

D91-18689 T.W

For Internal Use Only

Sec File No. 9-

Submit 1 Original
and 9 Copies



12080068

OVAL
3235-0504
1st 31, 2013
burden
e.....3.60

RECEIVED
2012 OCT 23 PM 8:35
SEC / MR

UNITED STATES
SECURITIES AND EXCHANGE COMMI.
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

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:
Chicago Stock Exchange
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
Trust
- Class of New Derivative Securities Product:
Ownership of the Trust
- Name of Underlying Instrument:
First Trust Latin America AlphaDEX ETF
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Narrow-Based
- Ticker Symbol(s) of New Derivative Securities Product:
FLN
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Various
- Settlement Methodology of New Derivative Securities Product:
See Prospectus
- Position Limits of New Derivative Securities Product (if applicable):
See Prospectus

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:
Steven I. Givot

Title: Vice-President - Strategy and Product Management

Telephone Number: (312) 663-2261

Manual Signature of Official Responsible for Form: *Steven I. Givot*

Date: October 22, 2012

| | |
|----------------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public Availability: | OCT 23 2012 |



Chicago Stock Exchange

October 22, 2012

RECEIVED
2012 OCT 23 PM 7:34
SEC / MR

By Federal Express

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
100 F Street NE – Stop 7010
Washington, DC 20549

Re: Forms 19b-4(e) for various ETFs

Dear Ms. Jackson:

Pursuant to Rule 19b-4(e) of the Securities Exchange Act of 1934, I enclose for filing an original and nine copies of the Forms 19b-4(e) relating to the following ETFs:

| Name | Symbol |
|---|--------|
| DBX MSCI Brazil Currency-Hedged Equity Fund ETF | DBBR |
| DBX MSCI Canada Currency-Hedged Equity Fund ETF | DBCN |
| DBX MSCI EAFE Currency-Hedged Equity Fund ETF | DBEF |
| DBX MSCI Emerging Markets Currency-Hedged Equity Fund ETF | DBEM |
| DBX MSCI Japan Currency-Hedged Equity Fund ETF | DBJP |
| Direxion Daily 20+ Year Treasury Bear 1x Shares ETF | TYNS |
| Direxion Daily 7-10 Year Treasury Bear 1x Shares ETF | TYBS |
| Direxion Daily Gold Miners Bear 2x Shares ETF | DUST |
| Direxion Daily Gold Miners Bull 2x Shares ETF | NUGT |
| Direxion Daily India Bull 2x Shares ETF | INDL |
| Direxion Daily Latin America 3x Bull Shares ETF | LBJ |
| Direxion Daily Retail Bull 2x Shares ETF | |
| Direxion Daily Semiconductor Bear 2x Shares ETF | |
| Direxion Daily Semiconductor Bull 2x Shares ETF | |
| Direxion Total Bond Market Bear 1x Shares ETF | |
| EGShares Basic Materials GEMS ETF | |
| EGShares Brazil Infrastructure ETF | |

| | |
|----------------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public Availability: | OCT 23 2012 |
| | SOXS SOXL SAGG BRXX |

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 2 of 9

| | |
|--|------|
| EGShares China Infrastructure ETF | CHXX |
| EGShares Consumer Goods GEMS ETF | GGEM |
| EGShares Consumer Services GEMS ETF | VGEM |
| EGShares Emerging Markets Consumer ETF | ECON |
| EGShares Emerging Markets Metals/Mining ETF | EMT |
| EGShares Health Care GEMS ETF | HGEM |
| EGShares India Infrastructure ETF | INXX |
| EGShares India Small Cap ETF | SCIN |
| EGShares Industrials GEMS ETF | IGEM |
| EGShares Low Volatility Emerging Markets Dividend ETF | HILO |
| EGShares PAX MSCI North America ESG | NASI |
| EGShares Technology GEMS ETF | QGEM |
| EGShares Telecom GEMS ETF | TGEM |
| EGShares Utilities GEMS ETF | UGEM |
| First Trust Asia Pacific Ex-Japan AlphaDEX ETF | FPA |
| First Trust Brazil AlphaDEX ETF | FBZ |
| First Trust China AlphaDEX ETF | FCA |
| First Trust Consumer Discretionary AlphaDEX ETF | FXD |
| First Trust Consumer Staples AlphaDEX ETF | FXG |
| First Trust Developed Markets Ex-US AlphaDEX ETF | FDT |
| First Trust DJ Select MicroCap ETF | FDM |
| First Trust Emerging Markets AlphaDEX ETF | FEM |
| First Trust Energy AlphaDEX Fund ETF | FXN |
| First Trust Europe AlphaDEX ETF | FEP |
| First Trust Financials AlphaDEX ETF | FXO |
| First Trust Health Care AlphaDEX ETF | FXH |
| First Trust Industrials AlphaDEX ETF | FXR |
| First Trust IPOX-100 Index Fund ETF | FPX |
| First Trust ISE Cloud Computing Index Fund ETF | SKYY |
| First Trust ISE Global Engineering and Construction Index Fund ETF | FLM |
| First Trust Japan AlphaDEX ETF | FJP |
| First Trust Large Cap Core AlphaDEX ETF | FEX |
| First Trust Large Cap Growth Opportunities AlphaDEX Fund ETF | FTC |
| First Trust Large Cap Value Opportunities AlphaDEX Fund ETF | FTA |
| First Trust Latin America AlphaDEX ETF | FLN |
| First Trust Materials AlphaDEX Fund ETF | FXZ |
| First Trust Mid Cap Core AlphaDEX ETF | FNX |
| First Trust Mid Cap Growth AlphaDEX ETF | FNY |

