

RECEIVED

091-17220fr

For Internal Use Only
Sec File No. 9- SEC / MR
JUN -2 PM 2: 30

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
Estimated average burden
hours per response.....3.60

SEC
Mail Processing
Section

FORM 19b-4(e)

JUN 02 2014

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
Washington DC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM 404

Part I Initial Listing Report



14010546

- 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 500 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:
ASHS
- 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: **May 21, 2014**

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

SEC 2449 (6-01)

Public Availability: **JUN 02 2014**