| SEP 4 / U13 hours per response3.60 Nursion of momental endingeneration of the securities of the securities ending a new securities of the securities ending a new securities ending to the securities exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report 13035259 The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges) 2 Class 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. Autor of Underlying Instrument: Dow Jones-UBS Roll Select Commodity Index Total Return Ow Dore-UBS Roll Select Commodity Index Total Return Owner-Waters Upon Which Securities Product: CMD Numerication Listing Report 13035259 13035259 Class of New Derivative Securities Product: Dow Jones-UBS Roll Select Commodity Index Total Return Owner-UBS Roll Select Commodity Index Tot | | | 091 - 16083 | |
|--|---|--|---|--|
| Information Required of Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Role 19b-4(e) Under the Securities Exchange Act of 193 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Initial Listing Report 100000000000000000000000000000000000 | For Internal Use Only Sec File NAVYEXCHANGE COMMISSION SECURITIES ANY EXCHANGE COMMISSION BECENTED SEP - 4 'LUT'S SEP - 4 'LUT'S | and 9 Copies | OMB Number: 3235-0504 Expires: August 31, 2010 Estimated average burden | |
| Derivative Securities Product Pursuant to Kule 199–1(e) Under the Securities Exchange (contraction of the Securities Product: Instal Listing Report Initial Listing Report Tage of Succession Control Completion Completion Completion Comparison of Comparison Co | DWSION | FORM 19b-4(e) | | |
| READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report I3035259 13035259 I3035259 Part I Initial Listing Report I3035259 13035259 I3035259 2. Type of Issuer of New Derivative Securities Product: I3035259 Copen End Management Investment Company Issuer of New Derivative Securities Product: Issuer of New Derivative Securities Product: A Name of Underlying Instrument: Dow Jones-UBS Roll Select Commodity Index Total Return Imagement Inderlying Instrument: Dow Jones-UBS Roll Select Commodity Index Total Return Imagement Inderlying Instrument: Imagement Inderlying Instrument: Narrow-Based Imagement Index, State Whether it is Broad-Based or Narrow-Based: Imagement Index | 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 | | | |
| Name of Self-Regulatory Organization Listing New Derivative Securities Product: 13035259 17he NASDAQ Stock Market 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: Dow Jones-UBS Roll Select Commodity Index Total Return Tation: Securities Product (if applicable): N/A Part II | | | | |
| | Part I | <u> </u> | 12035259 | |
| 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: Dow Jones-UBS Roll Select Commodity Index Total Return 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based 6. Ticker Symbol(s) of New Derivative Securities Product: CMDT 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: CME Group 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (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 to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) | 1. Name of Self-Regulatory Organization List | ting New Derivative Securities Product: ded pursuant to unlisted trading privileges | | |
| 3. Class of New Derivative Securities Product: Exchange Traded Fund 4. Name of Underlying Instrument: Dow Jones-UBS Roll Select Commodity Index Total Return CMD 7. Market or Markets Upon Which Securities Product: CMDT 7. Market or Markets Upon Which Securities Product (if applicable): Regular way trades settle on T + 3 (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: Date: August 08, 2013 SEC 2449 (6-01) | 2 Type of Issuer of New Derivative Securitie | es Product (e.g., clearinghouse, broker-dealer, cor | poration, etc.): | |
| | 3. Class of New Derivative Securities Produc | | | |
| S. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based C. Ticker Symbol(s) of New Derivative Securities Product: CMDT 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: CME Group 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (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 and varive securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) | 4. Name of Underlying Instrument: Dow Jones-UBS Roll Select Common | dity Index Total Return | | |
| CMDT 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: CME Group 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (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: Joan Conley Title: Secretary Telephone Number: Act Joant Colley Act Securities Exchange Act of 1934 SEC 2449 (6-01) Section | If Underlying Instrument is an Index, State Narrow-based | e Whether it is Broad-Based or Narrow-Based: | | |
| Listed on: CME Group 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (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: Joan Conley Joan Conley Title: Secretary Telephone Number: 301-978-8735 Joan Conley Date: August 08, 2013 Act Securities Exchange Act of 1934 SEC 2449 (6-01) Section 19b-4 Rule Public OFD Act | CMDT | | | |
| 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (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: Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) Sec 2449 (6-01) | Market or Markets Upon Which Securities Listed on: CME Group | Comprising Underlying Instrument Trades: | | |
| 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: Joan Conley Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) | 8 Position Limits of New Derivative Securit | ies Product (if applicable): cash settled) | | |
| Part II 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: Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) Act Securities Exchange Act of 1934 Section 19b-4 Rule 19b-4(c) Public 05D a.l. 0000 | 9. Position Limits of New Derivative Securit | ies Product (if applicable): | | |
| approved, or has duly delegated its approval to the undersigned for, the fisting 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: Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) Act Securities Exchange Act of 1934 Section 19b-4 Rule 19b-4(c) Public OFF. a. J. 2000 | Part II | | | |
| Joan Conley Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) SEC 2449 (6-01) Public OED a.t. 0000 | approved, or has duly delegated its a new derivative securities product access standards. | percural to the undersigned for the listing and tra | | |
| Title: Secretary Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Date: August 08, 2013 SEC 2449 (6-01) SEC 2449 (6-01) Act Section 19b-4 Rule 19b-4(c) Public OED at 4 0000 | | | | |
| Telephone Number: 301-978-8735 Manual Signature of Official Responsible for Form: Image: August 08, 2013 Date: August 08, 2013 Act SEC 2449 (6-01) Section 19b-4 Rule 19b-4 Rule Public 05D o. 1, 0040 | Title: | | | |
| Manual Signature of Official Responsible for Form: //////////////////////////////////// | Telephone Number: | | | |
| SEC 2449 (6-01) Section 19b-4 Public 05D o 4 0040 | | Form: | mm | |
| Rule 19h-4(c) Public 05D o 4 0040 | Date: August 08, 2013 | | Securities Exchange Act of 1934 | |
| | SEC 2449 (6-01) | | | |
| | | | | |

÷