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OMB APPROVAL OMB Number: 3235-0504

Expires: August 31, 2010 Estimated average burden hours per response.....3.60

UNITED STATES SEC / TM SECURITIES AND EXCHANGE COMMUNISSION ON DC Washington, D.C. 20549 412

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

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)
- 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-deale: **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



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- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable
- Ticker Symbol(s) of New Derivative Securities Product: **SCAP**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE
- 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)
- 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

Title:

Assistant Corporate Secretary

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for

Date: July 11, 2016

Securities Exchange Act of 1934

SEC 2449 (6-01)

19b-4 Section Rule 19b-((e)

Public

JUL 1 4 2016 Availability: