Edgar Filing: POWERSHARES EXCHANGE TRADED FUND TRUST - Form SC 13G/A

POWERSHARES EXCHANGE TRADED FUND TRUST Form SC 13G/A October 11, 2016

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

# **SCHEDULE 13G**

**Under the Securities Exchange Act of 1934** 

(Amendment No. 1)\*

PowerShares DWA Utilities Momentum Portfolio
(Name of Issuer)
Exchange Traded Fund
(Title of Class of Securities)
73935X591
(CUSIP Number)
September 30, 2016
(Date of Event Which Requires Filing of this Statement) appropriate box to designate the rule pursuant to which this Schedule is filed:

[X] Rule 13d-1(b)

[] Rule 13d-1(c)

Check the

[] Rule 13d-1(d)

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 (the "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.)

<sup>\*</sup> 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.

CUSIP 73935X591

1. NAMES OF REPORTING PERSONS
I.R.S. IDENTIFICATION NO. OF ABOVE
PERSONS (ENTITIES ONLY)

Invesco Ltd. 98-0557567

2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a) [] (b) []

- 3. SEC USE ONLY
- 4. CITIZENSHIP OR PLACE OF ORGANIZATION

5 SOLE VOTING

Bermuda

NUMBER OF	POWER	1,443,282
SHARES		
BENEFICIALLY	6. SHARED VOTING	0
OWNED BY EACH	POWER	U
REPORTING		
PERSON WITH	7. SOLE DISPOSITIVE	1,443,282
	POWER	1,113,202
	8. SHARED	0
	DISPOSITIVE POWER	-

9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

1,443,282

10. CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES

[]

11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

23.1%

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12. TYPE OF REPORTING PERSON

HC, IA

(Amendment No. 1 )\*

# Item 1.

(a) Name of Issuer

PowerShares DWA Utilities Momentum Portfolio

(b) Address of Issuer's Principal Executive Offices

Invesco PowerShares Capital Mgmt LLC, 3500 Lacey Road, Suite 700, Downers Grove IL 60515

#### Item 2.

(a) Name of Person Filing

Invesco Ltd. ("Invesco Ltd.")

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

1555 Peachtree Street NE, Suite 1800, Atlanta GA 30309

(c) Citizenship

Bermuda

(d) Title of Class of Securities

**Exchange Traded Fund** 

(e) CUSIP Number

73935X591

(j)

[]

Item 3.	If This Statement is Filed Pursuant to Rule 13d-1(b), or 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. 780).
(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)	[X]	An investment adviser in accordance with Rule 240.13d-1(b)(1)(ii)(E);
(f)	[]	An employee benefit plan or endowment fund in accordance with Rule 240.13d-1(b)(1)(ii)(F);
(g)	[X]	A parent holding company or control person in accordance with Rule 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);

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Group, in accordance with Rule 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:

Invesco Ltd., in its capacity as investment adviser, may be deemed to beneficially own 1,443,282 shares of the Issuer which are held of record by clients of Invesco Ltd...

(b) Percent of Class:

23.1%

(c) Number of shares as to which such person has:

(i) sole power to vote or to direct the vote 1,443,282

(ii) shared power to vote or to direct the vote 0

(iii) sole power to dispose or to direct the disposition of 1,443,282

(iv) shared power to dispose or to direct the disposition of 0

# Item 5. Ownership of Five Percent or Less of 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.

Invesco PowerShares Capital Management LLC is a subsidiary of Invesco Ltd. and it advises the PowerShares DWA Tactical Sector Rotation Portfolio which owns 23.09% of the security reported herein. However, no one individual has greater than 5% economic ownership. The shareholders of the Fund have the right to receive or the power to direct the receipt of dividends and proceeds from the sale of securities listed above.

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

Invesco PowerShares Capital Management LLC

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

Not Applicable. This schedule is not being filed pursuant to Rule 13d-1(b)(1)(ii)(J) or Rule 13d-1(d).

# 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

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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.

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# **SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Invesco Ltd.

By: <u>/s/ Nancy Tomassone</u>
Date: October 11, 2016
Name: Nancy Tomassone

Title: Global Assurance Officer

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