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 3 of 9

| | |
|---|------|
| First Trust Mid Cap Value AlphaDEX ETF | FNK |
| First Trust Morningstar ETF | FDL |
| First Trust Multi Cap Growth AlphaDEX ETF | FAD |
| First Trust Multi Cap Value AlphaDEX Fund ETF | FAB |
| First Trust NASDAQ ABA Community Bank Index Fund ETF | QABA |
| First Trust NASDAQ Clean Edge U.S. Liquid Series Index Fund ETF | QCLN |
| First Trust NASDAQ Global Auto ETF | CARZ |
| First Trust NASDAQ-100 Equal Weighted IndexSMFund ETF | QQEW |
| First Trust NASDAQ-100 Ex-Technology Sector Index Fund ETF | QQXT |
| First Trust NASDAQ-100-Technology Sector Index Fund ETF | QTEC |
| First Trust S&P REIT Index Fund ETF | FRI |
| First Trust Small Cap Core AlphaDEX ETF | FYX |
| First Trust Small Cap Growth AlphaDEX ETF | FYC |
| First Trust Small Cap Value AlphaDEX ETF | FYT |
| First Trust South Korea AlphaDEX ETF | FKO |
| First Trust Technology AlphaDEX ETF | FXL |
| First Trust Utilities AlphaDEX Fund ETF | FXU |
| Global X Brazil Consumer ETF | BRAQ |
| Global X Brazil Financials ETF | BRAF |
| Global X Brazil Mid Cap ETF | BRAZ |
| Global X China Consumer ETF | CHIQ |
| Global X China Energy ETF | CHIE |
| Global X China Financials ETF | CHIX |
| Global X China Industrials ETF | CHII |
| Global X China Materials ETF | CHIM |
| Global X Columbia 20 ETF | GXG |
| Global X Copper Miners ETF | COPX |
| Global X Fertilizers/Potash ETF | SOIL |
| Global X FTSE Argentina 20 ETF | ARGT |
| Global X FTSE Nordic Region ETF | GXF |
| Global X Gold Miners ETF | GGGG |
| Global X NASDAQ China Technology ETF | QQQC |
| Global X Silver Miners ETF | SIL |
| Global X Social Media Index ETF | SOCL |
| Global X Top Guru Holdings Index ETF | GURU |
| Guggenheim BulletShares 2012 Corporate Bond ETF | BSCC |
| Guggenheim BulletShares 2012 High Yield Corporate Bond ETF | BSJC |
| Guggenheim BulletShares 2013 Corporate Bond ETF | BSCD |

