

091-214766

For Internal Use Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	August 31, 2019
Estimated average burden hours per response	3.60

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

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
National Stock Exchange, Inc.

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
Trust

3. Class of New Derivative Securities Product:
Equity

4. Name of Underlying Instrument:
Ivy Focused Growth NextShares

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Broad-Based

6. Ticker Symbol(s) of New Derivative Securities Product:
IVFGC

7. Market or Markets Upon Which Securities Comprising Underlying Instrument are Traded:
Domestic Stock Exchange

8. Settlement Methodology of New Derivative Securities Product:
Cash

9. Position Limits of New Derivative Securities Product (if applicable):

Mail Processing
Section
NOV 07 2016
Washington DC
412



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:
November 4, 2016

Securities and Exchange

NOV 08 2016

RECEIVED

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	NOV 07 2016



National Stock Exchange

James G. Buckley
Chief Regulatory Officer
t: 201.499.3698
f: 201.499.0727
james.buckley@nsx.com

VIA FED EX

November 4, 2016

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

SEC
Division of Trading and Markets
November 4, 2016
Washington, DC
20549

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

Dear Ms. Ransom:

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) RORE
- 2) FLCO
- 3) WSKY
- 4) IVFGC
- 5) IVFVC
- 6) IVENC
- 7) LVHB
- 8) IGVT
- 9) IFIX
- 10) UTES
- 11) EFAX
- 12) EEMW
- 13) TCTL

Securities and Exchange

NOV 08 2016

RECEIVED

Act	Securities Exchange Act of 1934
Section	19b-4
Date	19b-4(e)
Public Availability:	NOV 07 2016

Please contact me at (201) 499-3698 if you have any questions.

Ms. Claudette Ransom
November 4, 2016
Page 2

Very truly yours,

A handwritten signature in black ink, appearing to read "James G. Buckley", written in a cursive style.

James G. Buckley
Chief Regulatory Officer

Enclosures