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OMB Number: 3235-0504 Expires: August 31, 2010 Estimated average burden hours per response.....3.60

### **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

## READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

### Part I

### **Initial Listing Report**

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdaq 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:

Bloomberg Barclays U.S. Corporate Bond Index

- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: RACRIN COID **Broad-based**
- 6. Ticker Symbol(s) of New Derivative Securities Product:
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: OTC
- 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (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

#### **Assistant Corporate Secretary**

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for Form

17019486

Date: November 27, 2017

Act

Securities Exchange Act of 1934

Section Rule

196-4

Public

Availability:

NOV 29 2017

SEC 2449 (6-01)