

091-068778

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

SECURITIES AND EXCHANGE COMMISSION  
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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:  
**Index Fund Shares**
- 4. Name of Underlying Instrument:  
**First Trust NASDAQ Clean Edge Smart Grid Infrastructure Index Fund**
- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Narrow-based**
- 6. Ticker Symbol(s) of New Derivative Securities Product:  
**GRID**
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: Euronext Paris, London Stock Exchange, NASDAQ Stock Market LLC, NYSE, SWS Swiss, Tokyo Stock Exchange, Toronto, Xetra**
- 8. 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:  
**Gary N. Sundick**  
Title:  
**Vice President, Listing Qualifications**  
Telephone Number:  
**1-301-978-5214**

Manual Signature of Official Responsible for Form:

Date: **November 17, 2009**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public	
Availability:	NOV 23 2009