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

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## 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** 

| Pa   | nrt I  | Initial Listing Report |                |                |  |
|--|--|------------------------|----------------|----------------|--|
| 1.   | <ul> <li>Name of Self-Regulatory Organization Listing New Derivative Securities Product:<br/>The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)</li> </ul> |                        |                |                |  |
| 2.   | 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc<br>Open End Management Investment Company 10046484                      |                        |                |                |  |
| 3.   | Class of New Derivative Securities Produce<br>Exchange Traded Fund   |                        |                |                |  |
| 4.   | Name of Underlying Instrument:<br>Dow Jones Industrial Average   |                        |                |                |  |
| 5.   | If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:<br>Broad-based  |                        |                |                |  |
| 6.   | Ticker Symbol(s) of New Derivative Secu <b>SDOW</b>  | ties Product:          |                |                |  |
| 7.   | Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:<br>Listed on: NASDAQ Stock Market LLC, NYSE   |                        |                |                |  |
| 8.   | <ul> <li>Position Limits of New Derivative Securities Product (if applicable):</li> <li>Regular way trades settle on T + 3 (cash settled)</li> </ul>                                 |                        |                |                |  |
| <ul> <li>9. Position Limits of New Derivative Securities Product (if applicable):</li> <li>N/A</li> </ul>  |  |                        |                |                |  |
| 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:<br>Gary N. Sundick<br>Title:<br>SECURITIES AND EXCHANGE COMMISSION  |  |                        |                | NCF COMMISSION |  |
| Title: SECURITIES AND EACH |  | VBD                    |                |                |  |
| Telephone Number:<br>1-301-978-5214 FEB 2  |  | 5 2010                 |                |                |  |
| Manual Signature of Official Responsible for Form:   |  |                        | TIMA & MARKETS |                |  |
| Date: February 17, 2010<br>Act Securities Exchange Act of 1934   |  |                        |                |                |  |
| SEC 2449 (6-01)  |  |                        |                |                |  |
|  | Section  | 196-4                  |                |                |  |
|  | Rule<br>Public   | 19b-4(e)               |                |                |  |
|  | Availa   | lity: FEB 2 5 2010     |                |                |  |