

091-07400 fm

For Internal Use Only  
Sec File No. 9-

RECEIVED

Submit 1 Original  
and 9 Copies

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

2010 JAN 12 AM 11:19  
SECURITIES AND EXCHANGE COMMISSION

SEC / TM

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

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**Chicago Board Options Exchange**
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Broker-Dealer**
- Class of New Derivative Securities Product:  
**Exchange-Traded Fund**
- Name of Underlying Instrument:  
**Schwab U.S. Small-Cap ETF**
- 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:  
**SCHA**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**NASDAQ/NYSE**
- Settlement Methodology of New Derivative Securities Product:  
**Not Applicable**
- Position Limits of New Derivative Securities Product (if applicable):  
**Not Applicable**

#### 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:

**Angelo Evangelou**

Title:

**Assistant General Counsel**

Telephone Number:

**(312) 786-7464**

Manual Signature of Official Responsible for Form:

Date:

**12/18/2009**

SEC 2449 (6-01)

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JAN 12 2010