

091-16383 fr

For Internal Use Only

Sec File No. 9-

SECURITIES AND EXCHANGE COMMISSION

RECEIVED

NOV 19 2013

DIVISION OF TRADING & MARKETS

Submit 1 Original and 9 Copies

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

OMB APPROVAL OMB Number: 3235-0504 Expires: August 31, 2010 SEC Mail Processing Section Average burden per response.....3.60

Mail Processing Section

NOV 18 2013

Washington DC

Information Required of a Self-Regulatory Organization Listing and Trading New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM



13035373

Part I Initial Listing Report

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The 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: CSI 300 Index
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Broad-based
6. Ticker Symbol(s) of New Derivative Securities Product: ASHR
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: Shanghai Stock Exchange, Shenzhen
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:

Handwritten signature of Joan Conley

Date: November 08, 2013

SEC 2449 (6-01)

Table with 2 columns: Act (Securities Exchange Act of 1934), Section (19b-4), Rule (19b-4(e)), Public Availability (NOV 19 2013)