091-08-79-3

For Intseconties and exchange commission Sec File No. 9- RECEIVED

Submit 1 Original and 9 Copies

OMB APPROVAL OMB Number: 3235-0504

JUL 20 2010

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Expires: August 31, 2010 Estimated average burden hours per response.....3.60

Washington, D.C. 20549

**DIVISION OF TRADING & MARKETS** 

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

## **Initial Listing Report** Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)

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:

**Exchange Traded Fund** 

4. Name of Underlying Instrument:

Russell 1000 Retail Index

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:

**Broad-based** 

6. Ticker Symbol(s) of New Derivative Securities Product:

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: NASDAQ Stock Market LLC, NYSE, NYSE Amex

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

**Execution** Part II

> 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

Vice President, Listing Qualifications

Telephone Number:

1-301-978-5214

Manual Signature of Official Responsible for Form:

SEC 2449 (6-01)

Securities Exchange Act of 1934 Act Section 195-4 Rule 19b-4(e) Public JUL 20 2010 Availability: