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

SEC / TM

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:

**CSI Overseas China Internet Index** 

- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-based
- Ticker Symbol(s) of New Derivative Securities Product:

**CWEB** 

- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ Stock Market LLC, OTC
- 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

Name of Official Responsible for Form:

Colleen Steele

Title:

Assistant Corporate Secretary

Telephone Number:

301-978-8736

Manual Signature of Official Res

Date: November 09, 2016

SEC 2449 (6-01)

Act Securities Exchange Act of 1934

Section 195-4 Rule 19b-4(e)

Public

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