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**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**

SEC  
Mail Processing  
Section  
JUL 31 2017

**Part I Initial Listing Report**

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

**NYSE American LLC (trading pursuant to unlisted trading privileges)**

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):

**See Exhibit A**

Washington DC  
412

3. Class of New Derivative Securities Product:

**See Exhibit A**

4. Name of Underlying Instrument:

**See Exhibit A**



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5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:

**See Exhibit A**

6. Ticker Symbol(s) of New Derivative Securities Product:

**See Exhibit A**

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

**See Exhibit A**

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:

**Martha Redding**

Title:

**Associate General Counsel and Assistant Secretary**

Telephone Number:

**(212) 656-2938**

Manual Signature of Official Responsible for Form:

**July 28, 2017**

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JUL 31 2017

2017 JUL 31 AM 1:30  
SEC / TM  
RECEIVED

Form 19b-4(e)  
NYSE American LLC  
July 28, 2017  
Exhibit A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	AADR	N/A
Open-end Management Investment Company	Investment Company Units	MSCI All Country Asia ex Japan Index	Broad	AAXJ	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI IMI Index	Broad	ACIM	Various
Open-end Management Investment Company	Investment Company Units	American Customer Satisfaction Investable Index	Narrow	ACSI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Guru Activist Index	Broad	ACTX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Diversified Multiple-Factor Index	Broad	ACWF	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Country World Index	Broad	ACWI	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Minimum Volatility Index	Broad	ACWV	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Country World Index ex USA Index	Broad	ACWX	Various
Open-end Management Investment Company	Investment Company Units	BNY Mellon Asia 50 ADR Index	Broad	ADRA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BNY Mellon Developed Markets 100 ADR Index	Broad	ADRD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BNY Mellon Emerging Markets 50 ADR Index	Broad	ADRE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BNY Mellon Europe Select ADR Index	Broad	ADRU	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Agriculture	Narrow	ADZ	Various
Open-end Management Investment Company	Investment Company Units	MVIS GDP Africa Index	Broad	AFK	Various
Open-end Management Investment Company	Investment Company Units	FTSE China A50 Net Total Return Index	Broad	AFTY	Various
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Agriculture	Narrow	AGA	Various
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Agriculture	Narrow	AGF	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Aggregate Bond Index	Broad	AGG	OTC
Open-end Management Investment Company	Investment Company Units	IQ Enhanced Core Bond U.S. Index	Broad	AGGE	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	IQ Enhanced Core Plus Bond U.S. Index	Broad	AGGP	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Aggregate Enhanced Yield Index	Broad	AGGY	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Rate Hedged U.S. Aggregate Bond Index Negative Five Duration	Broad	AGND	OTC
Trust	Trust Issued Receipts	Silver Spot Price	Not index	AGQ	Various
Open-end Management Investment Company	Investment Company Units	MSCI AI Argentina25-50Nt Index	Broad	AGT	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Agency Bond Index	Narrow	AGZ	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Rate Hedged U.S. Aggregate Bond Index Zero Duration	Broad	AGZD	OTC
Open-end Management Investment Company	Investment Company Units	S&P Asia 50 Index	Broad	AIA	Various
Open-end Management Investment Company	Investment Company Units	Richard Bernstein Advisors American Industrial Renaissance Index	Narrow	AIRR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ALD	N/A
Open-end Management Investment Company	Investment Company Units	AlphaClone Hedge Fund Downside Hedged Index	Broad	ALFA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	AlphaClone International Downside Hedged Index	Broad	ALFI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Diversified Alternatives Index	Broad	ALTS	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Indxx SuperDividend Alternatives Index	Broad	ALTY	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Index	Narrow	AMJ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Index	Narrow	AMJL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Alerian MLP Infrastructure Index	Narrow	AMLMP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	AMLX	N/A
Corporation	Index-Linked Securities	Alerian MLP Index	Narrow	AMU	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Index	Narrow	AMUB	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	AMZA	N/A
Open-end Management Investment Company	Investment Company Units	FTSE Andean 40 Index	Broad	AND	Various
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch US Fallen Angel High Yield Index	Broad	ANGL	OTC
Open-end Management Investment Company	Investment Company Units	S&P Target Risk Aggressive Index	Broad	AOA	NYSE Arca, Nasdaq, Bats
Open-end Management Investment Company	Investment Company Units	S&P Target Risk Conservative Index	Broad	AOK	NYSE Arca, Nasdaq, Bats
Open-end Management Investment Company	Investment Company Units	S&P Target Risk Moderate Index	Broad	AOM	NYSE Arca, Nasdaq, Bats
Open-end Management Investment Company	Investment Company Units	S&P Target Risk Growth Index	Broad	AOR	NYSE Arca, Nasdaq, Bats
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ARCM	N/A
Open-end Management Investment Company	Investment Company Units	MSCI All Argentina 25/50 Index	Broad	ARGT	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ARKG	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ARKK	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ARKQ	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ARKW	N/A
Open-end Management Investment Company	Investment Company Units	FTSE Asean 40 Index	Broad	ASEA	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust Real Assets Allocation Index	Broad	ASET	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	CSI 300 Index	Broad	ASHR	Various
Open-end Management Investment Company	Investment Company Units	CSI 500 Index	Broad	ASHS	Various
Open-end Management Investment Company	Investment Company Units	CSI 300 USD Hedged Index	Broad	ASHX	Various
Corporation	Index-Linked Securities	Atlantic Trust Select MLP Index	Narrow	ATMP	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Australia Dividend Index	Broad	AUSE	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	WisdomTree Asia-Pacific ex-Japan Index	Broad	AXJL	Various
Open-end Management Investment Company	Investment Company Units	MSCI AC Asia ex Japan Minimum Volatility (USD) Index	Broad	AXJV	Various
Corporation	Index-Linked Securities	Barclays Capital GEMS Asia-8	Broad	AYT	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch US Taxable Municipal Securities Plus Index	Broad	BAB	OTC
Corporation	Index-Linked Securities	Bloomberg Cotton Subindex Total Return	Narrow	BAL	Various
Open-end Management Investment Company	Investment Company Units	LifeSci Biotechnology Clinical Trials Index	Narrow	BBC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS US Listed Biotech 25 Index	Narrow	BBH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	LifeSci Biotechnology Products Index	Narrow	BBP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Beyond BRICs Index	Broad	BBRC	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BCD	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BCI	N/A
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Pure Beta	Broad	BCM	Various
Corporation	Index-Linked Securities	Wells Fargo Business Development Company Index	Narrow	BDCL	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Wells Fargo Business Development Company Index	Narrow	BDCS	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Wells Fargo Business Development Company Index	Narrow	BDCZ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	DBIQ Optimum Yield Industrial Metals Index Excess Return	Narrow	BDD	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BEF	N/A
Open-end Management Investment Company	Investment Company Units	Aptus Behavioral Momentum Index	Broad	BEMO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Global Health & Wellness Thematic Index	Narrow	BFIT	Various
Open-end Management Investment Company	Investment Company Units	Barron's 400 Index	Broad	BFOR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ Biotechnology Index	Narrow	BIB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ISE BICK Index	Broad	BICK	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	ISE Big Data Index	Narrow	BIGD	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 1-3 Month U.S. Treasury Bill Index	Narrow	BIL	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ Biotechnology Index	Narrow	BIS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Barclays U.S. 5-10 Year Government/Credit Float Adjusted Index	Narrow	BIV	OTC
Open-end Management Investment Company	Investment Company Units	MVIS US Business Development Companies Index	Narrow	BIZD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Gaming Index	Narrow	BJK	Various
Open-end Management Investment Company	Investment Company Units	MSCI BRIC Index	Broad	BKF	Various
Open-end Management Investment Company	Investment Company Units	S&P/LSTA U.S. Leveraged Loan 100 Index	Broad	BKLN	OTC
Open-end Management Investment Company	Investment Company Units	Inspire Global Hope Large Cap Equal Weight Index	Broad	BLES	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BLHY	N/A
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Precious Metals Pure Beta TR	Narrow	BLNG	Various
Open-end Management Investment Company	Investment Company Units	Barclays U.S. Long Government/Credit Float Adjusted Index	Narrow	BLV	OTC
Open-end Management Investment Company	Investment Company Units	BullMark LatAm Select Leaders Index	Broad	BMLA	Various
Corporation	Index-Linked Securities	DWA MLP Select Index	Narrow	BMLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Barclays Capital U.S. Aggregate Float Adjusted Index	Broad	BND	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BNDC	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Aggregate Bond Index	Broad	BNDS	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Global Aggregate ex-USD Float Adjusted RIC Capped Index	Broad	BNDX	OTC
Limited Partnership	Limited Partnership Units	ICE Brent Crude Oil Futures Contracts (1st Month)	Not index	BNO	Various
Trust	Trust Issued Receipts	Bloomberg Natural Gas Subindex	Narrow	BOIL	Various
Corporation	Index-Linked Securities	DBIQ Optimum Yield Industrial Metals Index Excess Return	Narrow	BOM	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	BOND	N/A
	Index-Linked Securities	DBIQ Optimum Yield Industrial Metals Index Excess Return	Narrow	BOS	Various
Open-end Management Investment Company	Investment Company Units	Solactive U.S. Founder-Run Companies Index	Broad	BOSS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Global Robotics & Artificial Intelligence Thematic Index	Narrow	BOTZ	Various
Open-end Management Investment Company	Investment Company Units	Solactive Brazil Consumer Index	Narrow	BRAQ	Various
Open-end Management Investment Company	Investment Company Units	Solactive Brazil Mid Cap Index	Broad	BRAZ	Various
Open-end Management Investment Company	Investment Company Units	MVIS Brazil Small-Cap Index	Broad	BRF	Various
Open-end Management Investment Company	Investment Company Units	MSCI Brazil 25/50 Index	Broad	BRZU	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD 2017 Corporate Bond Index	Broad	BSCH	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD Corporate Bond 2018 Index	Broad	BSCI	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD Corporate Bond 2019 Index	Broad	BSCJ	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD Corporate Bond 2020 Index	Broad	BSCK	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD Corporate Bond 2021 Index	Broad	BSCL	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD Corporate Bond 2022 Index	Broad	BSCM	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD Corporate Bond 2023 Index	Broad	BSCN	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD Corporate Bond 2024 Index	Broad	BSCO	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD Corporate Bond 2025 Index	Broad	BSCP	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD Corporate Bond 2026 Index	Broad	BSCQ	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD High Yield Corporate Bond 2017 Index	Broad	BSJH	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD High Yield Corporate Bond 2018 Index	Broad	BSJI	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD High Yield Corporate Bond 2019 Index	Broad	BSJJ	OTC
Open-end Management Investment Company	Investment Company Units	Nasdaq BulletShares USD High Yield Corporate Bond 2020 Index	Broad	BSJK	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD High Yield Corporate Bond 2021 Index	Broad	BSJL	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD High Yield Corporate Bond 2022 Index	Broad	BSJM	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD High Yield Corporate Bond 2023 Index	Broad	BSJN	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ BulletShares USD High Yield Corporate Bond 2024 Index	Broad	BSJO	OTC
Open-end Management Investment Company Corporation	Investment Company Units	Barclays U.S. 1-5 Year Government/Credit Float Adjusted Index	Narrow	BSV	OTC
	Index-Linked Securities	S&P 500 VIX Futures Tail Risk Index Short Term	Broad	BSWN	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Thematic Market Neutral Anti-Beta Index	Broad	BTAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ U.S. Healthcare Innovators Index	Narrow	BTEC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Buzz Social Media Insights Index	Broad	BUZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BrandTransact 50	Broad	BVAL	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	CBOE S&P 500 BuyWrite Index	Broad	BWV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Global Treasury Ex-US Capped Index	Broad	BWX	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 1-3 Year Global Treasury ex-US Capped Index	Broad	BWZ	OTC
Open-end Management Investment Company	Investment Company Units	Morningstar US Bond Market Yield-Optimized Index	Broad	BYLD	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	BZF	N/A
Open-end Management Investment Company	Investment Company Units	MSCI Brazil 25/50 Index	Broad	BZQ	Various
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	CACG	N/A
Corporation	Index-Linked Securities	Barclays Capital Coffee Pure Beta TR Index	Narrow	CAFE	Various
Open-end Management Investment Company	Investment Company Units	Pacer US Small Cap Cash Cows Index	Broad	CALF	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Trust	Trust Issued Receipts	Sugar Futures Benchmark	Narrow	CANE	Various
Corporation	Index-Linked Securities	Barclays CAPE US Core Sector Index	Broad	CAPE	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX Global Auto Index	Narrow	CARZ	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Catholic Values Index	Broad	CATH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Issuer Scored Corporate Index	Broad	CBND	OTC
Open-end Management Investment Company	Investment Company Units	ChinaBond China High Quality Bond Index	Broad	CBON	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CCOR	N/A
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Large Cap High Dividend 100 Long/Cash Volatility Weighted Index	Broad	CDC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Large Cap High Dividend 100 Volatility Weighted Index	Broad	CDL	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	ISE High Income Index	Broad	CEFL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CEFS	N/A
Open-end Management Investment Company	Investment Company Units	Morningstar Emerging Markets Corporate Bond Index	Broad	CEMB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CEW	N/A
Open-end Management Investment Company	Investment Company Units	CEMP Emerging Market 500 Volatility Weighted Index	Broad	CEZ	Various
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Large Cap 500 Volatility Weighted Index	Broad	CFA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Large Cap 500 Long/Cash Volatility Weighted Index	Broad	CFO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Global Water Index	Narrow	CGW	Various
Open-end Management Investment Company	Investment Company Units	CSI 300 Index	Broad	CHAD	Various
Open-end Management Investment Company	Investment Company Units	CSI 300 Index	Broad	CHAU	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Thematic Market Neutral Value Index	Broad	CHEP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive China Energy Total Return Index	Narrow	CHIE	Various

