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Only	Submit 1 Orig		ection	OMB APPROV	AL
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	Washington, D.C		12	nours per response	
	FORM 19	b-4(e)			
	equired of a Self-Regulatory C Product Pursuant to Rule 19b-				
R	EAD ALL INSTRUCTIONS I	PRIOR TO CO	OMPLETING	FORM	
Part I	Initial Listi	ng Report			
1. Name of Self-Regulatory Organiz NASDAQ OMX PHLX LLC (tra	ided pursuant to unlisted tr	ading privile	ges)		
2. Type of Issuer of New Derivative Open End Management Inves	stment Company	ghouse, broker-	dealer, corporat	ion, etc.):	
3. Class of New Derivative Securitie Exchange Traded Fund	s Product:				
4. Name of Underlying Instrument: Actively Managed Portfolio o	f Securities				
5. If Underlying Instrument is an Ind Not Applicable	ex, State Whether it is Broad-Ba	ased or Narrow	-Based:		
<ol> <li>Ticker Symbol(s) of New Derivati FLCO</li> </ol>	ve Securities Product:				9 A
7. Market or Markets Upon Which S Listed on: NYSE, OTC	ecurities Comprising Underlying	g Instrument Ti	rades:		-
8. Position Limits of New Derivative Regular way trades settle on		e):			
<ol> <li>Position Limits of New Derivative N/A</li> </ol>		e):	;	16019960	
Part II	Execu				· · · · · · · · · · · · · · · · · · ·
	<u> </u>				
approved, or has duly delega new derivative securities pro standards.	that the governing body of the ab ted its approval to the undersign oduct according to its relevant tra	ed for, the listi	ng and trading of	of the above-referenced	-
Name of Official Responsible for Form Colleen Steele	n.			Contan	<del></del>
Title: Assistant Corporate Secretary			Secur	ities and Exchan	50
Telephone Number: 301-978-8736		999		OCT 1 8 2016	
Manual Signature of Official Respons	the the		<u>.</u>	RECEIVED	
Date: October 10, 2016			. 1		
SEC 2449 (6-01)		Act	Securities End	hange Act of 1934	2 2 1
		Section	191-4		
		Rule	19b-4(e)		-
		Public Availability:	OCT 17	2016	
		1			

SEC Mail Processing For Internal Use Section Submit 1 Original OMB APPROVAL Only and 9 Copies OCT 172016 OMB Number: 3235-0504 Sec File No. 9-Expires: August 31, 2010 UNITED STATES Washington DC SECURITIES AND EXCHANGE COMMISSION Estimated average burden hours per response.....3.60 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 Initial Listing Report** Part I 1. 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: Lattice Risk-Optimized Real Estate Strategy Index If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: 5. **Broad-based** 6. Ticker Symbol(s) of New Derivative Securities Product: RORE Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: 7. Listed on: NASDAQ Stock Market LLC, NYSE, Toronto 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): 9. 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 Securities and Exchange Telephone Number: 301-978-8736 <u>OCT 1-8-2016</u> Manual Signature of Official Responsible for and the second RECEIVED Date: October 10, 2016 Act Securities Elistenge Act of 1934 SEC 2449 (6-01) Section 196-4 Rule 19b-4(e) Public Availability: OCT 1 7 2016

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