

091-120768

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2011 APR 21 PM 5:18  
SEC/MP

**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:  
**NYSE Arca, Inc.**



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:  
**Investment Company Units**

4. Name of Underlying Instrument:  
**Defined Small Cap Value 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:  
**FYT**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**NASDAQ, NYSE, NYSE Amex**

8. Settlement Methodology of New Derivative Securities Product:  
**Regular way trades settle on T+3/Book entry only held in DTC.**

9. 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:  
**Janet L. McGinness**

Title:  
**Corporate Secretary**

Telephone Number:  
**(212) 656-2039**

Manual Signature of Official Responsible for Form:  
*Janet McGinness*

April 19, 2011

SEC 2449 (1/99)

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	APR 21 2011

Janet L. McGinness  
Corporate Secretary



NYSE Arca, Inc.  
11 Wall Street  
New York, NY 10005

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Via Overnight Mail

April 19, 2011

Ms. Gail Jackson  
US Securities and Exchange Commission  
Division of Trading and Markets  
Station Place – Building I  
100 F Street, N.E. – Room 6628  
Washington, DC 20549

Re: **Form 19b-4(e) – First Trust AlphaDEX® Fund (13 Funds)**

Dear Ms. Jackson:

Enclosed for filing pursuant to Section 19(b) of the Securities Exchange Act of 1934 and Rule 19b-4 thereunder, please find an original and nine copies of Form 19b-4(e) with respect to the following securities:

- First Trust Mid Cap Value AlphaDEX® Fund (FNK)
- First Trust Mid Cap Growth AlphaDEX® Fund (FNY)
- First Trust Small Cap Value AlphaDEX® Fund (FYT)
- First Trust Small Cap Growth AlphaDEX® Fund (FYC)
- First Trust Developed Markets ex-US AlphaDEX® Fund (FDT)
- First Trust Emerging Markets AlphaDEX® Fund (FEM)
- First Trust Europe AlphaDEX® Fund (FEP)
- First Trust Latin America AlphaDEX® Fund (FLN)
- First Trust Asia Pacific ex-Japan AlphaDEX® Fund (FPA)
- First Trust Brazil AlphaDEX® Fund (FBZ)
- First Trust China AlphaDEX® Fund (FCA)
- First Trust South Korea AlphaDEX® Fund (FKO)
- First Trust Japan AlphaDEX® Fund (FJP)

If you have any questions, please do not hesitate to call me at (212) 656-2039.

Sincerely,

Enclosures

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	APR 21 2011