| | |
|--|------|
| Guggenheim BulletShares 2013 High Yield Corporate Bond ETF | BSJD |
| Guggenheim BulletShares 2014 Corporate Bond ETF | BSCE |
| Guggenheim BulletShares 2014 High Yield Corporate Bond ETF | BSJE |
| Guggenheim BulletShares 2015 Corporate Bond ETF | BSCF |
| Guggenheim BulletShares 2015 High Yield Corporate Bond ETF | BSJF |
| Guggenheim BulletShares 2016 Corporate Bond ETF | BSCG |
| Guggenheim BulletShares 2017 Corporate Bond ETF | BSCH |
| Guggenheim China All-Cap ETF | YAO |
| Guggenheim China Technology ETF | CQQQ |
| Guggenheim Enhanced Ultra-Short Bond ETF | GSY |
| Guggenheim MSCI EAFE Equal Weight ETF | EWEF |
| Guggenheim MSCI Emerging Markets Equal Weight ETF | EWEM |
| Guggenheim Russell 1000® Equal Weight ETF | EWRI |
| Guggenheim Russell 2000® Equal Weight ETF | EWRS |
| Guggenheim Russell MidCap® Equal Weight ETF | EWRM |
| Guggenheim Shipping ETF | SEA |
| IndexIQ ARB Global Resources ETF | GRES |
| IndexIQ ARB Merger Arbitrage ETF | MNA |
| IndexIQ Australia Small Cap ETF | KROO |
| IndexIQ Canada Small Cap ETF | CNDA |
| IndexIQ Global Agribusiness Small Cap ETF | CROP |
| IndexIQ Global Oil Small Cap ETF | IOIL |
| IndexIQ Hedge Macro Tracker ETF | MCRO |
| iShares Asia/Pacific Dividend 30 ETF | DVYA |
| iShares B - Ca Rated Corporate Bond ETF | QLTC |
| iShares Baa - Ba Rated Corporate Bd ETF | QLTB |
| iShares Barclays U.S. Treasury Bond ETF | GOVT |
| iShares Dow Jones International Select Dividend ETF | IDV |
| iShares Emerging Markets Dividend ETF | DVYE |
| iShares FTSE Developed Small Cap ex-North America Index Fund ETF | IFSM |
| iShares FTSE EPRA/NAREIT Asia Index Fund ETF | IFAS |
| iShares FTSE EPRA/NAREIT Europe Index Fund ETF | IFEU |
| iShares FTSE EPRA/NAREIT Global Real Estate ex-U.S. Index Fund ETF | IFGL |
| iShares FTSE EPRS/NAREIT North America Index Fund | IFNA |
| iShares FTSE NAREIT Mortgage REITs Index Fund ETF | REM |
| iShares FTSE NAREIT Real Estate 50 Index Fund ETF | FTY |
| iShares FTSE NAREIT Residential Index Fund ETF | REZ |
| iShares FTSE NAREIT Retail Index Fund ETF | RTL |

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 5 of 9

| | |
|---|------|
| iShares High Dividend Equity ETF | HDV |
| iShares Morningstar Multi-Asset Income ETF | IYLD |
| iShares MSCI AC Asia ex Japan Small Cap | AXJS |
| iShares MSCI ACWI ex US Consumer Discretionary Sector Index Fund (AXDI) ETF | AXDI |
| iShares MSCI ACWI ex US Consumer Staples Sector Index Fund (AXSL) ETF | AXSL |
| iShares MSCI ACWI ex US Energy Sector Index Fund (AXEN) ETF | AXEN |
| iShares MSCI ACWI ex US Financials Sector Index Fund ETF | AXFN |
| iShares MSCI ACWI ex US Health Care Sector Index Fund (AXHE) ETF | AXHE |
| iShares MSCI ACWI ex US Industrials Sector Index Fund (AXID) ETF | AXID |
| iShares MSCI ACWI ex US Information Technology Sector Index Fund (AXIT) ETF | AXIT |
| iShares MSCI ACWI ex US Materials Sector Index Fund (AXMT) ETF | AXMT |
| iShares MSCI ACWI ex US Telecommunication Services Sector Index Fund (AXTE) ETF | AXTE |
| iShares MSCI ACWI ex US Utilities Sector Index Fund (AXUT) ETF | AXUT |
| iShares MSCI All Country World Min Vol | ACWV |
| iShares MSCI All Peru Capped Index Fund ETF | EPU |
| iShares MSCI Australia Small Cap | EWAS |
| iShares MSCI Canada Small Cap Index Fund | EWCS |
| iShares MSCI China ETF | MCHI |
| iShares MSCI Denmark Cppd Investable Mkt | EDEN |
| iShares MSCI Emerging Markets Asia ETF | EEMA |
| iShares MSCI Emerging Markets Consumer Discretionary Sector Index ETF | EMDI |
| iShares MSCI Emerging Markets Eastern Europe Index Fund ETF | ESR |
| iShares MSCI Emerging Markets Energy Sector Capped Index ETF | EMEV |
| iShares MSCI Emerging Markets Financials Sector Index Fund ETF | EMFN |
| iShares MSCI Emerging Markets Growth Index ETF | EGRW |
| iShares MSCI Emerging Markets Materials Sector Index Fund ETF | EMMT |
| iShares MSCI Emerging Markets Minimum Volatility Index Fund ETF | EEMV |
| iShares MSCI Emerging Markets Small Cap Index Fund ETF | EEMS |
| iShares MSCI Emerging Markets Value Index ETF | EVAL |
| iShares MSCI Europe Financials Sector Index Fund ETF | EUFN |
| iShares MSCI Far East Financials Sector Index Fund ETF | FEFN |
| iShares MSCI Finland Capped Inv Mkt | EFNL |
| iShares MSCI Germany Small Cap | EWGS |
| iShares MSCI Global Agriculture Producers Fund ETF | VEGI |
| iShares MSCI Global Energy Producers Fund ETF | FILL |
| iShares MSCI Global Gold Miners Fund ETF | RING |
| iShares MSCI Global Select Metals & Mining Producers Fund ETF | PICK |