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Open-end Management Investment Company	Investment Company Units	Solactive China Industrials Total Return Index	Narrow	CHII	Various
Open-end Management Investment Company	Investment Company Units	Solactive China Materials index	Narrow	CHIM	Various
Open-end Management Investment Company	Investment Company Units	Solactive China Consumer Total Return Index	Narrow	CHIQ	Various
Open-end Management Investment Company	Investment Company Units	Solactive China Financials Total Return Index	Narrow	CHIX	Various
Corporation	Index-Linked Securities	Barclays Capital Cocoa Pure Beta TR Index	Narrow	CHOC	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ CTA Cybersecurity Index	Narrow	CIBR	Various
Open-end Management Investment Company	Investment Company Units	CEMP International High Dividend 100 Volatility Weighted Index	Broad	CID	Various
Open-end Management Investment Company	Investment Company Units	CEMP International 500 Volatility Weighted Index	Broad	CIL	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Intermediate Credit Bond Index	Narrow	CIU	OTC
Open-end Management Investment Company	Investment Company Units	CEMP International 500 Long/Cash Volatility Weighted Index	Broad	CIZ	Various
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch US Diversified Crossover Corporate Index	Broad	CJNK	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Home Construction Index	Narrow	CLAW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury Short Bond Index	Narrow	CLTL	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Long Credit Index	Narrow	CLY	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CLYH	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. CMBS (ERISA Only) Index	Narrow	CMBS	OTC
Trust	Trust Issued Receipts	Bloomberg Roll Select Commodity Total Return Index	Broad	CMDT	Various
Open-end Management Investment Company	Investment Company Units	S&P California AMT-Free Municipal Bond Index	Narrow	CMF	OTC
Open-end Management Investment Company	Investment Company Units	MSCI China All Shares Index	Broad	CN	Various
Open-end Management Investment Company	Investment Company Units	Loncar Cancer Immunotherapy Index	Narrow	CNCR	Various
Open-end Management Investment Company	Investment Company Units	IQ Canada Small Cap Index	Broad	CNDA	Various

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Open-end Management Investment Company	Investment Company Units	MSCI USA Consumer Discretionary Diversified Multiple-Factor Capped Index	Narrow	CNDF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI China A International with CNH 100% hedged to USD Index	Broad	CNHX	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA Consumer Staples Diversified Multiple-Factor Capped Index	Narrow	CNSF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Contrarian Opportunities Index	Broad	CNTR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	SME-ChiNext 100 Index	Broad	CNXT	Various
Corporation	Index-Linked Securities	S&P Chinese Renminbi Total Return Index	Narrow	CNY	OTC
Open-end Management Investment Company	Investment Company Units	MSCI China A International Index	Broad	CNYA	Various
Open-end Management Investment Company	Investment Company Units	Solactive Diversified USD Covered Bond Index	Broad	COBO	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	COM	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	COMB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	COMG	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	COMT	N/A
Open-end Management Investment Company	Investment Company Units	Solactive Global Copper Miners Index	Narrow	COPX	Various
Trust	Trust Issued Receipts	Corn Futures Benchmark	Narrow	CORN	Various
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch US Corporate Index	Broad	CORP	OTC
Corporation	Index-Linked Securities	Bloomberg Livestock Sub-Index Total Return	Narrow	COW	Various
Open-end Management Investment Company	Investment Company Units	Pacer U.S. Cash Cows 100 Index	Broad	COWZ	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	Summerhaven Copper Index Total Return	Narrow	CPER	Various
Open-end Management Investment Company	Investment Company Units	IQ Real Return Index	Broad	CPI	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	AlphaShares China Technology Index	Narrow	CQQQ	Various
Open-end Management Investment Company	Investment Company Units	MVIS Global Oil Refiners Index	Narrow	CRAK	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Low Carbon Target Index	Broad	CRBN	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CRDT	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Credit Bond Index	Broad	CRED	OTC
Trust	Trust Issued Receipts	AUD/USD Exchange Rate	Not index	CROC	Various
Open-end Management Investment Company	Investment Company Units	IQ Global Agribusiness Small Cap Index	Narrow	CROP	Various
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Small Cap 500 Volatility Weighted Index	Broad	CSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Small Cap High Dividend 100 Volatility Weighted Index	Broad	CSB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P U.S. Spin-Off Index	Broad	CSD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CEMP U.S. Small Cap 500 Long/Cash Volatility Weighted Index	Broad	CSF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 1-3 Year Credit Bond Index	Broad	CSJ	OTC
Open-end Management Investment Company	Investment Company Units	Credit Suisse 130/30 Large Cap Index	Broad	CSM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ Chaikin Power US Small Cap TR	Broad	CSML	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Cotton Pure Beta TR Index	Narrow	CTNN	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CUMB	N/A
Corporation	Index-Linked Securities	Barclays Capital Copper Pure Beta TR Index	Narrow	CUPM	Various
Open-end Management Investment Company	Investment Company Units	Health Care Select Sector Index	Narrow	CURE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI ACWI IMI Timber Select Capped Index	Narrow	CUT	Various
Open-end Management Investment Company	Investment Company Units	Zacks Multi-Asset Income Index	Broad	CVY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CWAI	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Convertible Bond >\$500MM Index	Broad	CWB	OTC
Open-end Management Investment Company	Investment Company Units	CSI Overseas China Internet Index	Narrow	CWEB	Various

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Open-end Management Investment Company	Investment Company Units	MSCI ACWI ex USA Index	Broad	CWI	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CWS	N/A
Open-end Management Investment Company	Investment Company Units	WisdomTree China ex-State-Owned Enterprises Index	Broad	CXSE	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	CYB	N/A
Open-end Management Investment Company	Investment Company Units	Zacks Mid-Cap Core Index	Broad	CZA	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Agriculture	Narrow	DAG	Various
Open-end Management Investment Company	Investment Company Units	DAX Index	Broad	DAX	Various
Trust	Trust Issued Receipts	DBIQ Diversified Agriculture Index Excess Return	Narrow	DBA	Various
Open-end Management Investment Company	Investment Company Units	MSCI AC Asia Pacific ex Japan USD Hedged Index	Broad	DBAP	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI ex-USA US Dollar Hedged Index	Broad	DBAW	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Industrial Metals Index Excess Return	Narrow	DBB	Various
Open-end Management Investment Company	Investment Company Units	MSCI Brazil US Dollar Hedged Index	Broad	DBBR	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Diversified Commodity Index Excess Return	Broad	DBC	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Energy Index Excess Return	Narrow	DBE	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE US Dollar Hedged Index	Broad	DBEF	Various
Open-end Management Investment Company	Investment Company Units	MSCI EM US Dollar Hedged Index	Broad	DBEM	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Small Cap 100% Hedged to USD Index	Broad	DBES	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe US Dollar Hedged Index	Broad	DBEU	Various
Open-end Management Investment Company	Investment Company Units	MSCI EMU IMI US Dollar Hedged Index	Broad	DBEZ	Various
Open-end Management Investment Company	Investment Company Units	MSCI Germany US Dollar Hedged Index	Broad	DBGR	Various
Open-end Management Investment Company	Investment Company Units	MSCI Italy 25/50 100% Hedged to USD Index	Broad	DBIT	Various

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Open-end Management Investment Company	Investment Company Units	MSCI Japan US Dollar Hedged Index	Broad	DBJP	Various
Open-end Management Investment Company	Investment Company Units	MSCI Korea 25/50 US Dollar Hedged Index	Broad	DBKO	Various
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 US Dollar Hedged Index	Broad	DBMX	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Crude Oil Index Excess Return	Narrow	DBO	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Precious Metals Index Excess Return	Narrow	DBP	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Silver Index Excess Return	Narrow	DBS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Southern Europe US Dollar Hedged Index	Broad	DBSE	Various
Open-end Management Investment Company	Investment Company Units	MSCI United Kingdom US Dollar Hedged Index	Broad	DBUK	Various
Trust	Trust Issued Receipts	DB G10 Currency Future Harvest Index	Broad	DBV	OTC
Corporation	Index-Linked Securities	Barclays Capital Natural Gas Seasonal TR Index	Narrow	DCNG	Various
Open-end Management Investment Company	Investment Company Units	QS DBI Developed ex-US Diversified Index	Broad	DDBI	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Currency Hedged Europe Equity Index	Broad	DDEZ	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Oil & Gas Index	Narrow	DDG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Currency Hedged Japan Equity Index	Broad	DDJP	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Currency Hedged International SmallCap Equity Index	Broad	DDLIS	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	DDM	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Excess Return Index	Broad	DDP	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Currency Hedged International Equity Index	Broad	DDWM	Various
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Excess Return Index	Broad	DEE	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex US Comprehensive Factor Index	Broad	DEEF	Various
Open-end Management Investment Company	Investment Company Units	Guggenheim Defensive Equity Index	Broad	DEF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Adaptive Hedge to USD Index	Broad	DEFA	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets High Dividend Index	Broad	DEM	Various
Open-end Management Investment Company	Investment Company Units	FTSE Emerging Comprehensive Factor Index	Broad	DEMG	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree SmallCap Dividend Index	Broad	DES	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Comprehensive Factor Index	Broad	DESC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Comprehensive Factor Index	Broad	DEUS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Global High Dividend Index	Broad	DEW	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Adaptive Hedge to USD Index	Broad	DEWJ	Various
Open-end Management Investment Company	Investment Company Units	MSCI EMU Adaptive Hedge to USD Index	Broad	DEZU	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Europe SmallCap Dividend Index	Broad	DFE	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Aerospace & Defense Index	Narrow	DFEN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan SmallCap Dividend Index	Broad	DFJ	Various
Open-end Management Investment Company	Investment Company Units	Realty Shares DIVCON Dividend Defender Index	Broad	DFND	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DFNL	N/A
Corporation	Index-Linked Securities	Barclays 5Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DFVL	OTC
Corporation	Index-Linked Securities	Barclays 5Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DFVS	OTC
Corporation	Index-Linked Securities	S&P GSCI Natural Gas Index ER	Narrow	DGAZ	Various
Trust	Trust Issued Receipts	DBIQ Optimum Yield Gold Index Excess Return	Narrow	DGL	Various
Corporation	Index-Linked Securities	S&P GSCI Gold Index ER	Narrow	DGLD	Various
Corporation	Index-Linked Securities	DBIQ Optimum Yield Gold Index Excess Return	Narrow	DGP	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets Quality Dividend Growth Index	Broad	DGRE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar U.S. Dividend Growth Index	Broad	DGRO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree U.S. SmallCap Quality Dividend Growth Index	Broad	DGRS	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	WisdomTree U.S. Quality Dividend Growth Index	Broad	DGRW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets SmallCap Dividend Index	Broad	DGS	Various
Open-end Management Investment Company	Investment Company Units	Global Dow	Broad	DGT	Various
Corporation	Index-Linked Securities	DBIQ Optimum Yield Gold Index Excess Return	Narrow	DGZ	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Currency Hedged International Quality Dividend Growth Index	Broad	DHDG	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree High Dividend Index	Broad	DHS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Diamond Hill Valuation-Weighted 500 Index	Broad	DHWV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	DIA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Oil & Gas Index	Narrow	DIG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree International MidCap Dividend Index	Broad	DIM	Various
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Agriculture Pure Beta TR	Narrow	DIRT	Various
Open-end Management Investment Company	Investment Company Units	Indxx SuperDividend U.S. Low Volatility Index	Broad	DIV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Hedged Dividend Income Index	Broad	DIVA	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Miller/Howard Strategic Dividend Index Total Return	Broad	DIVC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DIVO	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DIVY	N/A
Corporation	Index-Linked Securities	Bloomberg Commodity Index Total Return	Broad	DJCI	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average Yield Weighted Index	Broad	DJD	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Bloomberg Commodity Index Total Return	Broad	DJP	Various
Corporation	Index-Linked Securities	Barclays Long Bond US Treasury Futures Targeted Exposure Index	Narrow	DLBL	OTC
Corporation	Index-Linked Securities	Barclays Long Bond US Treasury Futures Targeted Exposure Index	Narrow	DLBS	OTC
Open-end Management Investment Company	Investment Company Units	WisdomTree LargeCap Dividend Index	Broad	DLN	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	WisdomTree International SmallCap Dividend Index	Broad	DLS	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Global ex-U.S. Quality Dividend Growth Index	Broad	DNL	Various
Limited Partnership	Limited Partnership Units	Crude Oil Spot	Not index	DNO	Various
Corporation	Index-Linked Securities	Dow Jones High Yield Select 10 Total Return Index	Broad	DOD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	DOG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree International LargeCap Dividend Index	Broad	DOL	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree MidCap Dividend Index	Broad	DON	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree International Dividend ex-Financials Index	Broad	DOO	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	DPK	Various
Open-end Management Investment Company	Investment Company Units	S&P Regional Banks Select Industry Index	Narrow	DPST	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Oil & Gas Exploration & Production Select Industry Index	Narrow	DRIP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI US REIT Index	Narrow	DRN	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Double Short Euro Index	Narrow	DRR	OTC
Open-end Management Investment Company	Investment Company Units	MSCI US REIT Index	Narrow	DRV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Global ex-U.S. Real Estate Index	Broad	DRW	Various
Open-end Management Investment Company	Investment Company Units	MSCI KLD 400 Social Index	Broad	DSI	Various
Corporation	Index-Linked Securities	S&P GSCI Silver Index ER	Narrow	DSLX	Various
Open-end Management Investment Company	Investment Company Units	Citigroup Dim Sum (Offshore CNY) Bond Index	Broad	DSUM	OTC
Open-end Management Investment Company	Investment Company Units	WisdomTree Dividend Index	Broad	DTD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree International High Dividend Index	Broad	DTH	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dividend ex-Financials Index	Broad	DTN	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Oil	Narrow	DTO	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	Barclays 2Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DTUL	OTC
Corporation	Index-Linked Securities	Barclays 2Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DTUS	OTC
Corporation	Index-Linked Securities	Barclays 10Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DTYL	OTC
Corporation	Index-Linked Securities	Barclays 10Y U.S. Treasury Futures Targeted Exposure Index	Narrow	DTYS	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Oil & Gas Index	Narrow	DUG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Global Silver Miners Index	Narrow	DULL	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DUSA	N/A
Open-end Management Investment Company	Investment Company Units	Industrial Select Sector Index	Narrow	DUSL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	DUST	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets Dividend Index	Broad	DVEM	Various
Corporation	Index-Linked Securities	NYSE Diversified High Income Index	Broad	DVHL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	TWM Deep Value Index	Broad	DVP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Dividend Index	Broad	DVY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Asia/Pacific Select Dividend 30 Index	Broad	DVYA	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Emerging Markets Select Dividend Index	Broad	DVYE	Various
Corporation	Index-Linked Securities	Dow Jones U.S. Select Dividend Index	Broad	DVYL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DWAC	N/A
Open-end Management Investment Company	Investment Company Units	Dorsey Wright NASDAQ Technical Leaders Index	Broad	DWAQ	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Dorsey Wright SmallCap Technical Leaders Index	Broad	DWAS	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DWAT	N/A
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Fixed Income Allocation Index	Broad	DWFI	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Multi-Asset Income Index	Broad	DWIN	NYSE Arca, Nasdaq, BATS

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Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	DWLD	N/A
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Multi-Factor Global Equity Index	Broad	DWLV	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	WisdomTree International Equity Index	Broad	DWM	Various
Corporation	Index-Linked Securities	S&P GSCI Crude Oil Index ER	Narrow	DWT	Various
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Sector 4 Index	Broad	DWTR	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	S&P International Dividend Opportunities Index	Broad	DWX	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	DXD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Germany Hedged Equity Index	Broad	DXGE	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Equity Index	Broad	DXJ	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Capital Goods Index	Narrow	DXJC	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Financials Index	Narrow	DXJF	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Health Care Index	Narrow	DXJH	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Real Estate Index	Narrow	DXJR	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged SmallCap Equity Index	Broad	DXJS	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree United Kingdom Hedged Equity Index	Broad	DXPS	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Global ex-U.S. Hedged Dividend Index	Broad	DXUS	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Bearish U.S. Equity Index	Broad	DYB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Dynamic Long/Short U.S. Equity Index	Broad	DYLS	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity - Optimum Yield Excess Return Index	Broad	DYY	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	DZK	Various
Corporation	Index-Linked Securities	DBIQ Optimum Yield Gold Index Excess Return	Narrow	DZZ	Various

