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2016 AUG 10 PM 12:01  
SEC / TM

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  
SEC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Mail Processing  
Section

**Part I**

**Initial Listing Report**

AUG 10 2016

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
National Stock Exchange, Inc. Washington DC
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
Trust 412
- Class of New Derivative Securities Product:  
Equity
- Name of Underlying Instrument:  
FlexShares STOXX Global ESG Impact Index Fund
- 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:  
ESGG
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
Domestic Stock Exchange
- Settlement Methodology of New Derivative Securities Product:  
Cash
- Position Limits of New Derivative Securities Product (if applicable):



16019321

**Part II**

**Execution**

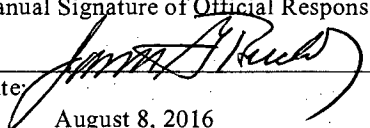
The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:  
James Buckley

Title: Chief Regulatory Officer

Telephone Number:  
201-499-3698

Manual Signature of Official Responsible for Form:

Date:   
August 8, 2016

|         |                                 |
|---------|---------------------------------|
| Act     | Securities Exchange Act of 1934 |
| Section | 19b-4                           |
| Rule    | 19b-4(e)                        |

Public  
Availability: **AUG 10 2016**



National Stock Exchange

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James G. Buckley  
Chief Regulatory Officer  
t: 201. 499.3698  
f: 201. 499.0727  
[james.buckley@nrx.com](mailto:james.buckley@nrx.com)

VIA FED EX

August 8, 2016

Ms. Gail Jackson  
Division of Trading and Markets  
Securities and Exchange Commission  
100 F Street N.E.  
Washington, DC 20549

SEC  
Mail Processing  
Section  
AUG 10 2016  
Washington DC  
412

Re: Securities Exchange Act Forms 19b-4(e)

Dear Ms. Jackson:

Pursuant to Rule 19b-4(e) under the Securities Exchange Act of 1934, enclosed please find one original and nine copies of completed Forms 19b-4(e), executed on behalf of the National Stock Exchange, Inc. (the "Exchange") for each of the following securities which were recently approved for trading on the Exchange:

- 1) SCAP
- 2) KRMA
- 3) EYLD
- 4) ESG
- 5) ESGG
- 6) DWLV
- 7) REML
- 8) LSVX
- 9) BSWN
- 10) XIVH
- 11) IGEM
- 12) PRNT
- 13) WBIR
- 14) MELT
- 15) EUFL
- 16) LVHI
- 17) TRSK
- 18) SPXH

|                      |                                 |
|----------------------|---------------------------------|
| Act                  | Securities Exchange Act of 1934 |
| Section              | 4                               |
| Rule                 | 19b-4(e)                        |
| Public Availability: | AUG 10 2016                     |

Ms. Gail Jackson  
August 8, 2016  
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Please contact me at (201) 499-3698 if you have any questions.

Very truly yours,

A handwritten signature in black ink, appearing to read "James G. Buckley". The signature is written in a cursive style with a large, sweeping initial "J".

James G. Buckley  
Chief Regulatory Officer

Enclosures