 1 212 656 8101 Martha.Redding@theice.com

## Via Overnight Mail

September 26, 2016

Ms. Gail Jackson US Securities and Exchange Commission Division of Trading and Markets Station Place - Building I 100 F Street, N.E. - Room 6628 Washington, DC 20549

Re: 19b-4(e) - Transmittal

Dear Ms. Jackson:

SEC Mail Processing Section

SEP 28 2016

Washington DC 412



Securities Exchange Act of 1934

195-4 19b-4(c)

SEP 2 8 2016

Enclosed for filing pursuant to Section 19(b) of the Securities Exchange Act of 1934 and Rule 19b-4 thereunder, please find an original and nine copies of Form 19b-4(e) with respect to the securities listed below.

- Recon Capital USA Managed Risk ETF (USMR)
- VanEck Vectors AMT-Free 12-17 Year Municipal Index ETF (ITML)
- VanEck Vectors AMT-Free 6-8 Year Municipal Index ETF (ITMS)
- AdvisorShares Focused Equity ETF (CWS)
- First Trust Nasdaq Bank ETF (FTXO)
- First Trust Nasdaq Food & Beverage ETF (FTXG)
- First Trust Nasdaq Oil & Gas (FTXN)
- First Trust Nasdaq Pharmaceuticals ETF (FTXH)
- First Trust Nasdaq Retail ETF (FTXD)
- First Trust Nasdaq Semiconductor ETF (FTXL)
- First Trust Nasdag Transportation ETF (FTXR)
- Amplify YieldShares Prime 5 Dividend ETF (PFV)
- Elkhorn Fundamental Commodity Strategy ETF (READ)
- Elkhorn DWA Commodity Rotation ETF (DWAC)
- Franklin Liberty U.S. Low Volatility ETF (FLLV)
- Principal U.S. Small Cap Index ETF (PSC)
- PowerShares Variable Rate Investment Grade Portfolio (VRIG)
- ProShares Ultra Bloomberg Crude Oil (UCO)
- VelocityShares 3x Inverse Natural Gas ETN linked to the S&P GSCI Natural Gas Index ER due February 9, 2032 (DGAZ)

Act

**Public** 

Availability:

VelocityShares 3x Long Crude Oil ETN linked to the S&P GSCI Crude Oil Index ER due February 9, 2032 (UWTI)

- iPath S&P GSCI Crude Oil Total Return Index ETN (OIL)
- Shares of iShares Gold Trust (IAU)
- United States Oil Fund, L.P. (USO)
- PowerShares DB US Dollar Index Bullish Fund (UUP)

If you have any questions, please do not hesitate to call me at (212) 656-2938.

Sincerely,

Enclosures