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UNITED STATES Washington DC SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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# 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: The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)
- 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**
- 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**
- Ticker Symbol(s) of New Derivative Securities Product: 6. DIVO
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, NYSE, OTC
- 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 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:

Securities and Exchange

Date: December 15, 2016

Acs

Securities E. Honge Act of 1934

SEC 2449 (6-01)

Section

196-4

Rule

19b-4(e)

**Public** 

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