091-21545fr For Internal Use Submit 1 Original SEC OMB APPROVAL Only and 9 Copies Sec File No. 9- Mail Processing OMB Number: 3235-0504 Washington DC Section Expires: August 31, 2010 UNITED STATES Estimated average burden SFP 292016 SECURITIES AND EXCHANGE COMMISSION hours per response.....3.60 Washington, D.C. 20549 Washington DC FORM 19b-4(e) 412 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: **Actively Managed Portfolio of Securities** 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trader Listed on: OTC 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): 16019469 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 Respons Date: September 26, 2010 Securitics Lindange Act of 1934 Act SEC 2449 (6-01) 19b-4 Section 19b-4(e) Rule Public SEP 2 9 2016 Availability: