

Listing Application: Exchange Traded Funds

PART I

A. Fund/Trust Information

FIRM/TRUST NAME

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES

ADDRESS

PHONE

FAX

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

PHONE

FAX

WEBSITE

Please provide the name and email address 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

EMAIL

CHIEF FINANCIAL OFFICER

EMAIL

GENERAL COUNSEL

EMAIL

BILLING CONTACT

EMAIL

PRODUCT MANAGER

EMAIL

C. Distributor Contact

Please provide the following information regarding the Distributor.

FIRM NAME _____

CONTACT NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

PHONE _____ FAX _____ EMAIL _____

D. ETF Administrator Contact

Please provide the following information regarding the ETF Administrator.

FIRM NAME _____

CONTACT NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

PHONE _____ FAX _____ EMAIL _____

E. Application – Primary Contact

Please provide a primary contact for the purposes of processing this Listing Application.

FIRM NAME _____

CONTACT NAME _____

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES _____

ADDRESS _____

PHONE _____ FAX _____ EMAIL _____

PART II

A. 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 of one to five 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@nasdaqomx.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. Anticipated price per share: _____

6. Expected effective date of registration statement: _____

7. Expected date of initial trading: _____

8. Expected closing date of the initial distribution: _____

9. 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 +1 212 438 6565 or www.cusip.com.

10. 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

11. Transfer Agent:

NAME _____

ADDRESS _____

ADDRESS _____

PHONE _____ FAX _____ EMAIL _____

TRANSFER AGENT LPA NUMBER _____

B. Index Information

1. Description of underlying index or indices (include name, ticker (if applicable), provider and number of components)

2. Type of Securities in Underlying Index (check all that apply):

Domestic (U.S.) Equity Only

International or Global Equity Only

Global & Domestic Equity

Fixed Income Only

Other (please describe): _____

3. Index Component Data*

A. Equity Indices - Provide the following data for each index component:

1. Index Weight
2. Current Market Capitalization (U.S. Dollars)
3. Worldwide volume in **each** of the past six months

B. Fixed Income Indices - Provide the following data for each index component:

1. Index Weight
2. Original Principal Amount (U.S. Dollars)
3. Type of Debt (Convertible or Non-Convertible)
4. Issuer Reporting Requirement (Section 13 or 15(d) of the Exchange Act)
5. Market Value of Publicly Held Shares (U.S. Dollars)
6. Aggregate remaining principal of issuer indebtedness not included in the index
7. Whether the security is exempt under section 3(a)(12) of the Securities Exchange Act of 1934
8. Whether the issuer is a government of a foreign country or a political subdivision of a foreign country

*Index data may be submitted using the spreadsheet templates which can be found at http://www.nasdaq.com/about/listing_information.stm#forms.

4. Provide representation from the fund or index provider (as applicable) that "any advisory committee, supervisory board, or similar entity that advises or makes decisions on the index or portfolio composition, methodology and related matters, must implement and maintain, or be subject to, procedures designed to prevent the use and dissemination of material non-public information regarding the applicable index." Please attach the representation as a separate sheet to this application.
5. Provide representation that the net asset value for the fund(s) will be calculated daily and will be made available to all market participants at the same time. Please attach the representation as a separate sheet to this application.

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 Listing 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.

B. Affirmation – Please sign and date the application.

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

Phone: +1 301 978 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 Corporate Data Operations 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 LLC, Listing Qualifications, 9600 Blackwell Road, Rockville, MD 20850. Phone: +1 301 978 8008
Fax: +1 301 978 8069
- B. By Courier/Overnight: The NASDAQ Stock Market LLC, Listing Qualifications, Lockbox 20200, c/o Wachovia Bank N.A., 401 Market Street, Philadelphia, PA 19106. Provide company name, symbol, and note that the fees are for initial listing.
- B. By Federal Reserve Wire: The NASDAQ Stock Market LLC, Bank Name: Wachovia Bank, N.A., Bank Address: 12 East 49th Street, New York, NY 10017, SWIFT Number: PNBUS3NNYC, ABA Number: 031201467, Beneficiary: NASDAQ, Account Number: 2000031405177, Reference: GL2100625, company name, symbol, and note that the fees are for initial listing.
- B. By American Clearing House: The NASDAQ Stock Market LLC, Bank Name: Wachovia Bank, N.A., Bank Address: 12 East 49th Street, New York, NY 10017, SWIFT Number: PNBUS3NNYC, ABA Number: 026012881, Beneficiary: NASDAQ, Account Number: 2000031405177. Reference: GL2100625, company name, symbol, and note that the fees are for initial listing.
- C. The NASDAQ Stock Market LLC, Corporate Data Operations, Two Corporate Drive, Suite 300, Shelton, CT 06484. Phone: +1 203 375 9609
Fax: +1 203 385 6381
- D. The NASDAQ Stock Market LLC, Corporate Logo Library, 9600 Blackwell Road, Rockville, MD 20850. Phone: +1 866 842 5720
Fax: +1 301 978 8431