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

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FORM 19b-4(e) OCT 18 2017

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:
Chicago 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:
Ownership of the Trust
- 4. Name of Underlying Instrument:
Principal U.S. Mega-Cap Multi-Factor ETF
- 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:
USMC
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Various
- 8. Settlement Methodology of New Derivative Securities Product:
See Prospectus
- 9. Position Limits of New Derivative Securities Product (if applicable):
See Prospectus

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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: | Michael J. Cardin | Act | Securities Exchange Act of 1934 |
| Title: | Director Member Regulation Department | Section | 19b-4 |
| Telephone Number: | 312-663-2204 | Rule | 19b-4(e) |
| Manual Signature of Official Responsible for Form: | <i>Michael J. Cardin</i> | Public | |
| Date: | October 16, 2017 | Availability: | OCT 18 2017 |



SEC MAIL PROCESSING
Received

October 16, 2017

OCT 18 2017

By UPS

WASH, D.C.

Claudette Ransom
Division of Trading and Markets
Securities and Exchange Commission
100 F Street NE – Stop 7010
Washington, DC 20549

SEC MAIL PROCESSING
Received

OCT 18 2017

WASH, D.C.

Re: Form 19b-4(e) for exchange traded product

Dear Ms. Ransom:

Pursuant to Rule 19b-4(e) of the Securities Exchange Act of 1934, I enclose for filing an original and four copies of the Form 19b-4(e) relating to the following exchange traded product:

| | |
|------|--|
| USMC | Principal U.S. Mega-Cap Multi-Factor ETF |
|------|--|

If you have any questions about this filing, please contact the undersigned at (312) 663-2204 or Kevin Curtin at (312) 663-2252.

Sincerely,

Michael J. Cardin
Director
Member Regulation Department

Enclosures

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