

Listing Application: Exchange Traded Funds

PART I

A. Fund/Trust Information

FIRM/TRUST NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

TELEPHONE _____ FACSIMILE _____ WEBSITE _____

STATE OF INCORPORATION _____ DATE OF INCORPORATION _____

IRS EMPLOYER IDENTIFICATION NUMBER _____

SEC FILE NUMBER _____

STANDARD INDUSTRIAL CLASSIFICATION (SIC) CODE _____

CENTRAL INDEX KEY NUMBER (CIK) _____

Please list the name and full title of the individual to be designated as the Fund Manager/Managing Trustee. Attach a separate sheet if the contact information for this individual differs from the Fund/Trust information provided above.

FUND MANAGER/MANAGING TRUSTEE _____

B. Sponsor Information

FIRM NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

TELEPHONE _____ FACSIMILE _____ WEBSITE _____

Please list the name and full title of the individual(s) to be designated as Sponsor contacts(s) in the following areas. Attach a separate sheet if the contact information for a designated person differs from the Sponsor information provided above.

CHIEF EXECUTIVE OFFICER	TITLE
CHIEF FINANCIAL OFFICER	TITLE
GENERAL COUNSEL	TITLE
BILLING CONTACT	TITLE
PRODUCT MANAGER	TITLE

C. Distributor Contact

Please provide the following information regarding the Distributor.

FIRM NAME _____

CONTACT NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

TELEPHONE _____ FACSIMILE _____ E-MAIL _____

D. ETF Administrator Contact

Please provide the following information regarding the ETF Administrator.

FIRM NAME _____

CONTACT NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

TELEPHONE _____ FACSIMILE _____ E-MAIL _____

PART II

Security Information

1. Name and description of the fund(s) to be listed:

2. Provide three (3) proposed trading symbols for each fund to be listed in order of preference. All choices must comprise four alpha characters. If a NASDAQ symbol has been previously reserved, list only that symbol.

Questions regarding symbols should be directed to the NASDAQ Symbol Coordinator at symbol.reservation@nasdaq.com.

3. If there is an existing public market for the fund(s) covered by this application, please identify each security, marketplace and trading symbol.

4. Anticipated number of shares/units distributed for each ETF prior to trading: _____

5. Expected effective date of registration statement: _____

6. Expected closing date of the initial distribution: _____

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7. Please list the CUSIP* number for each ETF for which application is being made.
 Issue(s) to be listed: CUSIP Number*:

_____	_____
_____	_____
_____	_____

*CUSIP Service Bureau can be reached at 212.438.6565.

8. Will the CUSIP number(s) be included in the file of eligible issues of a registered securities depository upon the commencement of trading? Yes No

9. Transfer Agent:

NAME _____		
ADDRESS _____		
ADDRESS _____		
TELEPHONE _____	FACSIMILE _____	E-MAIL _____

PART III

A. Additional Documentation and Information

Please provide the following information in a separate attachment to this application.

The fact that an applicant may meet NASDAQ's numerical guidelines does not necessarily mean that its application will be approved. In connection with the review of any application, and as set forth in the NASDAQ Marketplace Rules, NASDAQ reserves the right to request additional information or documentation, public or non-public, deemed necessary to make a determination regarding a security's qualification for initial inclusion, including but not limited to, any material provided to or received from the Securities and Exchange Commission or other regulatory authority.

Regulatory Proceedings/Litigation

1. Provide a detailed description of all inquiries, investigations, lawsuits, litigation, arbitration, hearings, or any other legal or administrative proceedings:
- initiated, conducted or being conducted by any regulatory, civil or criminal agency (including but not limited to the SEC, NASD, state securities regulators, Commodities Futures Trading Commission, Department of Justice, state bar associations, state boards of accountancy, or any foreign regulatory, civil or criminal authority);
 - in which claims were asserted under federal and/or state securities, tax or bankruptcy laws; or
 - in which claims were asserted otherwise alleging fraud, deceit or misrepresentation and seeking damages in excess of \$50,000.

Provide your response to this question with respect to:

- A. the company, its predecessors and its subsidiaries;
- B. past and present officers and directors of the company. With respect to past officers and directors, you may limit your response to matters that occurred in the past five years. If any past officer or director was terminated for cause, or if the company has been involved in litigation with any past or present officers, please provide details of such matters in your response; and
- C. five percent or greater shareholders in the company.



In connection with any such proceedings that have been concluded, please provide documentation, which reflects the final disposition of the proceeding. Please note that there is no past limitation on the time frame covered by this request and that this request is ongoing. The company should update Staff promptly of any and all material developments related to the matters identified in response to this question.

