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Washington DC 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 (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**
- 3. Class of New Derivative Securities Product:

## **Exchange Traded Fund**

4. Name of Underlying Instrument:

Solactive Global Silver Miners Index

5. 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:

**DULL** 

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: Lima Stock Exchange, Mexican Stock Exchange, Moscow, NASDAQ Stock Market LLC, NYSE, Toronto

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:

### Colleen Steele

Assistant Corporate Secretary

Telephone Number:

301-978-8736

Manual Signature of Official

Date: September 19, 2016

Act

Securities Exchange Act of 1934

Section

195-4

Rule

19b-4(e)

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