091-23641ph

| Sec File No. 9-   |  | Submit 1 Original<br>and 9 Copies<br>UNITED STATES | OMB Number: 3235-0504<br>Expires: August 31, 2013<br>Estimated average burden |  |
|---|--|--|---|--|
| SEC MATRICON ONL SECURITIES AND EXCHANGE COM  |  | SECURITIES AND EXCHANGE COMMISS                    |   |  |
|   | OCT 03LU.  | Washington, D.C. 20549                             | 그는 그 말 아파 아파 아파 가 가 가 봐.  |  |
|   | GH, D.C.   | FORM 19b-4(e)                                      |   |  |
| WAD. FORM 130-4(C)  |  |  |   |  |
| 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  |  |  |   |  |
| berranve Securities i roduct i arsdant to Kule 175-4(c) onder the Securities Exchange Act of 1764   |  |  |   |  |
| READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM  |  |  |   |  |
| Part I  |  | Initial Listing Report                             |   |  |
| 1.  | Chicago Stock Exchange, Inc.   |  |   |  |
| 2.  | Type of Issuer of New Derivative Securities Product ( <u>e.g.</u> , clearinghouse, broker-dealer, corporation, etc.):<br>Trust |  |   |  |
| 3.  | Class of New Derivative Sec<br>Ownership of the Trus   | t  | SE O EO   |  |
| 4.  | Name of Underlying Instrum   |  |   |  |
| Anfield Capital Diversified Alternatives ETF  |  |  |   |  |
| 5.  | Narrow-Based   |  |   |  |
| 6.  | Ticker Symbol(s) of New De   | rivative Securities Product:                       | ~   |  |
|   | DALT   |  |   |  |
| 7.  | Market or Markets Upon Wh  | ich Securities Comprising Underlying Instrume      | nt Trades:  |  |
| 8.  |  | New Derivative Securities Product:                 |   |  |
| 0.  | See Prospectus   |  |   |  |
| 9.  | Position Limits of New Derivative Securities Product (if applicable):  |  |   |  |
|   | See Prospectus   |  | 17019455  |  |
| 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 Michael J. Cardin   |  |  |   |  |
|   | Director   | Property   |   |  |
|   | Member Regulation De   | partment   | Securities Exchange Act of 1934   |  |
| Telephone Number:<br>312-663-2204   |  |  | 19b-4   |  |
| Manual Signature of Official Responsible for Form:<br>Manual Signature of Official Responsible for Form:<br>Manual Signature of Official Responsible for Form:<br>Manual Signature of Official Responsible for Form:<br>Public<br>Availability:<br>OCT 3 - 2017   |  |  |   |  |
| Date:   | October 2, 2017  |  |   |  |

Y

1



SEC / TM

SEC MAIL PROCES

OCT 032047C / TA

WASH, D.C.

October 2, 2017

**By UPS** 

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

## 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:

DALT Anfield Capital Diversified Alternatives 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,

ardin

Michael J. Cardin Director Member Regulation Department

Enclosures