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RECURTIFICS STATES AND EXCHANGE

# UNITED STATES SECURITIES AND EXCHANGE COMMISSIONINGTON DC 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: The NASDAQ Stock Market 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:
- Nasdaq BulletShares USD Corporate Bond 2026 Index
- 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:
- **BSCQ**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NYSE, 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): 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 Horm

16019874

Date: September 20, 2016

ct

Securities Exchange Act of 1934

SEC 2449 (6-01)

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

Public

Availability:

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