| | |
|--|------|
| iShares MSCI Global Silver Miners Fund ETF | SLVP |
| iShares MSCI India Index ETF | INDA |
| iShares MSCI India Small Cap ETF | SMIN |
| iShares MSCI Indonesia Investable Market Index Fund ETF | EIDO |
| iShares MSCI Ireland Capped Investable Market Index Fund ETF | EIRL |
| iShares MSCI Japan Sm Cap ETF | SCJ |
| iShares MSCI New Zealand Investable Market Index Fund (ENZL) ETF | ENZL |
| iShares MSCI Norway Capped Investable Mkt | ENOR |
| iShares MSCI Poland Investable Market Index Fund ETF | EPOL |
| iShares MSCI United Kingdom Small Cap | EWUS |
| iShares MSCI USA Index Fund ETF | EUSA |
| iShares MSCI USA Minimum Volatility Index Fund ETF | USMV |
| iShares S&P Developers Ex-US Property Index ETF | WPS |
| iShares S&P Emerging Markets Infrastructure Index Fund ETF | EMIF |
| iShares S&P India Nifty 50 Index Fund ETF | INDY |
| Market Vector Colombia ETF | COLX |
| Market Vectors Egypt Index ETF | EGPT |
| Market Vectors Germany Small-Cap ETF | GERJ |
| Market Vectors Indonesia Small-Cap ETF | IDXJ |
| Market Vectors Latin America Small-Cap Index ETF | LATM |
| Market Vectors Poland ETF | PLND |
| Market Vectors Unconventional Oil&Gas ETF | FRAK |
| Market Vectors Vietnam ETF | VNM |
| PIMCO 1-3 Year U.S. Treasury Index Fund ETF | TUZ |
| PIMCO 3-7 Year U.S. Treasury Index Fund ETF | FIVZ |
| PIMCO Enhanced Short Maturity Strategy Fund ETF | MINT |
| PowerShares DWA Developed Market Technical Leaders Portfolio ETF | PIZ |
| PowerShares DWA Emerging Market Technical Leaders Portfolio ETF | PIE |
| PowerShares DWA Technical Leaders Portfolio ETF | PDP |
| PowerShares FTSE RAFI Asia Pacific ex-Japan Portfolio ETF | PAF |
| PowerShares FTSE RAFI Developed Markets ex-U.S. Portfolio ETF | PXF |
| PowerShares FTSE RAFI US 1500 Small-Mid Portfolio ETF | PRFZ |
| PowerShares Global Wind Energy Portfolio ETF | PWND |
| PowerShares KBW High Dividend Yield Financial Portfolio ETF | KBWD |
| PowerShares KBW International Financial Portfolio ETF | KBWX |
| PowerShares KBW Premium Yield Equity REIT Portfolio ETF | KBWY |
| PowerShares KBW Property & Casualty Insurance Portfolio ETF | KBWP |

