

Edgar Filing: SPDR SERIES TRUST - Form SC 13G

SPDR SERIES TRUST  
Form SC 13G  
August 08, 2018

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

SCHEDULE 13G

Under the Securities Exchange Act of 1934  
(Amendment No. )\*

SPDR S&P RETAIL ETF  
(Name of Issuer)

Common Stock  
(Title of Class of Securities)

78464A714  
(CUSIP Number)

31-July-18  
(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this  
Schedule is filed:

Rule 13d-1(b)  
 Rule 13d-1(c)  
 Rule 13d-1(d)

\*The remainder of this cover page shall be filled out for a reporting  
person's initial filing on this form with respect to the subject class  
of securities, and for any subsequent amendment containing information  
which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not  
be deemed to be 'filed' for the purpose of Section 18 of the Securities  
Exchange Act of 1934 ('Act') or otherwise subject to the liabilities of  
that section of the Act but shall be subject to all other provisions of  
the Act (however, see the Notes).

CUSIP No. 78464A714

-----  
1. Names of Reporting Persons.

Barclays PLC

-----  
2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a)   
(b)

-----  
3. SEC Use Only

-----  
4. Citizenship or Place of Organization

England, United Kingdom

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Number of  
Shares  
Beneficially  
Owned by Each  
Reporting  
Person With:

5. Sole Voting Power  
-2,115,088-  
-----  
6. Shared Voting Power  
-0-  
-----  
7. Sole Dispositive Power  
-2,115,088-  
-----  
8. Shared Dispositive Power  
-0-

-----  
9. Aggregate Amount Beneficially Owned by Each Reporting Person

-2,115,088-  
-----

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions) [ ]

-----  
11. Percent of Class Represented by Amount in Row (9)

16.58%  
-----

12. Type of Reporting Person (See Instructions)

HC  
-----

CUSIP No. 78464A714  
-----

1. Names of Reporting Persons.

Barclays Capital Inc.  
-----

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) [ ]  
(b) [ ]  
-----

3. SEC Use Only  
-----

4. Citizenship or Place of Organization

Connecticut, United States  
-----

Number of  
Shares  
Beneficially  
Owned by Each  
Reporting  
Person With:

5. Sole Voting Power  
-2,115,088-  
-----  
6. Shared Voting Power  
-0-  
-----  
7. Sole Dispositive Power  
-2,115,088-  
-----

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8. Shared Dispositive Power

-0-

-----  
9. Aggregate Amount Beneficially Owned by Each Reporting Person

-2,115,088-

-----  
10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares  
(See Instructions) [ ]

-----  
11. Percent of Class Represented by Amount in Row (9)

16.58%

-----  
12. Type of Reporting Person (See Instructions)

BD  
-----

-----  
Item 1.

(a) Name of Issuer:

SPDR S&P RETAIL ETF

(b) Address of Issuer's Principal Executive Offices:

ONE LINCOLN STREET CPH0326  
BOSTON MA 02111  
-----  
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Item 2.

(a) Name of Person Filing:

- (1) Barclays PLC
- (2) Barclays Capital Inc.

(b) Address of Principal Business Office or, if none, Residence:

(1) Barclays PLC  
1 Churchill Place,  
London, E14 5HP, England

(2) Barclays Capital Inc.  
745 Seventh Avenue  
New York, NY 10019

(c) Citizenship:

- (1) Barclays PLC: England, United Kingdom
- (2) Barclays Capital Inc.: Connecticut, United States

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(d) Title of Class of Securities: Common Stock

(e) CUSIP Number: 78464A714

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Item 3. If this statement is filed pursuant to Sub-Section 240.13d-1  
(b) or 240.13d-2(b)  
or (c), check whether the person filing is a:

- (a)  Broker or dealer registered under section 15 of  
the Act (15 U.S.C. 78o);
- (b)  Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);
- (c)  Insurance company as defined in section 3(a)(19) of the  
Act (15 U.S.C. 78c);
- (d)  Investment company registered under section 8 of the Investment  
Company Act of 1940 (15 U.S.C. 80a-8);
- (e)  An investment adviser in accordance with  
Sub-Section 240.13d-1(b)(1)(ii)(E);
- (f)  An employee benefit plan or endowment fund in accordance with  
Sub-Section 240.13d-1(b)(1)(ii)(F);
- (g)  A parent holding company or control person in accordance with  
Sub-Section 240.13d-1(b)(1)(ii)(G);
- (h)  A savings association as defined in Section 3(b) of the  
Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i)  A church plan that is excluded from the definition of an  
investment company under section 3(c)(14) of the Investment  
Company Act of 1940 (15 U.S.C. 80a-3);
- (j)  A non-U.S. institution that is the functional equivalent  
of any of the institutions listed in  
Rule 240.13d-1 (b)(1)(ii)(A) through (I);
- (k)  Group, in accordance with Sub-Section 240.13d-1(b)(1)(ii)(J).

-----  
Item 4. Ownership.

Provide the following information regarding the  
aggregate number and percentage of the class of securities  
of the issuer identified in Item 1.

- (a) Amount beneficially owned:  
See the response(s) to Item 9 on the attached cover page(s).
- (b) Percent of class:  
See the response(s) to Item 11 on the attached cover page(s).
- (c) Number of shares as to which the person has:
  - (i) Sole power to vote or to direct the vote:  
See the response(s) to Item 5 on the  
attached cover page(s).
  - (ii) Shared power to vote or to direct the vote:  
See the response(s) to Item 6 on the  
attached cover page(s).
  - (iii) Sole power to dispose or to direct the  
disposition of:  
See the response(s) to Item 7 on the  
attached cover page(s).

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- (iv) Shared power to dispose or to direct the disposition of:  
See the response(s) to Item 8 on the attached cover page(s).

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Item 5. Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following

[ ]  
-----

Item 6. Ownership of More than Five Percent on Behalf of Another Person.

Not Applicable.  
-----

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company.

See Exhibit A.  
-----

Item 8. Identification and Classification of Members of the Group.

Not Applicable.  
-----

Item 9. Notice of Dissolution of Group.

Not Applicable.  
-----

Item 10. Certification.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the

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information set forth in this statement is true,  
complete and correct.

Dated: August 8, 2018

By : David Henderson

Title: Director

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INDEX TO EXHIBITS

Exhibit A           Item 7 Information  
Exhibit B           Joint Filing Agreement

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EXHIBIT A

The securities being reported on by Barclays PLC,  
as a parent holding company,  
are owned, or may be deemed to be beneficially owned,  
by Barclays Capital Inc.,  
a broker or dealer registered under Section 15 of the Act.  
Barclays Capital Inc. is a wholly-owned  
subsidiary of Barclays PLC.

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EXHIBIT B

JOINT FILING AGREEMENT

The undersigned hereby agree that the Statement on Schedule 13G filed  
herewith (and any amendments thereto), is being filed jointly with the  
Securities and Exchange Commission pursuant to  
Rule 13d-1(k) (1) under the Securities Exchange Act of 1934,  
as amended, on behalf of each such person.

Dated: August 8, 2018

BARCLAYS PLC

By:

Name: David Henderson

Title: Director

Barclays Capital Inc.

By:

Name: David Henderson

Title: Director