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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
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

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

**The NASDAQ Stock Market LLC**

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 Shares under Nasdaq Rule 5704**



23007334

4. Name of Underlying Instrument:

**See Attachment A**

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:

**See Attachment A**

6. Ticker Symbol(s) of New Derivative Securities Product:

**See Attachment A**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

**See Attachment A**

8. Settlement Methodology of New Derivatives Product:

**Regular way trades settle on T + 2 (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:

**Eun Ah Choi**

Title:

**Senior Vice President**

Telephone Number:

**1-301-978-8411**

Manual Signature of Official Responsible for Form:

*Eun Ah Choi*

Date: February 3, 2023

Attachment A

| 4. Name of Underlying Instrument                | 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based | 6. Ticker Symbol(s) of New Derivative Securities Product | 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades |
|---|--|--|--|
| Nasdaq Sprott Energy Transition Materials Index | Broad-Based  | SETM   | Nasdaq, NYSE   |
| Nasdaq Sprott Junior Copper Miners Index        | Broad-Based  | COPJ   | Nasdaq, NYSE   |
| Nasdaq Sprott Junior Uranium Miners Index       | Broad-Based  | URNJ   | Nasdaq, NYSE   |
| Nasdaq Sprott Lithium Miners Index              | Broad-Based  | LITP   | Nasdaq, NYSE   |