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Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays EM Local Currency Government Diversified Index	Broad	EBND	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Chile IMI 25/50 Index	Broad	ECH	Various
Open-end Management Investment Company	Investment Company Units	MSCI China Small Cap Index	Broad	ECNS	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Emerging Markets Consumer Titans 30 Index	Narrow	ECON	Various
Open-end Management Investment Company	Investment Company Units	QS DBI Emerging Markets Diversified Index	Broad	EDBI	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EDC	Various
Open-end Management Investment Company	Investment Company Units	MSCI Denmark IMI 25/50 Index	Broad	EDEN	Various
Open-end Management Investment Company	Investment Company Units	S&P Emerging Markets Dividend Opportunities Index	Broad	EDIV	Various
Open-end Management Investment Company	Investment Company Units	S-Network Emerging Sector Dividend Dogs Index	Broad	EDOG	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Europe Domestic Economy Index (TR)	Broad	EDOM	Various
Open-end Management Investment Company	Investment Company Units	Barclays Capital Treasury STRIPS 20-30 Year Equal Par Bond	Narrow	EDV	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EDZ	Various
Open-end Management Investment Company	Investment Company Units	BNY Mellon BRIC Select DR Index	Broad	EEB	Various
Corporation	Index-Linked Securities	SPECTRUM Large Cap U.S. Sector Momentum Index	Broad	EEH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P BMI Emerging Markets Low Volatility Index	Broad	EELV	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EEM	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Asia Index	Broad	EEMA	Various
Open-end Management Investment Company	Investment Company Units	S&P Momentum Emerging Plus LargeMidCap Index	Broad	EEMO	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Small Cap Index	Broad	EEMS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Minimum Volatility Index	Broad	EEMV	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets ex Fossil Fuels Index	Broad	EEMX	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree SmallCap Earnings Index	Broad	EES	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EET	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EEV	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	EFA	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Dividend Masters Index	Broad	EFAD	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Top 50 Dividend Index	Broad	EFAS	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Minimum Volatility Index	Broad	EFAV	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE ex Fossil Fuels Index	Broad	EFAX	Various
Open-end Management Investment Company	Investment Company Units	JPMorgan ETF EFiciente 10 TR Series X Index	Broad	EFFE	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Growth Index	Broad	EFG	Various
Open-end Management Investment Company	Investment Company Units	MSCI Finland IMI 25/50 Index	Broad	EFNL	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	EFO	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	EFU	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Value Index	Broad	EFV	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Index	Broad	EFZ	Various
Open-end Management Investment Company	Investment Company Units	MVIS Egypt Index	Broad	EGPT	Various
Open-end Management Investment Company	Investment Company Units	MSCI Indonesia Investable Market Index	Broad	EIDO	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Ireland Capped Index	Broad	EIRL	Various
Open-end Management Investment Company	Investment Company Units	MSCI Israel Capped Investable Market Index	Broad	EIS	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ELD	N/A
Open-end Management Investment Company	Investment Company Units	MVIS EM Aggregate Bond Index	Broad	EMAG	OTC
Open-end Management Investment Company	Investment Company Units	JPMorgan EMBI Global Core Index	Broad	EMB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	EMBH	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	EMCB	N/A
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets Consumer Growth Index	Narrow	EMCG	Various
Open-end Management Investment Company	Investment Company Units	S&P Emerging Markets Core Index	Broad	EMCR	Various
Open-end Management Investment Company	Investment Company Units	S&P Emerging Markets Strategic Opportunities Index	Broad	EMDD	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Dividend Masters Index	Broad	EMDV	Various
Open-end Management Investment Company	Investment Company Units	Solactive Next Emerging & Frontier Index	Broad	EMFM	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Diversified Multiple-Factor Index	Broad	EMGF	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Emerging Markets High Yield Bond	Broad	EMHY	OTC
Open-end Management Investment Company	Investment Company Units	S&P Emerging Markets Infrastructure Index	Narrow	EMIF	Various
Open-end Management Investment Company	Investment Company Units	Solactive Emerging Markets Bond - Interest Rate Hedged Index	Broad	EMIH	OTC
Corporation	Index-Linked Securities	MSCI Emerging Markets Index	Broad	EMLB	Various
Open-end Management Investment Company	Investment Company Units	J.P. Morgan GBI-EMG Core Index	Broad	EMLC	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	EMLP	N/A
Open-end Management Investment Company	Investment Company Units	EMQQ The Emerging Markets Internet & Ecommerce Index	Narrow	EMQQ	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Strong Dollar Emerging Markets Equity Index	Broad	EMSD	Various
Open-end Management Investment Company	Investment Company Units	DBIQ Short Duration Emerging Market Bond Index	Broad	EMSH	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	EMTL	N/A
Open-end Management Investment Company	Investment Company Units	Alerian Energy Infrastructure Index	Narrow	ENFR	Various
Open-end Management Investment Company	Investment Company Units	MSCI Norway IMI 25/50 Index	Broad	ENOR	Various
Open-end Management Investment Company	Investment Company Units	S&P/TSX Canadian High Income Energy Index	Broad	ENY	Various
Open-end Management Investment Company	Investment Company Units	MSCI New Zealand IMI 25/50 Index	Broad	ENZL	Various
Open-end Management Investment Company	Investment Company Units	MSCI Philippines Investable Market Index	Broad	EPHE	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree India Earnings Index	Broad	EPI	Various
Open-end Management Investment Company	Investment Company Units	MSCI Poland IMI 25/50 Index	Broad	EPOL	Various
Open-end Management Investment Company	Investment Company Units	MSCI Pacific ex Japan Index	Broad	EPP	Various
Open-end Management Investment Company	Investment Company Units	S&P U.S. High Quality Preferred Stock Index	Broad	EPRF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Earnings 500 Index	Broad	EPS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI All Peru Capped Index	Broad	EPU	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Index	Broad	EPV	Various
Open-end Management Investment Company	Investment Company Units	Russell 1000 Equal Weight Index	Broad	EQAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bank of America Securities - Merrill Lynch Equal Sector Weight Index	Broad	EQL	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Workplace Equality Index	Broad	EQLT	Various
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Equal Weight Index	Broad	EQWL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell MidCap Equal Weight Index	Broad	EQWM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Equal Weight Index	Broad	EQWS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Energy Diversified Multiple-Factor Capped Index	Broad	ERGF	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	ERM	N/A
Open-end Management Investment Company	Index-Linked Securities	Euro/USD Exchange Rate	Not index	ERO	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Russia 25/50 Index	Broad	ERUS	Various
Open-end Management Investment Company	Investment Company Units	Energy Select Sector Index	Narrow	ERX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Energy Select Sector Index	Narrow	ERY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Energy Select Sector Index	Narrow	ERYY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	STOXX USA ESG Impact Index	Broad	ESG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI EAFE ESG Focus Index	Broad	ESGD	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets ESG Focus Index	Broad	ESGE	Various
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Global ESG Index	Broad	ESGF	Various
Open-end Management Investment Company	Investment Company Units	STOXX Global ESG Impact Index	Broad	ESGG	Various
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted ESG Index	Broad	ESGL	Various
Open-end Management Investment Company	Investment Company Units	Beta Advantage Sustainable International Equity Income 100 Index	Broad	ESGN	Various
Open-end Management Investment Company	Investment Company Units	Beta Advantage Sustainable U.S. Equity Income 100 Index	Broad	ESGS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA ESG Focus Index	Broad	ESGU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Beta Advantage Sustainable Global Equity Income 200 Index	Broad	ESGW	Various
Open-end Management Investment Company	Investment Company Units	Etho Climate Leadership Index - US	Broad	ETHO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Europe Quality Dividend Growth Index	Broad	EUDG	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe Dividend Masters Index	Broad	EUDV	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe/Financials Price Return USD Index	Narrow	EUFL	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Europe Financials Index	Narrow	EUFN	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe/Financials Price Return USD Index	Narrow	EUFS	Various
Trust	Trust Issued Receipts	Euro/USD Exchange Rate	Not index	EUFX	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Index	Broad	EUM	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe Minimum Volatility (USD) Index	Broad	EUMV	Various
Trust	Trust Issued Receipts	Euro/USD Exchange Rate	Not index	EUO	OTC
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Index	Broad	EURL	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA Equal Weighted Index	Broad	EUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Europe Hedged SmallCap Equity Index	Broad	EUSC	Various
Open-end Management Investment Company	Investment Company Units	EURO STOXX 50 Net Return Index (USD)	Broad	EUXL	Various
Corporation	Index-Linked Securities	VSTOXX Short-Term Futures Investable USD Excess Return	Broad	EVIX	Various
Open-end Management Investment Company	Investment Company Units	NYSE Arca Environmental Services Index	Narrow	EVX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Australia Index	Broad	EWA	Various
Open-end Management Investment Company	Investment Company Units	MSCI Canada Index	Broad	EWC	Various
Open-end Management Investment Company	Investment Company Units	MSCI Sweden 25/50 Index	Broad	EWD	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Equal Country Weighted Index	Broad	EWEM	Various
Open-end Management Investment Company	Investment Company Units	MSCI Germany Index	Broad	EWG	Various
Open-end Management Investment Company	Investment Company Units	MSCI Germany Small Cap Index	Broad	EWGS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Hong Kong Index	Broad	EWH	Various
Open-end Management Investment Company	Investment Company Units	MSCI Italy 25/50 Index	Broad	EWI	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Index	Broad	EWJ	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Belgium IMI 25/50 Index	Broad	EWK	Various
Open-end Management Investment Company	Investment Company Units	MSCI Switzerland 25/50 Index	Broad	EWL	Various
Open-end Management Investment Company	Investment Company Units	MSCI Malaysia Index	Broad	EWM	Various
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Equal Weight Index	Broad	EWMC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Netherlands Investable Market Index	Broad	EWN	Various
Open-end Management Investment Company	Investment Company Units	MSCI Austria IMI 25/50 Index	Broad	EWO	Various
Open-end Management Investment Company	Investment Company Units	MSCI Spain 25/50 Index	Broad	EWP	Various
Open-end Management Investment Company	Investment Company Units	MSCI France Index	Broad	EWQ	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Real Estate Index	Narrow	EWRE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Singapore 25/50 Index	Broad	EWS	Various
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Equal Weight Index	Broad	EWSC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Taiwan 25/50 Index	Broad	EWT	Various
Open-end Management Investment Company	Investment Company Units	MSCI United Kingdom Index	Broad	EWU	Various
Open-end Management Investment Company	Investment Company Units	MSCI United Kingdom Small Cap Index	Broad	EWUS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Index	Broad	EWV	Various
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 Index	Broad	EWV	Various
Open-end Management Investment Company	Investment Company Units	S&P Emerging Markets Under USD2 Billion Index	Broad	EWX	Various
Open-end Management Investment Company	Investment Company Units	MSCI Korea 25/50 Index	Broad	EWY	Various
Open-end Management Investment Company	Investment Company Units	MSCI Brazil 25/50 Index	Broad	EWZ	Various
Open-end Management Investment Company	Investment Company Units	MSCI Brazil Small Cap Index	Broad	EWZS	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Investment Company Units	S&P Global 1200 Industrials Sector Index	Narrow	EXI	Various
	Index-Linked Securities	VSTOXX Short-Term Futures Inverse Investable USD Excess Return	Broad	EXIV	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Earnings Index	Broad	EXT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Cambria Emerging Shareholder Yield Index	Broad	EYLD	Various
Open-end Management Investment Company	Investment Company Units	MSCI South Africa Index	Broad	EZA	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Index	Broad	EZJ	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree MidCap Earnings Index	Broad	EZM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI EMU Index	Broad	EZU	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree LargeCap Value Index	Broad	EZY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FAAR	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Multi Cap Value Index	Broad	FAB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Multi Cap Growth Index	Broad	FAD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US High Yield Fallen Angel 3% Capped Index	Broad	FALN	OTC
Open-end Management Investment Company	Investment Company Units	ISE Clean Edge Global Wind Energy Index	Narrow	FAN	Various
Open-end Management Investment Company	Investment Company Units	ProSports Sponsors Index	Broad	FANZ	NYSE, Nasdaq, Toronto
Open-end Management Investment Company	Investment Company Units	Russell 1000 Financial Services Index	Narrow	FAS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Australia Index	Broad	FAUS	Various
Open-end Management Investment Company	Investment Company Units	Russell 1000 Financial Services Index	Narrow	FAZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Financial Select Sector Index	Narrow	FAZZ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Russell 1000 Growth Total Return Index	Broad	FBGX	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FBND	N/A
Open-end Management Investment Company	Investment Company Units	NYSE Arca Biotechnology Index	Narrow	FBT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Brazil Index	Broad	FBZ	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX China Index	Broad	FCA	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FCAL	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Canada Index	Broad	FCAN	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FCEF	N/A
