

The NASDAQ National Market

Listing Application: Exchange Traded Funds (ETF)

PART I

A. Fund/Trust Information

FUND/TRUST NAME		
ADDRESS		
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 address for the Fund Manager/Managing Trustee differs from the address listed above.

FUND MANAGER/MANAGING TRUSTEE	TITLE
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B. Sponsor Information

COMPANY NAME		
ADDRESS		
ADDRESS		
TELEPHONE	FACSIMILE	WEBSITE

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

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



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: _____

7. Please list the CUSIP* number for each ETF for which application is being made:

ETF 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. Securities Depository:

NAME

ADDRESS

ADDRESS

TELEPHONE

FACSIMILE

E-MAIL

10. Transfer Agent:

NAME

ADDRESS

ADDRESS

TELEPHONE

FACSIMILE

E-MAIL

PART III

A. Additional Documentation and Information

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. A detailed description of all inquiries, investigations, lawsuits, litigation, arbitration, hearings, or any other legal or administrative proceedings, which involve or involved the entity, its predecessors, subsidiaries and past and present officers, directors, and five percent or greater shareholders: (a) initiated, conducted or being conducted by any federal or state regulatory, civil or criminal agency (including but not limited to the SEC, NASD, state securities regulators, the Commodities Futures Trading Commission, Department of Justice, state bar associations, state boards of accountancy, or any foreign regulatory, civil or criminal authority); (b) in which claims were asserted under federal and/or state securities, tax or bankruptcy laws; or (c) in which claims were asserted otherwise alleging fraud, deceit or misrepresentation and seeking damages in excess of \$50,000.
2. In connection with any such proceedings, copies of all court and administrative filings and papers which reflect the substance of the allegations, the final disposition of any such proceedings 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 investigation.

Please note that there is no past limitation on the time frame covered by these requests and that these requests are ongoing. The entity should update Staff promptly of any and all material developments related to the matters identified in response to these requests.

B. Affirmation

I, _____, as _____
NAME OF INDIVIDUAL TITLE
of _____
ENTITY NAME

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

SIGNATURE OF OFFICER

DATE

C. Submission

Send the Application and supporting documentation to:

The Nasdaq Stock Market, Inc.
Listing Qualifications Department
9600 Blackwell Road
Rockville, MD 20850
Telephone: 301.978.8008
Fax: 301.978.4028

APPLICATION GUIDE: EXCHANGE TRADED FUNDS (ETF)

ACTION	RESPONSIBLE PARTY	TIMING	ADDRESS*
<ul style="list-style-type: none"> Reserve Symbol. 	Issuer or Issuer's Counsel	Up to 6 months prior to submission of application via email: symbol.reservation@nasdaq.com	N/A
Submit: <ul style="list-style-type: none"> Application (signed by Issuer). Listing Agreement (signed by Issuer). Registration statement and exhibits (one set). 	Issuer or Issuer's Counsel	At time of application with NASDAQ.	A
<ul style="list-style-type: none"> Submit Entry Fee Payment Form together with a \$1,000 non-refundable application fee.** An estimated entry fee will be calculated by your Listing Qualifications Analyst upon request. The balance of entry fee is due upon approval of the application. 	Issuer or Issuer's Counsel	At time of application with NASDAQ.	B
<ul style="list-style-type: none"> Submit Logo Authorization Form and Logo Artwork. 	Issuer	At time of application with NASDAQ.	D
Submit: <ul style="list-style-type: none"> One marked copy of any amendments to registration statement. Copies of any correspondence from the SEC relating to the entity's registration statement and a copy of the entity's responses. 	Issuer or Issuer's Counsel	Concurrent with SEC or other regulatory authority filing.	A
<ul style="list-style-type: none"> Provide requested additional information. 	Issuer or Issuer's Counsel	Upon request by Listing Qualifications Analyst.	A
<ul style="list-style-type: none"> File Form N-8A. 	Issuer or Issuer's Counsel	Concurrent with SEC filing.	A
<ul style="list-style-type: none"> Provide notice of anticipated effective date of registration statement. 	Issuer or Issuer's Counsel	At least three business days prior to the anticipated effective date of the registration statement. Notify Listing Qualifications Analyst via telephone.	A
<ul style="list-style-type: none"> Register as Market Maker. 	Market Makers	Generally one business day before the anticipated trading date. To confirm, monitor NASDAQ News screen directly through NASDAQ Workstation II™ or call Market Integrity Department.	C
<ul style="list-style-type: none"> Release security for trading. 	Issuer or Issuer's Counsel	Upon effectiveness and closing. Notify Market Integrity Department via telephone.	C
<ul style="list-style-type: none"> Submit final registration statement or prospectus (1 copy). 	Issuer or Issuer's Counsel	Within three days after registration statement is declared effective.	A

*MAILING ADDRESSES

A. The NASDAQ Stock Market
 Listing Qualifications
 9600 Blackwell Road
 Rockville, MD 20850
 Telephone: 301.978.8008
 Fax: 301.978.4028

B. The NASDAQ Stock Market
 Listing Qualifications
 P.O. Box 7777-W8015
 Philadelphia, PA 19175-8015

C. The NASDAQ Stock Market
 Market Integrity
 80 Merrit Blvd
 Trumbull, CT 06611
 Telephone: 203.375.9609
 Fax: 203.385.6381

D. The NASDAQ Stock Market
 Corporate Logo Library
 One Liberty Plaza
 New York, NY 10006
 Telephone: 212.401.8720
 Fax: 212.401.1013

** NASDAQ accepts payments via wire transfer. To make electronic payment arrangements, contact the NASDAQ Finance Customer Response Team at 800.691.4367 or 301.978.4970.