

091-21676

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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

SEC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Mail Processing

Section

Part I

Initial Listing Report

OCT 11 2016

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
National Stock Exchange, Inc. Washington DC
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
Trust 412
- Class of New Derivative Securities Product:  
Equity
- Name of Underlying Instrument:  
Fidelity Dividend ETF for Rising Rates
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
Broad-Based
- Ticker Symbol(s) of New Derivative Securities Product:  
FDRR
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
Domestic Stock Exchange
- Settlement Methodology of New Derivative Securities Product:  
Cash
- Position Limits of New Derivative Securities Product (if applicable):



16019981

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:  
October 7, 2016

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)

Public  
Availability: OCT 11 2016



National Stock Exchange

SEC  
Mail Processing  
Section

OCT 11 2016

Washington DC  
412

James G. Buckley  
Chief Regulatory Officer  
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[james.buckley@nsx.com](mailto:james.buckley@nsx.com)

VIA FED EX

October 7, 2016

Ms. Claudette Ransom  
Division of Trading and Markets  
Securities and Exchange Commission  
100 F Street N.E.  
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) FINQ
- 2) IMED
- 3) SMD
- 4) SMMV
- 5) GBIL
- 6) SHNY
- 7) DULL
- 8) BOTZ
- 9) FINX
- 10) SNSR
- 11) JPHY
- 12) BSJO
- 13) BSCQ
- 14) JPHF
- 15) NUAG
- 16) FDVV

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 11 2016

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Ms. Claudette Ransom

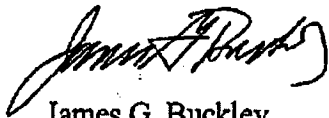
October 7, 2016

Page 2

- 17) FDRR
- 18) FDLO
- 19) FDMO
- 20) FVAL
- 21) FQAL
- 22) IBDR
- 23) ITML
- 24) ITMS
- 25) FTXO
- 26) FTXG
- 27) FTXN
- 28) FTXH
- 29) FTXD
- 30) FTXL
- 31) FTXR
- 32) DWAC
- 33) RCOM
- 34) PFV
- 35) USMR
- 36) CWS
- 37) PSC
- 38) FLLV
- 39) FCEF
- 40) MCEF
- 41) TTAC
- 42) OILK
- 43) KOR
- 44) VRIG

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

Very truly yours,



James G. Buckley  
Chief Regulatory Officer

Enclosures