Open-end Management Investment Company	Investment Company Units	ISE-Revere Natural Gas Index	Narrow	FCG	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Telecommunication Services 25/50 Index	Narrow	FCOM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FCOR	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FCVT	N/A
Open-end Management Investment Company	Investment Company Units	STOXX Europe Select Dividend 30 Index	Broad	FDD	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Consumer Discretionary Index	Narrow	FDIS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FDIV	N/A
Open-end Management Investment Company	Investment Company Units	Morningstar Dividend Leaders Index	Broad	FDL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Fidelity U.S. Low Volatility Factor Index	Broad	FDLO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Select MicroCap Index	Broad	FDM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Fidelity U.S. Momentum Factor Index	Broad	FDMO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Internet Composite Index	Narrow	FDN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Fidelity Dividend Index for Rising Rates	Broad	FDRR	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Developed Markets Ex-US Index	Broad	FDT	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Developed Markets Ex-US Small Cap Index	Broad	FDTS	Various
Open-end Management Investment Company	Investment Company Units	Fidelity Core Dividend Index	Broad	FDVV	Various
Corporation	Index-Linked Securities	STOXX Europe 50 Index	Broad	FEEU	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Emerging Markets Index	Broad	FEM	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FEMB	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Emerging Markets Small Cap Index	Broad	FEMS	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Energy Index	Narrow	FENY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Europe Index	Broad	FEP	Various
Open-end Management Investment Company	Investment Company Units	STOXX Europe 50 Index	Broad	FEU	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Eurozone Index	Broad	FEUZ	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Large Cap Core Index	Broad	FEX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	EURO STOXX 50 Index	Broad	FEZ	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FFHG	N/A
Open-end Management Investment Company	Investment Company Units	FTSE EPRA/NAREIT Developed Index	Narrow	FFR	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FFT1	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FFTY	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones Global Select Dividend Index	Broad	FGD	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Germany Index	Broad	FGM	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Hong Kong Index	Broad	FHK	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Health Care Index	Narrow	FHLC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FIBR	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Industrials Index	Narrow	FIDU	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	STOXX Europe 50 Index	Broad	FIEE	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	MSCI World High Dividend Yield USD Gross Total Return Index	Broad	FIEG	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	STOXX Europe 50 Index	Broad	FIEU	Various
Corporation	Index-Linked Securities	MSCI World High Dividend Yield USD Gross Total Return Index	Broad	FIGY	Various
Corporation	Index-Linked Securities	MSCI World High Dividend Yield USD Gross Total Return Index	Broad	FIHD	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Select Energy Producers Investable Market Index	Narrow	FILL	Various
Open-end Management Investment Company	Investment Company Units	Solactive FinTech Index	Narrow	FINQ	Various
Open-end Management Investment Company	Investment Company Units	Financial Select Sector Index	Narrow	FINU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	INDXX Global Fintech Thematic Index	Narrow	FINX	Various
Open-end Management Investment Company	Investment Company Units	Financial Select Sector Index	Narrow	FINZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Health and Fitness Index	Narrow	FITS	Various
Open-end Management Investment Company	Investment Company Units	ISE Clean Edge Water Index	Narrow	FIW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FIXD	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Japan Index	Broad	FJP	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX South Korea Index	Broad	FKO	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX United Kingdom Index	Broad	FKU	Various
Open-end Management Investment Company	Investment Company Units	WeatherStorm Forensic Accounting Long-Short Index	Broad	FLAG	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays U.S. Treasury 2Y/10Y Yield Curve Index	Narrow	FLAT	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	FLCO	N/A
Corporation	Index-Linked Securities	STOXX Europe 50 Index	Broad	FLEU	Various
Corporation	Index-Linked Securities	Russell 1000 Growth Total Return Index	Broad	FLGE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FLIO	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FLLV	N/A
Open-end Management Investment Company	Investment Company Units	ISE Global Engineering and Construction Index	Narrow	FLM	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Latin America Index	Broad	FLN	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US Floating Rate Note < 5 Years Index	Narrow	FLOT	OTC
Open-end Management Investment Company	Investment Company Units	LibertyQ Global Dividend Index	Broad	FLQD	Various
Open-end Management Investment Company	Investment Company Units	LibertyQ Emerging Markets Index	Broad	FLQE	Various
Open-end Management Investment Company	Investment Company Units	LibertyQ Global Equity Index	Broad	FLQG	Various
Open-end Management Investment Company	Investment Company Units	LibertyQ International Equity Hedged Index	Broad	FLQH	Various
Open-end Management Investment Company	Investment Company Units	LibertyQ US Large Cap Equity Total Return Index	Broad	FLQL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	LibertyQ US Mid Cap Equity Index Total Return	Broad	FLQM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	LibertyQ US Small Cap Equity Index Total Return	Broad	FLQS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US Floating Rate Note < 5 Years Index	Narrow	FLRN	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FLRT	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FLTB	N/A
Open-end Management Investment Company	Investment Company Units	MVIS US Investment Grade Floating Rate Index	Broad	FLTR	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Frontier Markets 100 Index	Broad	FM	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Materials Index	Narrow	FMAT	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FMB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FMF	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Mega Cap Index	Broad	FMK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Financials Diversified Multiple-Factor Capped Index	Broad	FNCF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Financials Index	Narrow	FNCL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell RAFI U.S. Small Company Index	Broad	FNDA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell RAFI U.S. Index	Broad	FNDB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell RAFI Developed ex-U.S. Small Company Index	Broad	FNDC	Various
Open-end Management Investment Company	Investment Company Units	Russell RAFI Emerging Markets Large Company Index	Broad	FNDE	Various
Open-end Management Investment Company	Investment Company Units	Russell RAFI Developed ex-U.S. Large Company Index	Broad	FNDF	Various
Open-end Management Investment Company	Investment Company Units	Russell RAFI U.S. Large Company Index	Broad	FNDX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FNG	N/A
Open-end Management Investment Company	Investment Company Units	ISE ChIndia Index	Broad	FNI	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Mid Cap Value Index	Broad	FNK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Mid Cap Core Index	Broad	FNX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Mid Cap Growth Index	Broad	FNZ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Aluminum Pure Beta TR Index	Narrow	FOIL	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ CTA Smartphone Index	Narrow	FONE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Asia Pacific Ex-Japan Index	Broad	FPA	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FPE	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	IPOX-100 U.S. Index	Broad	FPX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IPOX International Index	Broad	FPXI	Various
Open-end Management Investment Company	Investment Company Units	Fidelity U.S. Quality Factor Index	Broad	FQAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Unconventional Oil & Gas Index	Narrow	FRAK	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Real Estate Index	Narrow	FREL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P United States REIT Index	Narrow	FRI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BNY Mellon New Frontier Index	Broad	FRN	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Consumer Staples Index	Narrow	FSTA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Switzerland Index	Broad	FSZ	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Large Cap Value Index	Broad	FTA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Global Agriculture Index	Narrow	FTAG	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Large Cap Growth Index	Broad	FTC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	The NASDAQ Capital Strength Index	Broad	FTCS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Information Technology Index	Narrow	FTEC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTGC	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTHI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTLB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTLS	N/A
Open-end Management Investment Company	Investment Company Units	Indxx Global Natural Resources Income Index	Narrow	FTRI	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTSD	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTSL	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FTSM	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Taiwan Index	Broad	FTW	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Retail Index	Narrow	FTXD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Food & Beverage Index	Narrow	FTXG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Pharmaceuticals Index	Narrow	FTXH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Semiconductor Index	Narrow	FTXL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Oil & Gas Index	Narrow	FTXN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Banks Index	Narrow	FTXO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq US Smart Transportation Index	Narrow	FTXR	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Food	Narrow	FUD	Various
Corporation	Index-Linked Securities	MLCX Biofuels Index (Exchange Series) - Total Return	Narrow	FUE	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FUT	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA IMI Utilities Index	Narrow	FUTY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Focus Five Index	Broad	FV	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Fidelity U.S. Value Factor Index	Broad	FVAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Dynamic Focus Five Index	Broad	FVC	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Value Line Dividend Index	Broad	FVD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Value Line 100 Index	Broad	FVL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FWDB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FWDD	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	FWDI	N/A
Trust	Currency Trust Shares	AUD/USD Exchange Rate	Not index	FXA	OTC
Trust	Currency Trust Shares	GBP/USD Exchange Rate	Not index	FXB	OTC
Trust	Currency Trust Shares	USD/CAD Exchange Rate	Not index	FXC	OTC
Trust	Currency Trust Shares	Chinese Renminbi Spot Price	Not index	FXCH	OTC
Open-end Management Investment Company	Investment Company Units	StrataQuant Consumer Discretionary Index	Narrow	FXD	NYSE, Nasdaq, NYSE American
Trust	Currency Trust Shares	Euro/USD Exchange Rate	Not index	FXE	OTC
Open-end Management Investment Company	Investment Company Units	S&P EPAC ex. Korea Low Volatility USD Hedged Index	Broad	FXEP	Various
Open-end Management Investment Company	Investment Company Units	S&P Eurozone Low Volatility USD Hedged Index	Broad	FXEU	Various
Trust	Currency Trust Shares	USD/CHF Exchange Rate	Not index	FXF	OTC
Open-end Management Investment Company	Investment Company Units	StrataQuant Consumer Staples Index	Narrow	FXG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	StrataQuant Health Care Index	Narrow	FXH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE China 50 Index HKD	Broad	FXI	Various
Open-end Management Investment Company	Investment Company Units	S&P Japan 500 Low Volatility USD Hedged Index	Broad	FXJP	Various
Open-end Management Investment Company	Investment Company Units	StrataQuant Technology Index	Narrow	FXL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	StrataQuant Energy Index	Narrow	FXN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	StrataQuant Financials Index	Narrow	FXO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE China 50 Index HKD	Broad	FXP	Various
Open-end Management Investment Company	Investment Company Units	StrataQuant Industrials Index	Narrow	FXR	NYSE, Nasdaq, NYSE American
Trust	Currency Trust Shares	USD/SEK Exchange Rate	Not index	FXS	OTC
Trust	Currency Trust Shares	U.S. Dollar / Singapore Dollar Exchange Rate	Not index	FXSG	OTC
Open-end Management Investment Company	Investment Company Units	StrataQuant Utilities Index	Narrow	FXU	NYSE, Nasdaq, NYSE American
Trust	Currency Trust Shares	USD/JPY Exchange Rate	Not index	FXY	OTC
Open-end Management Investment Company	Investment Company Units	StrataQuant Materials Index	Narrow	FXZ	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Small Cap Growth Index	Broad	FYC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Cambria Foreign Shareholder Yield Index	Broad	FYLD	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Small Cap Value Index	Broad	FYT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Small Cap Core Index	Broad	FYX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Cambria Global Asset Allocation Index	Broad	GAA	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	S&P Mid-East and Africa BMI Index	Broad	GAF	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GAL	N/A
Open-end Management Investment Company	Investment Company Units	EEFund Video Game Tech Index	Narrow	GAMR	Various
Open-end Management Investment Company	Investment Company Units	Reality Shares DIVCON Dividend Guard Index	Broad	GARD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ISE-Revere Natural Gas Index	Narrow	GASL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ISE-Revere Natural Gas Index	Narrow	GASX	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Bloomberg Natural Gas SubIndex Total Return	Narrow	GAZ	Various
Corporation	Index-Linked Securities	Bloomberg Natural Gas SubIndex Total Return	Narrow	GAZB	Various
Corporation	Index-Linked Securities	GBP/USD Exchange Rate	Not index	GBB	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Government/Credit Bond Index	Narrow	GBF	OTC
Open-end Management Investment Company	Investment Company Units	Citi US Treasury 0-1 Year Composite Select Index	Narrow	GBIL	OTC
Trust	Trust Issued Receipts	Thomson Reuters Equal Weight Continuous Commodity Total Return Index	Broad	GCC	Various
Corporation	Index-Linked Securities	Claymore CEF Index	Broad	GCE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Pacer Global Cash Cows Dividends Index	Broad	GCOW	Various
Open-end Management Investment Company	Investment Company Units	MVIS Global Junior Gold Miners Index	Narrow	GDJJ	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GDVD	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	GDX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Junior Gold Miners Index	Narrow	GDXJ	Various
