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SECURITIES AND EXCHANGE COMMISSION  
**RECEIVED**  
NOV 19 2013  
DIVISION OF TRADING & MARKETS

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

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NOV 18 2013

FORM 19b-4(e)

Washington DC  
404

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

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM



13035379

**Part I Initial Listing Report**

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**NASDAQ OMX PHLX LLC (traded pursuant to unlisted trading privileges)**
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**
- Class of New Derivative Securities Product:  
**Exchange Traded Fund**
- Name of Underlying Instrument:  
**CSI 300 Index**
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Broad-based**
- Ticker Symbol(s) of New Derivative Securities Product:  
**ASHR**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: Shanghai Stock Exchange, Shenzhen**
- Position Limits of New Derivative Securities Product (if applicable):  
**Regular way trades settle on T + 3 (cash settled)**
- 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: **November 08, 2013**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)

SEC 2449 (6-01)

Public Availability: **NOV 19 2013**