

Submit 1 Original and 9 Copies

Mail Processing Section

JUL 14 2016

SEC

OMB APPROVAL

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION DC 412 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

## Part I

### **Initial Listing Report**

- Name of Self-Regulatory Organization Listing New Derivative Securities Product: NASDAQ OMX PHLX LLC (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:

S&P Technology Hardware Select Industry Index

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:

- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: BATS, NASDAQ Stock Market LLC, NYSE, NYSE Arca
- 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 standards.

Name of Official Responsible for Form:

#### Colleen Steele

Title:

**Assistant Corporate Secretary** 

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for Form:

Date: June 30, 2016

Securities Exchange Act of 1934

SEC 2449 (6-01)

Section

Rule

1964(e)

Public

JUL 1 4 2016 Availability: