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OMB APPROVAL

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SEC / TM

UNITED STATES SECURITIES AND EXCHANGE COMMISSION DC Washington, D.C. 20549 412

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:

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**
- Class of New Derivative Securities Product:

Exchange Traded Fund

4. Name of Underlying Instrument:

Bloomberg Barclays U.S. Universal 5-10 Year Index

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:
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: OTC

- Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 3 (cash settled)
- Position Limits of New Derivative Securities Product (if applicable): N/A



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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:

Colleen Steele

Assistant Corporate Secretary

Telephone Number

301-978-8736

Manual Signature of Offici

Date: November 09

Act

Securities Emphange Act of 1934

Section Rule

195-4 19b-4(e)

Public

Availability:

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