For Internal Use Only Sec File No. 9Submit 1 Original and 4 copies

OMB Number: 3235-0504 Expires July 31, 2004 Estimated average burden hours per response. . 2.00

SECURITIES AND EXCHANGE COMMISSION RECEIVED

JUL 2 1 2010

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

DIVISION OF TRADING & MARKETS

AMENDED FORM 19b-4(e)



Information Required of a Self-Regulatory Organization Listing and Trading a New

	chi-Regulatory Organization Listing and Trading a New Act 51024
	uant to Rule 19b-4(e) Under the Securities Exchange Act of 1934
The state of the s	CTIONS PRIOR TO COMPLETING FORM
Part I	Initial Listing Report
. Name of Self-Regulatory Organization Listing N	New Derivative Securities Product:
DGA Exchange, Inc	
. Type of Issuer of New Derivative Securities Pro	duct (e.g., clearinghouse, broker-dealer, corporation, etc.):
irst Trust Advisors	
. Class of New Derivative Securities Product:	
nvestment Company Unit	
. Name of Underlying Instrument:	
GRID: NASDAQ OMX Clean Edge Smart Grid Infrasti	ructure Index; PLTM: ISE Global Platinum Index
. If Underlying Instrument is an Index, State Whe	ther it is Broad-Based or Narrow-based:
he 2 indexes referred to in item 4 above are Narrow-Ba	
. Ticker Symbol(s) of New Derivative Securities 1	Product:
RID, PLTM	
7. Market or Markets Upon Which Securities Com	prising Underlying Instrument Trades:
GRID: US, Germany, Italy, France, Japan; PLTM: Car (Please note, underlying components may to	nada, South Africa, UK, Australia, Russia trade on additional exchanges in countries/regions not mentioned here.)
S. Settlement Methodology of New Derivative Sec	
+3, Physical Settlement	
Position Limits of New Derivative Securities Pro	oduct (if applicable):
ot 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 the above-referenced new derivative securities product according to its relevant trading rule
Name of Official Responsible for Form:	Eric W Hess
itle:	General Counsel
elephone Number:	201-942-8239
Manual Signature of Official Responsible for Form	1: 54
Date:	19-Jul-10

Act	Securities Exchange Act of 1934	
Section	19b-4	
Rule	19b-4(e)	
Public Availability:	JUL 2 1 2010	