2. Upon review of the information provided by the applicant in response to Item 1, Staff may request additional information, such as copies of all court and administrative filings, and documents, which reflect the substance of the allegations of any proceedings described above, and the sanctions imposed, including but not limited to, complaints, indictments, opinions, orders, final judgments, letters of censure, consents, undertakings and SEC formal orders of investigations.

B. Affirmation

I, _____, as _____
NAME OF INDIVIDUAL TITLE

of _____
COMPANY NAME

hereby certify, to the best of my knowledge and belief, that the information contained in the application is true and correct, as of the date below, and will notify NASDAQ promptly of any material changes.

Signature of Company Officer _____
SIGNATURE DATE

C. Submission

Send the Application and supporting documentation to:

The NASDAQ Stock Market LLC
Listing Qualifications
9600 Blackwell Road
Rockville, MD 20850
Telephone: 301.978.8008

Please see the Application Guide for information concerning the submission of the \$1,000 initial application fee and the balance of the entry fee.

APPLICATION GUIDE: EXCHANGE TRADED FUNDS

ACTION	RESPONSIBLE PARTY	TIMING	Mail to*:
Submit: Application (signed and dated by Issuer); Listing Agreement (signed and dated by Issuer); and Registration Statement (one copy).	Issuer or Issuer's counsel	At time of application	A
Submit the \$1,000 non-refundable application fee, along with the Entry Fee Payment Form. An estimated entry fee will be calculated by Listing Qualifications upon request.	Issuer or Issuer's counsel	The \$1,000 non-refundable fee is due at time of the application. The balance of the entry fee is due prior to the commencement of trading.	B The Issuer may wire its fees. Please see instructions below.
Submit Logo Authorization Form and Art.	Issuer or Issuer's counsel	At time of application	D
Submit: One marked copy of any amendments to the registration statement. Copies of all correspondence between the SEC and the Issuer relating to the filing of the entity's registration statement.	Issuer or Issuer's counsel	Concurrent with SEC or other regulatory authority filing	A
Provide additional information.	Issuer or Issuer's counsel	Upon request by Listing Qualifications	A
Provide copy of Form N-8A.	Issuer or Issuer's counsel	Concurrent with SEC filing	A
Provide notice of anticipated effective date of registration statement.	Issuer or Issuer's counsel	Notify Listing Qualifications by phone at least 3 business days prior to the anticipated effective date of the registration statement.	A
Confirm security addition. Register market makers. Release security for trading.	Underwriter syndicate and all market makers	Upon effectiveness and pricing, notify Market Integrity by phone.	C
Provide notice of effectiveness and pricing.	Issuer or Issuer's counsel	Notify Listing Qualifications by phone.	A
Submit final registration statement or prospectus (1 copy).	Issuer or Issuer's counsel	As soon as available	A
Provide written notice if over-allotment is exercised.	Issuer or Issuer's counsel	By closing date of over-allotment	A

ADDRESSES

- A. The NASDAQ Stock Market, Listing Qualifications, 9600 Blackwell Road, Rockville, MD 20850. Tel. 301.978.8008 Fax. 301.978.8069
- B. By Courier/Overnight: The NASDAQ Stock Market, Listing Qualifications, W-8015, c/o Mellon Bank, Room 3490, 701 Market Street, Philadelphia, PA 19106. Provide Issuer's name, symbol, and note that the fees are for initial listing.
- B. By Federal Reserve Wire: The NASDAQ Stock Market, Bank Name: PNC Bank, Bank Address: Philadelphia, PA, SWIFT Number: PNCCUS33, ABA Number: 031000053, Beneficiary: NASDAQ, Account Number: 5300401669, Reference: GL2100625, Issuer's name, symbol, and note that the fees are for initial listing.
- B. By American Clearing House: The NASDAQ Stock Market, Bank Name: PNC Bank, Bank Address: Washington, DC, SWIFT Number: PNCCUS33, ABA Number: 054000030, Beneficiary: NASDAQ, Account Number: 5300401669. Reference: GL2100625, Issuer's name, symbol, and note that the fees are for initial listing.
- C. The NASDAQ Stock Market, Market Integrity, 80 Merritt Boulevard, Trumbull, CT 06611. Tel. 203.375.9609 Fax. 203.385.6381
- D. The NASDAQ Stock Market, Corporate Logo Library, 4 Times Square, New York, NY 10006. Tel. 866.842.5720 Fax. 212.764.5305

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