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	GDXS	Various
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	GDXX	Various
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta Emerging Markets Equity Index	Broad	GEM	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ Global Millennial Opportunity Index	Broad	GENY	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GEUR	N/A
Open-end Management Investment Company	Investment Company Units	Ardour Global Index (Extra Liquid)	Narrow	GEX	Various
Open-end Management Investment Company	Investment Company Units	Markit iBoxx EUR Germany Sovereign & Sub-Sovereign Liquid Index	Narrow	GGOV	OTC
Open-end Management Investment Company	Investment Company Units	S&P High Income Infrastructure Index	Narrow	GIII	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GHS	N/A
Open-end Management Investment Company	Investment Company Units	Markit iBoxx Global Developed Markets High Yield Index	Broad	GHYG	OTC
Open-end Management Investment Company	Investment Company Units	Citi Goldman Sachs Investment Grade Corporate Bond Index	Broad	GIGB	OTC
Open-end Management Investment Company	Investment Company Units	S&P Global Infrastructure Index	Narrow	GII	Various
Trust	Commodity-Based Trust Shares	The Spot Price of a Troy Ounce of Gold	Not index	GLD	OTC
Corporation	Index-Linked Securities	Credit Suisse NASDAQ Gold FLOWS 103 Index	Broad	GLDI	Various
Trust	Commodity-Based Trust Shares	Solactive GLD Long USD Gold Index	Narrow	GLDW	OTC
Trust	Trust Issued Receipts	The Spot Price of a Troy Ounce of Gold	Not index	GLL	Various
Trust	Commodity-Based Trust Shares	Platinum Spot Price	Not index	GLTR	OTC
Open-end Management Investment Company	Investment Company Units	S&P Asia Pacific Emerging BMI Index	Broad	GMF	Various
Open-end Management Investment Company	Investment Company Units	Guggenheim Multi-Factor Large Cap Index	Broad	GMFL	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Latin America BMI Index	Broad	GML	Various
Open-end Management Investment Company	Investment Company Units	S&P Emerging BMI Index	Broad	GMM	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GMMB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GMOM	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GMTB	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. GNMA Bond Index	Narrow	GNMA	OTC
Open-end Management Investment Company	Investment Company Units	S&P Global Natural Resources Index	Narrow	GNR	Various
Open-end Management Investment Company	Investment Company Units	Indxx Global Generics & New Pharma Index	Narrow	GNRX	Various
Open-end Management Investment Company	Investment Company Units	US Global GO GOLD and Precious Metals Miners Index	Narrow	GOAU	Various
Open-end Management Investment Company	Investment Company Units	Solactive Global Gold Explorers & Developers Total Return Index	Narrow	GOEX	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury Core Bond Index	Narrow	GOVT	OTC
Open-end Management Investment Company	Investment Company Units	Northern Trust Global Quality Real Estate Index	Narrow	GQRE	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Greece Select 25/50 Index	Broad	GREK	Various
Open-end Management Investment Company	Investment Company Units	IQ Global Resources Index	Narrow	GRES	Various
Open-end Management Investment Company	Investment Company Units	Cohen & Steers Global Realty Majors Index	Narrow	GRI	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX Clean Edge Smart Grid Infrastructure Index	Narrow	GRID	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Global Carbon Index	Narrow	GRN	Various
Open-end Management Investment Company	Investment Company Units	S&P Green Bond Select Index	Broad	GRNB	OTC
Corporation	Index-Linked Securities	MLCX Grains Index - Total Return	Narrow	GRU	Various
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Softs Pure Beta TR	Narrow	GRWN	Various
Corporation	Index-Linked Securities	S&P GSCI Enhanced Commodity Index TR	Broad	GSC	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	WisdomTree Small Cap Dividend Index	Broad	GSD	Various
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta Europe Equity Index	Broad	GSEU	Various
Trust	Commodity-Based Trust Shares	S&P GSCI Total Return	Broad	GSG	CME
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta International Equity Index	Broad	GSIE	Various
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta Japan Equity Index	Broad	GSJY	Various
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta U.S. Large Cap Equity Index	Broad	GSLC	Various
Corporation	Index-Linked Securities	S&P GSCI Total Return	Broad	GSP	Various
Open-end Management Investment Company	Investment Company Units	Goldman Sachs ActiveBeta U.S. Small Cap Equity Index	Broad	GSSC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GSY	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GTO	N/A
Open-end Management Investment Company	Investment Company Units	WisdomTree Middle East Dividend Index	Broad	GULF	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Global Upstream Natural Resources Index	Narrow	GUNR	Various
Open-end Management Investment Company	Investment Company Units	S&P European Emerging BMI Capped Index	Broad	GUR	Various
Open-end Management Investment Company	Investment Company Units	Solactive Guru International Index	Broad	GURI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Guru Index	Broad	GURU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Oil & Gas Exploration & Production Select Industry Index	Narrow	GUSH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Cambria Global Value Index	Broad	GVAL	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Intermediate Government/Credit Bond Index	Narrow	GVI	OTC
Open-end Management Investment Company	Investment Company Units	Goldman Sachs Hedge Fund VIP Index	Broad	GVIP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Index	Broad	GWL	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. Under USD2 Billion Index	Broad	GWX	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P China BMI Index	Broad	GXC	Various
Open-end Management Investment Company	Investment Company Units	FTSE Nordic 30 Index	Broad	GXF	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Colombia Select 25/50 Index	Broad	GXG	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	GYEN	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones Global Composite Yield Index	Broad	GYLD	Various
Open-end Management Investment Company	Investment Company Units	ISE Cyber Security Index	Narrow	HACK	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Minimum Volatility 100% Hedged to USD Index	Broad	HACV	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI 100% Hedged to USD Index	Broad	HACW	Various
Open-end Management Investment Company	Investment Company Units	CSI 300 Smart Index	Broad	HAHA	Various
Open-end Management Investment Company	Investment Company Units	ISE Cyber Security Index	Narrow	HAKK	Various
Open-end Management Investment Company	Investment Company Units	AlphaShares China Small Cap Index	Broad	HAO	Various
Open-end Management Investment Company	Investment Company Units	VanEck Natural Resources Index	Narrow	HAP	Various
Open-end Management Investment Company	Investment Company Units	MSCI Australia US Dollar Hedged Index	Broad	HAUD	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI ex-USA US Dollar Hedged Index	Broad	HAWX	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HCOR	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA Health Care Diversified Multiple-Factor Capped Index	Narrow	HCRF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI ACWI ex-USA High Dividend Yield U.S. Dollar Hedged Index	Broad	HDAW	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets High Dividend Yield US Dollar Hedged Index	Broad	HDEE	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE High Dividend Yield US Dollar Hedged Index	Broad	HDEF	Various
Open-end Management Investment Company	Investment Company Units	MSCI EMU High Dividend Yield US Dollar Hedged Index	Broad	HDEZ	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Merrill Lynch Factor Model--Exchange Series	Broad	HDX	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HDGE	N/A
Corporation	Index-Linked Securities	Solactive US High Dividend Low Volatility Index	Broad	HDLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HDMV	N/A
Open-end Management Investment Company	Investment Company Units	WisdomTree Global ex-US Hedged Real Estate Index	Narrow	HDRW	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Dividend Yield Focus Index	Broad	HDV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P International Dividend Opportunities USD Hedged Index	Broad	HDWX	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HECO	N/A
Open-end Management Investment Company	Investment Company Units	WisdomTree Europe Hedged Equity Index	Broad	HEDJ	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets 100% Hedged to USD Index	Broad	HEEM	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE US Dollar Hedged Index	Broad	HEFA	Various
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Minimum Volatility 100% Hedged to USD Index	Broad	HEFV	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Minimum Volatility (USD) 100% Hedged to USD Index	Broad	HEMV	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe Small Cap 100% Hedged to USD Index	Broad	HEUS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe Minimum Volatility (USD) 100% Hedged to USD Index	Broad	HEUV	Various
Corporation	Index-Linked Securities	Barelays Capital Commodity Index Industrial Metals Pure Beta TR	Narrow	HEVY	Various
Open-end Management Investment Company	Investment Company Units	MSCI Canada 100% Hedged to USD Index	Broad	HEWC	Various
Open-end Management Investment Company	Investment Company Units	MSCI Germany US Dollar Hedged Index	Broad	HEWG	Various
Open-end Management Investment Company	Investment Company Units	MSCI Italy 25/50 US Dollar Hedged Index	Broad	HEWI	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan US Dollar Hedged Index	Broad	HEWJ	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Switzerland 25/50 100% Hedged to USD Index	Broad	HEWL	Various
Open-end Management Investment Company	Investment Company Units	MSCI Spain 25/50 US Dollar Hedged Index	Broad	HEWP	Various
Open-end Management Investment Company	Investment Company Units	MSCI United Kingdom US Dollar Hedged Index	Broad	HEWU	Various
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 US Dollar Hedged Index	Broad	HEWW	Various
Open-end Management Investment Company	Investment Company Units	MSCI Korea 25/50 US Dollar Hedged Index	Broad	HEWY	Various
Open-end Management Investment Company	Investment Company Units	MSCI EMU 100% Hedged to USD Index	Broad	HEZU	Various
Open-end Management Investment Company	Investment Company Units	EURO STOXX 50 Hedged USD Index	Broad	HFEZ	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe 50% Hedged to USD Index	Broad	HFEX	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex North America 50% Hedged to USD Index	Broad	HFXI	Various
Open-end Management Investment Company	Investment Company Units	FTSE Japan 50% Hedged to USD Index	Broad	HFXJ	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe 100% Hedged to USD Index	Broad	HGEU	Various
Open-end Management Investment Company	Investment Company Units	Zacks International Multi-Asset Income Index	Broad	HGI	Various
Open-end Management Investment Company	Investment Company Units	FTSE Japan 100% Hedged to USD Index	Broad	HGJP	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Global Hedged SmallCap Dividend Index	Broad	HGSD	Various
Open-end Management Investment Company	Investment Company Units	Markit iBoxx Global Developed Markets ex-US High Yield (USD Hedged) Index	Broad	HHYX	OTC
Open-end Management Investment Company	Investment Company Units	Beta Advantage Emerging Markets Quality Dividend Index	Broad	HILO	Various
Open-end Management Investment Company	Investment Company Units	TFMS HIPS 300 Index	Broad	HIPS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	JPX-Nikkei 400 Net Total Return USD Hedged Index	Broad	HJPX	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HOLD	N/A
Corporation	Index-Linked Securities	ISE Exclusively Homebuilders Index	Narrow	HOML	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HQBD	N/A
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Small Cap US Dollar Hedged Index	Broad	HSCZ	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Index Stock Covered Call Index	Broad	HSPX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HTUS	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HUSE	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HUSV	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Municipal Custom High Yield Composite Index	Broad	HYD	OTC
Open-end Management Investment Company	Investment Company Units	BlackRock High Yield Defensive Bond Index	Broad	HYDB	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays High Yield Very Liquid Index	Broad	HYDD	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Diversified High Yield US Emerging Markets Corporate Plus Index	Broad	HYEM	OTC
Open-end Management Investment Company	Investment Company Units	Markit iBoxx \$ Liquid High Yield Index	Broad	HYG	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HYGH	N/A
Open-end Management Investment Company	Investment Company Units	Citi High Yield (Treasury Rate-Hedged) Index	Broad	HYHG	OTC
Open-end Management Investment Company	Investment Company Units	Solactive High Yield Corporate Bond - Interest Rate Hedged Index	Broad	HYIH	OTC
Open-end Management Investment Company	Investment Company Units	Solactive USD High Yield Corporates Total Market Index	Broad	HYLB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HYLD	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	HYLS	N/A
Open-end Management Investment Company	Investment Company Units	S&P U.S. High Yield Low Volatility Corporate Bond Index	Broad	HYLV	OTC
Open-end Management Investment Company	Investment Company Units	S&P Municipal Yield Index	Broad	HYMB	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch 0-5 Year US High Yield Constrained Negative Seven Duration Index	Broad	HYND	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch 0-5 Year US High Yield Constrained Index	Broad	HYS	OTC
Open-end Management Investment Company	Investment Company Units	Markit iBoxx USD Liquid High Yield ex-Oil & Gas Index	Broad	HYXE	OTC
Open-end Management Investment Company	Investment Company Units	Markit iBoxx Global Developed Markets ex-US High Yield Index	Broad	HYXU	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch 0-5 Year US High Yield Constrained Zero Duration Index	Broad	HYZD	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Global Aggregate ex USD 10% Issuer Capped (Hedged) Index	Broad	IAGG	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Investment Services Index	Narrow	IAI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Insurance Index	Narrow	IAK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Regional Banks Index	Narrow	IAT	NYSE, Nasdaq, NYSE American
Trust	Commodity-Based Trust Shares	The Spot Price of a Troy Ounce of Gold	Not index	IAU	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ Biotechnology Index	Narrow	IBB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2018 Maturity High Quality Corporate Index	Broad	IBCC	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2020 Maturity High Quality Corporate Index	Broad	IBCD	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2023 Maturity High Quality Corporate Index	Broad	IBCE	OTC
Open-end Management Investment Company	Investment Company Units	Inspire Corporate Bond Impact Index	Broad	IBD	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2018 Maturity Corporate Index	Broad	IBDB	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2020 Maturity Corporate Index	Broad	IBDC	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2023 Maturity Corporate Index	Broad	IBDD	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2018 Maturity Corporate Index	Broad	IBDH	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2017 Maturity Corporate Index	Broad	IBDJ	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2019 Maturity Corporate Index	Broad	IBDK	OTC

