

091-110391 for

For Internal Use Only
Sec File No. 9-

Submit 1 Original and 9 Copies

OMB APPROVAL

OMB Number: 3235-0504
Expires: August 31, 2010
Estimated average burden per response.....3.60

SECURITIES AND EXCHANGE COMMISSION

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

SEC Mail Processing Section

NOV 18 2013

RECEIVED

NOV 19 2013

FORM 19b-4(e)

Washington DC

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



13035381

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:
Solactive Next Emerging & Frontier 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:
EMFM
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Bogota, Bovespa, Caracas, Hong Kong, Istanbul Stock Exchange, Johannesburg Stock Exchange, Lima Stock Exchange, London Stock Exchange, Mexican Stock Exchange, NASDAQ Stock Market LLC, NYSE, National Stock Exchange Of India, Philippine Stock Exchange, Santiago Stock Exchange, Warsaw
- 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)

Public Availability: **NOV 19 2013**