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 7 of 9

| | |
|---|------|
| PowerShares Nasdaq Internet Portfolio ETF | PNQI |
| PowerShares S&P Emerging MktsHigh Beta ETF | EEHB |
| PowerShares S&P Emerging Markets Low Vol | EELV |
| PowerShares S&P International Dev High Beta ETF | IDHB |
| PowerShares S&P SmallCap Consumer Discretionary Portfolio ETF | PSCD |
| PowerShares S&P SmallCap Consumer Staples Portfolio ETF | PSCC |
| PowerShares S&P SmallCap Energy Portfolio ETF | PSCE |
| PowerShares S&P SmallCap Financials Portfolio ETF | PSCF |
| PowerShares S&P SmallCap Health Care Portfolio ETF | PSCH |
| PowerShares S&P SmallCap Industrials Portfolio ETF | PSCI |
| PowerShares S&P SmallCap Information Technology ETF | PSCT |
| PowerShares S&P SmallCap Materials Portfolio ETF | PSCM |
| PowerShares S&P SmallCap Utilities Portfolio ETF | PSCU |
| ProShares Short 20+ Year Treasury ETF | TBF |
| ProShares Short Basic Materials ETF | SBM |
| ProShares Short FTSE China 25 | YXI |
| ProShares Short High Yield ETF | SJB |
| ProShares Short KBW Regional Banking ETF | KRS |
| ProShares Short Real Estate ETF | REK |
| ProShares Short VIX Short-Term Futures ETF | SVXY |
| ProShares Ultra 20+ Year Treasury ETF | UBT |
| ProShares Ultra 7-10 Year Treasury ETF | UST |
| ProShares Ultra KBW Regional Banking ETF | KRU |
| ProShares Ultra MSCI Brazil ETF | UBR |
| ProShares Ultra MSCI Europe ETF | UPV |
| ProShares Ultra MSCI Mexico Investable Market ETF | UMX |
| ProShares Ultra MSCI Pacific ex-Japan ETF | UXJ |
| ProShares Ultra Russell 3000 ETF | UWC |
| ProShares Ultra VIX Short-Term Futures ETF | UVXY |
| ProShares UltraPro Short 20+ Year Treasury | TTT |
| ProShares UltraShort Russell 3000 ETF | TWQ |
| RusselETF Low P/E ETF | LWPE |
| Schwab Intermediate-Term U.S. Treasury ETF | SCHR |
| Schwab International Equity ETF | SCHF |
| Schwab Short-Term U.S. Treasury ETF | SCHO |
| Schwab U.S. Broad Market ETF | SCHB |
| Schwab U.S. Dividend Equity ETF | SCHD |
| Schwab U.S. Large-Cap ETF | SCHX |

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 8 of 9

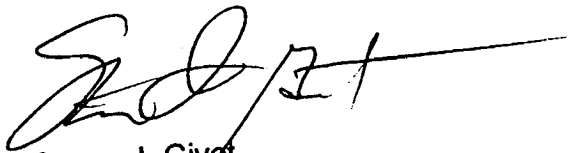
Schwab U.S. Large-Cap Growth ETF
Schwab U.S. Large-Cap Value ETF
Schwab U.S. Small-Cap ETF
Schwab U.S. TIPS
SPDR Barclays Capital Short Term Corporate Bond ETF
SPDR S&P Global Natural Resources ETF
SPDR S&P Healthcare Equipment ETF
SPDR S&P Mortgage Finance ETF
SPDR S&P Telecom ETF
SPDR S&P Transportation ETF
Vanguard FTSE All-World ex-US Small-Cap ETF
Vanguard Intermediate-Term Corporate Bond ETF
Vanguard Intermediate-Term Government Bond ETF
Vanguard Long-Term Corporate Bond ETF
Vanguard Long-Term Government Bond ETF
Vanguard Mortgage Backed Securities ETF
Vanguard Short-Term Corporate Bond ETF
Vanguard Short-Term Government Bond ETF
WisdomTree DEFA Equity Income Fund ETF
WisdomTree DEFA Fund ETF
WisdomTree Earnings 500 Fund ETF
WisdomTree Europe SmallCap Dividend Fund ETF
WisdomTree Global ex-U.S. Growth Fund ETF
WisdomTree Global ex-U.S. Real Estate Fund ETF
WisdomTree High-Yielding Equity Fund ETF
WisdomTree International Dividend Top 100 Fund ETF
WisdomTree International Hedged Equity Fund ETF
WisdomTree International LargeCap Dividend Fund ETF
WisdomTree International MidCap Dividend Fund ETF
WisdomTree International SmallCap Fund ETF
WisdomTree Japan SmallCap Fund ETF
WisdomTree Japan Total Dividend Fund ETF
WisdomTree LargeCap Value Fund ETF
WisdomTree MidCap Earnings Fund ETF
WisdomTree SmallCap Earnings Fund ETF
WisdomTree Total Dividend Fund ETF
WisdomTree Total Earnings Fund ETF

SCHG
SCHV
SCHA
SCHP
SCPB
GNR
XHE
KME
XTL
XTN
VSS
VCIT
VGIT
VCLT
VGLT
VMBS
VCSH
VGSH
DTH
DWM
EPS
DFE
DNL
DRW
DHS
DOO
HEDJ
DOL
DIM
DLS
DFJ
DXJ
EZY
EZM
EES
DTD
EXT

Ms. Gayle S. Jackson
Division of Trading and Markets
Securities and Exchange Commission
October 22, 2012
Page 9 of 9

If you have any questions about this filing, please contact me at (312) 663-2261.

Sincerely,

A handwritten signature in black ink, appearing to read "S. Givot", with a long horizontal line extending to the right.

Steven I. Givot
Vice President – Strategy and Product Management

Enclosures