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Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 2020 Maturity Corporate Index	Broad	IBDL	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2021 Maturity Corporate Index	Broad	IBDM	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2022 Maturity Corporate Index	Broad	IBDN	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2023 Maturity Corporate Index	Broad	IBDO	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2024 Maturity Corporate Index	Broad	IBDP	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2025 Maturity Corporate Index	Broad	IBDQ	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays December 2026 Maturity Corporate Index	Broad	IBDR	OTC
Open-end Management Investment Company	Investment Company Units	iBillionaire Index	Broad	IBLN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series 2017 Index	Broad	IBMF	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series 2018 Index	Broad	IBMG	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series 2019 Index	Broad	IBMH	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series 2020 Index	Broad	IBMI	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series Dec 2021 Index	Broad	IBMJ	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series Dec 2022 Index	Broad	IBMK	OTC
Open-end Management Investment Company	Investment Company Units	S&P AMT-Free Municipal Series Dec 2023 Total Return Index	Broad	IBML	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Global Aggregate ex-USD >\$1B: Corporate Bond Index	Broad	IBND	OTC
Open-end Management Investment Company	Investment Company Units	EQM Online Retail Index	Narrow	IBUY	Various
Open-end Management Investment Company	Investment Company Units	SPADE Impact Index	Broad	ICAN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Cohen & Steers Realty Majors Index	Narrow	ICF	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Optimized Currency Carry Index	Narrow	ICI	OTC

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Open-end Management Investment Company	Investment Company Units	S&P Global Clean Energy Index	Narrow	ICLN	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Colombia Capped Index	Broad	ICOL	Various
Open-end Management Investment Company	Investment Company Units	Pacer Developed Markets International Cash Cows 100 Index	Broad	ICOW	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ICSH	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Convertible Cash Pay Bond > \$250MM Index	Broad	ICVT	OTC
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA IMI	Broad	IDEV	Various
Open-end Management Investment Company	Investment Company Units	S&P EPAC Ex-Korea Low Volatility High Dividend Index	Broad	IDHD	Various
Open-end Management Investment Company	Investment Company Units	S&P Quality Developed ex-U.S. LargeMidCap Index	Broad	IDHQ	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex US Low Beta Equal Weight Index	Broad	IDLB	Various
Open-end Management Investment Company	Investment Company Units	S&P BMI International Developed Low Volatility Index	Broad	IDLV	Various
Open-end Management Investment Company	Investment Company Units	S&P Momentum Developed Ex U.S. & South Korea LargeMidCap Index	Broad	IDMO	Various
Open-end Management Investment Company	Investment Company Units	S-Network International Sector Dividend Dogs Index	Broad	IDOG	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Utilities Index	Narrow	IDU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones EPAC Select Dividend Index	Broad	IDV	Various
Open-end Management Investment Company	Investment Company Units	MVIS Indonesia Index	Broad	IDX	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	IEF	OTC
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Investable Market Index	Broad	IEFA	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 3-7 Year Bond Index	Narrow	IEI	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Investable Market Index	Broad	IEMG	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Oil Exploration & Production Index	Narrow	IEO	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Europe Investable Market Index	Broad	IEUR	Various
Open-end Management Investment Company	Investment Company Units	MSCI Europe Small Cap	Broad	IEUS	Various
Open-end Management Investment Company	Investment Company Units	S&P Europe 350 Index	Broad	IEV	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Oil Equipment & Services Index	Narrow	IEZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE EPRA/NAREIT Developed Europe Index	Broad	IFEU	Various
Open-end Management Investment Company	Investment Company Units	FTSE EPRA/NAREIT Developed Real Estate ex-U.S. Index	Narrow	IFGL	Various
Open-end Management Investment Company	Investment Company Units	Barclays Global Aggregate Corporate Ex USD Bond Index (USD Hedged)	Broad	IFIX	OTC
Open-end Management Investment Company	Investment Company Units	Reality Shares Drone Index	Narrow	IFLY	Various
Open-end Management Investment Company	Investment Company Units	Dorsey Wright International Focus Five Index	Broad	IFV	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	S&P North American Natural Resources Sector Index	Narrow	IGE	Various
Open-end Management Investment Company	Investment Company Units	BlackRock Investment Grade Enhanced Bond Index	Broad	IGEB	OTC
Open-end Management Investment Company	Investment Company Units	J.P. Morgan Custom EM Investment Grade Plus BB-Rated Sovereign USD Bond Index	Broad	IGEM	OTC
Open-end Management Investment Company	Investment Company Units	S&P Global Infrastructure Index	Narrow	IGF	Various
Open-end Management Investment Company	Investment Company Units	Citi Corporate Investment Grade (Treasury Rate-Hedged) Index	Broad	IGHG	OTC
Open-end Management Investment Company	Investment Company Units	Solactive Investment Grade Corporate Bond - Interest Rate Hedged Index	Broad	IGIH	OTC
Open-end Management Investment Company	Investment Company Units	S&P North American Technology Sector Index	Narrow	IGM	Various
Open-end Management Investment Company	Investment Company Units	S&P North American Technology Multimedia Networking Index	Narrow	IGN	Various
Open-end Management Investment Company	Investment Company Units	S&P/Citigroup International Treasury Bond Index Ex-US	Broad	IGOV	OTC
Open-end Management Investment Company	Investment Company Units	Morningstar Global ex-US Dividend Growth Index	Broad	IGRO	Various
Open-end Management Investment Company	Investment Company Units	S&P North American Technology Software Index	Narrow	IGV	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Barclays Global Aggregate Treasury Ex USD Issuer Diversified Bond Index (USD Hedged)	Narrow	IGVT	OTC
Open-end Management Investment Company	Investment Company Units	WisdomTree International Hedged Quality Dividend Growth Index	Broad	IHDG	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Pharmaceuticals Index	Narrow	IHE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Health Care Providers Index	Narrow	IHF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Medical Equipment Index	Narrow	IHI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Global Ex-US Issuers High Yield Constrained Index	Broad	IHY	OTC
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	IJH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Value Index	Broad	IJJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Growth Index	Broad	IJK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	IJR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Value Index	Broad	IJS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Growth Index	Broad	IJT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Latin America 40 Index	Broad	ILF	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Universal 10+ Year Index	Broad	ILTB	OTC
Open-end Management Investment Company	Investment Company Units	ETFx HealthTech Index	Narrow	IMED	Various
Corporation	Index-Linked Securities	S&P MLP Index	Narrow	IMLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Alpha Architect International Quantitative Momentum Index	Broad	IMOM	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US Universal 5-10 Years Index	Broad	IMTB	OTC
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Momentum Index	Broad	IMTM	Various
Open-end Management Investment Company	Investment Company Units	INDXX India Consumer Index	Narrow	INCO	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI India Total Return Index	Broad	INDA	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA Industrials Diversified Multiple-Factor Capped Index	Narrow	INDF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI India Total Return Index	Broad	INDL	Various
Open-end Management Investment Company	Investment Company Units	Nifty 50 Index	Broad	INDY	Various
Open-end Management Investment Company	Investment Company Units	RARE Global Infrastructure Index	Narrow	INFR	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	INKM	N/A
Corporation	Index-Linked Securities	MSCI India Total Return Index	Broad	INP	Various
Corporation	Index-Linked Securities	S&P Indian Rupee Total Return Index	Narrow	INR	OTC
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Diversified Multiple-Factor Index	Broad	INTF	Various
Open-end Management Investment Company	Investment Company Units	INDXX India Infrastructure Index	Narrow	INXX	Various
Open-end Management Investment Company	Investment Company Units	IQ Global Oil Small Cap Index	Narrow	IOIL	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 100 Index	Broad	IOO	Various
Open-end Management Investment Company	Investment Company Units	MSCI Pacific Investable Market Index	Broad	IPAC	Various
Open-end Management Investment Company	Investment Company Units	ISE Mobile Payments Index	Narrow	IPAY	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Consumer Discretionary Sector Index	Narrow	IPD	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Government Inflation-linked Bond Index	Narrow	IPE	OTC
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Financials Sector Index	Narrow	IPF	Various
Open-end Management Investment Company	Investment Company Units	S&P International Preferred Stock Index	Broad	IPFF	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Information Technology Sector Index	Narrow	IPK	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ International BuyBack Achievers	Broad	IPKW	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Industrial Sector Index	Narrow	IPN	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Renaissance IPO Index	Broad	IPO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Renaissance International IPO Index	Broad	IPOS	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Consumer Staples Sector Index	Narrow	IPS	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Utilities Sector Index	Narrow	IPU	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Energy Sector Index	Narrow	IPW	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust International Quality Dividend Defensive Index	Broad	IQDE	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust International Quality Dividend Index	Broad	IQDF	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree International Quality Dividend Growth Index	Broad	IQDG	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust International Quality Dividend Dynamic Index	Broad	IQDY	Various
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Sector Neutral Quality Index	Broad	IQLT	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Materials Sector Index	Narrow	IRV	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Health Care Sector Index	Narrow	IRY	Various
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Small Cap Diversified Multiple-Factor Index	Broad	ISCF	Various
Open-end Management Investment Company	Investment Company Units	S&P/Citigroup International Treasury Bond Index Ex-US 1-3 Year	Broad	ISHG	OTC
Open-end Management Investment Company	Investment Company Units	Inspire Small/Mid Cap Impact Equal Weight Index	Broad	ISMD	Various
Open-end Management Investment Company	Investment Company Units	BlueStar Israel Global Index	Broad	ISRA	Various
Open-end Management Investment Company	Investment Company Units	S&P Developed Ex-U.S. BMI Telecommunication Services Sector Index	Narrow	IST	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Universal 1-5 Year Index	Broad	ISTB	OTC
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Risk Weighted Index	Broad	ISZE	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Aerospace & Defense Index	Narrow	ITA	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Home Construction Index	Narrow	ITB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Intermediate U.S. Treasury Index	Narrow	ITE	OTC
Open-end Management Investment Company	Investment Company Units	TASE-BlueStar Israel Global Technology Index	Narrow	ITEQ	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays AMT-Free Intermediate Continuous Municipal Index	Broad	ITM	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays AMT-Free 12-17 Year Intermediate Continuous Municipal Index	Broad	ITML	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays AMT-Free 6-8 Year Intermediate Continuous Municipal Index	Broad	ITMS	OTC
Open-end Management Investment Company	Investment Company Units	S&P Total Market Index	Broad	ITOT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Intermediate U.S. Corporate Index	Broad	ITR	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US Universal Index	Broad	IUSB	OTC
Open-end Management Investment Company	Investment Company Units	S&P 900 Growth Index	Broad	IUSG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 900 Value Index	Broad	IUSV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Alpha Architect International Quantitative Value Index	Broad	IVAL	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Value Index	Broad	IVE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI World ex USA Enhanced Value Index	Broad	IVLU	Various
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Growth Index	Broad	IVOG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	IVOO	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index Excess Return	Broad	IVOP	Various
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Value Index	Broad	IVOV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	IVV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Growth Index	Broad	IVW	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Russell 1000 Index	Broad	IWB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Microcap Index	Broad	IWC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Value Index	Broad	IWD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Growth Index	Broad	IWF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Index	Broad	IWL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	IWM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Value Index	Broad	IWN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Growth Index	Broad	IWO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell MidCap Growth Index	Broad	IWP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell MidCap Index	Broad	IWR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell MidCap Value Index	Broad	IWS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 3000 Index	Broad	IWV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Value Index	Broad	IWX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Growth Index	Broad	IWY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Energy Sector Index	Narrow	IXC	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Financials Sector Index	Narrow	IXG	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Healthcare Sector Index	Narrow	IXJ	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Information Technology Sector Index	Narrow	IXN	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Telecommunications Services Index	Narrow	IXP	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Country World Ex-USA Investable Markets	Broad	IXUS	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Services Index	Narrow	IYC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Oil & Gas Index	Narrow	IYE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Financials Index	Narrow	IYF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Financial Services Index	Narrow	IYG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Health Care Index	Narrow	IYH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Industrials Index	Narrow	IYJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Goods Index	Narrow	IYK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Multi-Asset High Income Index	Broad	IYLD	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Basic Materials Index	Narrow	IYM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Real Estate Index	Narrow	IYR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Transportation Average	Narrow	IYT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Technology Index	Narrow	IYW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Index	Broad	IYY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Telecommunications Index	Narrow	IYZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Junior Gold Miners Index	Narrow	JDST	Various
Corporation	Index-Linked Securities	Barclays GEMS USD	Broad	JEM	OTC
Open-end Management Investment Company	Investment Company Units	U.S. Global Jets Index	Narrow	JETS	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Japan Hedged Quality Dividend Growth Index	Broad	JHDG	Various
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Materials Index	Narrow	JHMA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Consumer Discretionary Index	Narrow	JHMC	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Developed International Index	Broad	JHMD	Various
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Energy Index	Narrow	JHME	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Financials Index	Narrow	JHMF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Healthcare Index	Narrow	JHMH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Industrials Index	Narrow	JHMI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Large Cap Index	Narrow	JHML	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Mid Cap Index	Broad	JHMM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Consumer Staples Index	Narrow	JHMS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Technology Index	Narrow	JHMT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	John Hancock Dimensional Utilities Index	Narrow	JHMU	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Bloomberg Agriculture Subindex Total Return	Narrow	JJA	Various
Corporation	Index-Linked Securities	Bloomberg Copper Subindex Total Return	Narrow	JJC	Various
Corporation	Index-Linked Securities	Bloomberg Energy Subindex Total Return	Narrow	JJE	Various
Corporation	Index-Linked Securities	Bloomberg Grains Subindex Total Return	Narrow	JJG	Various
Corporation	Index-Linked Securities	Bloomberg Industrial Metals Subindex Total Return	Narrow	JJM	Various
Corporation	Index-Linked Securities	Bloomberg Nickel Subindex Total Return	Narrow	JJN	Various
Corporation	Index-Linked Securities	Bloomberg Precious Metals Subindex Total Return	Narrow	JJP	Various
Corporation	Index-Linked Securities	Bloomberg Softs Subindex Total Return	Narrow	JJS	Various
Corporation	Index-Linked Securities	Bloomberg Tin Subindex Total Return	Narrow	JJT	Various
Corporation	Index-Linked Securities	Bloomberg Aluminum Subindex Total Return	Narrow	JJU	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Large Core Index	Broad	JKD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Large Growth Index	Broad	JKE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Large Value Index	Broad	JKF	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Morningstar Mid Core Index	Broad	JKG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Mid Growth Index	Broad	JKH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Mid Value Index	Broad	JKI	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Small Core Index	Broad	JKJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Small Growth Index	Broad	JKK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Small Value Index	Broad	JKL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays High Yield Very Liquid Index	Broad	JNK	OTC
Open-end Management Investment Company	Investment Company Units	MVIS Global Junior Gold Miners Index	Narrow	JNUG	Various
Corporation	Index-Linked Securities	Bloomberg Coffee Subindex Total Return	Narrow	JO	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Diversified Factor 100% Hedged to USD Index	Broad	JPEH	Various
Open-end Management Investment Company	Investment Company Units	FTSE Emerging Diversified Factor Index	Broad	JPEM	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Diversified Factor Index	Broad	JPEU	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	JPGB	N/A
Open-end Management Investment Company	Investment Company Units	FTSE Developed Diversified Factor Index	Broad	JPGE	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	JPHF	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	JPHY	N/A
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex North America Diversified Factor 100% Hedged to USD Index	Broad	JPIH	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex North America Diversified Factor Index	Broad	JPIN	Various
Open-end Management Investment Company	Investment Company Units	Russell Midcap Diversified Factor Index	Broad	JPME	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Japan Minimum Volatility (USD) Index	Broad	JPMV	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	JPX-Nikkei 400 Index	Broad	JPN	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Index	Broad	JPNL	Various
Open-end Management Investment Company	Investment Company Units	Russell 2000 Diversified Factor Index	Broad	JPSE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	JPST	N/A
Open-end Management Investment Company	Investment Company Units	Russell 1000 Diversified Factor Index	Broad	JPUS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	JPX-Nikkei 400 Index	Broad	JPXN	Various
Open-end Management Investment Company	Investment Company Units	Janus Small/Mid Cap Growth Alpha Index	Broad	JSMD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Janus Small Cap Growth Alpha Index	Broad	JSML	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Utilities Sector Index	Narrow	JXI	Various
Corporation	Index-Linked Securities	USD/JPY Exchange Rate	Not index	JYN	OTC
Open-end Management Investment Company	Investment Company Units	MSCI China A International Index	Broad	KBA	Various
Open-end Management Investment Company	Investment Company Units	S&P Banks Select Industry Index	Narrow	KBE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	KBW Nasdaq Bank Index	Narrow	KBWB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	KBW Nasdaq Financial Sector Dividend Yield Index	Narrow	KBWD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	KBW Nasdaq Property & Casualty Index	Narrow	KBWP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	KBW Nasdaq Regional Banking Index	Narrow	KBWR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	KBW Nasdaq Premium Yield Equity REIT Index	Narrow	KBWY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Capital Markets Select Industry Index	Narrow	KCE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CSI Diversified High Grade Commercial Paper Index	Broad	KCNY	OTC
Open-end Management Investment Company	Investment Company Units	FTSE Emerging incl China Overseas non-R/QFII GDP Weighted Index	Broad	KEMP	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Zacks New China Index	Broad	KFYP	Various
Open-end Management Investment Company	Investment Company Units	S&P Insurance Select Industry Index	Narrow	KIE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Knowledge Leaders Developed World Index	Broad	KLDW	Various
Open-end Management Investment Company	Investment Company Units	Sabrient Multi-Cap Insider/Analyst Quant-Weighted Index	Broad	KNOW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Coal Index	Narrow	KOL	Various
Trust	Trust Issued Receipts	Bloomberg Natural Gas Subindex	Narrow	KOLD	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	KOR	N/A
Open-end Management Investment Company	Investment Company Units	MSCI Korea 25/50 Index	Broad	KORU	Various
Open-end Management Investment Company	Investment Company Units	S&P Regional Banks Select Industry Index	Narrow	KRE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Concinnity Conscious Companies Index	Broad	KRMA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ Australia Small Cap Index	Broad	KROO	Various
Open-end Management Investment Company	Investment Company Units	S&P Regional Banks Select Industry Index	Narrow	KRS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Regional Banks Select Industry Index	Narrow	KRU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Saudi Arabia Investable Market Index (IMI) 25/50 Index	Broad	KSA	Various
Open-end Management Investment Company	Investment Company Units	CSI Overseas China Internet Index	Narrow	KWEB	Various
Open-end Management Investment Company	Investment Company Units	MVIS Global Solar Energy Index	Narrow	KWT	Various
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Consumer Staples Sector Index	Narrow	KXI	Various
Open-end Management Investment Company	Investment Company Units	S&P Biotechnology Select Industry Index	Narrow	LABD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Biotechnology Select Industry Index	Narrow	LABS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Biotechnology Select Industry Index	Narrow	LABU	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	LALT	N/A
Open-end Management Investment Company	Investment Company Units	Solactive Latin America Real Estate Index	Narrow	LARE	Various
Corporation	Index-Linked Securities	Wells Fargo Business Development Company Index	Narrow	LBDC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Latin America 40 Index	Broad	LBJ	Various
Corporation	Index-Linked Securities	Bloomberg Lead Subindex Total Return	Narrow	LD	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ LadderRite 0-5 Year USD Corporate Bond Index	Broad	LDRI	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	LDUR	N/A
Open-end Management Investment Company	Investment Company Units	Reality Shares DIVCON Leaders Dividend Index	Broad	LEAD	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Lead Pure Beta TR Index	Narrow	LEDD	Various
Open-end Management Investment Company	Investment Company Units	J.P. Morgan GBI-EM Global Diversified 15% Cap 4.5% Floor Index	Broad	LEMB	OTC
Open-end Management Investment Company	Investment Company Units	SSGA US Large Cap Low Volatility Index	Broad	LGLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Global Lithium Index	Narrow	LIT	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust Credit-Scored U.S. Long Corporate Bond Index	Broad	LKOR	OTC
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	LLSC	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	LLSP	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	LMBS	N/A
Corporation	Index-Linked Securities	Wells Fargo Master Limited Partnership ex Energy Index	Narrow	LMLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Global Longevity Thematic Index	Narrow	LNGR	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Low Carbon Target Index	Broad	LOWC	Various
Open-end Management Investment Company	Investment Company Units	Markit iBoxx \$ Liquid Investment Grade Index	Broad	LQD	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	LQDH	N/A
Corporation	Index-Linked Securities	MSCI US REIT Index	Narrow	LRET	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	LRGE	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA Diversified Multiple-Factor Index	Broad	LRGF	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Livestock Pure Beta TR	Narrow	LSTK	Various
Corporation	Index-Linked Securities	S&P 500 VIX Futures Variable Long/Short Index â€” Short Term	Broad	LSVX	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Telecommunications Index	Narrow	LTL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch 15+ Year US Inflation-Linked Treasury Index	Narrow	LTPZ	OTC
Open-end Management Investment Company	Investment Company Units	Lunt Capital U.S. Large Cap Equity Rotation Index	Broad	LVHB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	QS Low Volatility High Dividend Index	Broad	LVHD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	QS Emerging Markets Low Volatility High Dividend Hedged Index	Broad	LVHE	Various
Open-end Management Investment Company	Investment Company Units	QS International Low Volatility High Dividend Hedged Index	Broad	LVHI	Various
Open-end Management Investment Company	Investment Company Units	Hartford Multifactor Low Volatility International Equity TR Index	Broad	LVIN	Various
Open-end Management Investment Company	Investment Company Units	S&P Global Dividend Opportunities Index	Broad	LVL	Various
Open-end Management Investment Company	Investment Company Units	Hartford Multifactor Low Volatility US Equity TR Index	Broad	LVUS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Long U.S. Corporate Index	Broad	LWC	OTC
Open-end Management Investment Company	Investment Company Units	MSCI USA Materials Diversified Multiple-Factor Capped Index	Narrow	MATF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MATH	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. MBS Index	Narrow	MBB	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. MBS Index	Narrow	MBG	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Constrained Duration US Mortgage Backed Securities Index	Narrow	MBSD	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MCEF	N/A
Open-end Management Investment Company	Investment Company Units	MSCI China Index	Broad	MCHI	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	IQ Hedge Macro Index	Broad	MCRO	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	NASDAQ Multi-Asset Diversified Income Index	Broad	MDIV	Various
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MDY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Growth Index	Broad	MDYG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Mid Cap 400 Value Index	Broad	MDYV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MEAR	N/A
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	MELT	Various
Open-end Management Investment Company	Investment Company Units	Restaurant Leaders Indxx Index	Narrow	MENU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 US Dollar Hedged Index	Broad	MEXX	Various
Corporation	Index-Linked Securities	MSCI EAFE Index	Broad	MFLA	Various
Open-end Management Investment Company	Investment Company Units	CRSP US Mega Cap Index	Broad	MGC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Mega Cap Growth Index	Broad	MGK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Mega Cap Value Index	Broad	MGV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MIDU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MIDZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx Millennials Thematic Index	Broad	MILN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MINC	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MINT	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays AMT-Free Long Continuous Municipal Index	Broad	MLN	OTC
Open-end Management Investment Company	Investment Company Units	Solactive MLP Infrastructure Index	Narrow	MLPA	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Infrastructure Index	Narrow	MLPB	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	Miller/Howard MLP Fundamental Index	Narrow	MLPC	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Miller/Howard MLP Fundamental Index	Narrow	MLPE	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian Natural Gas MLP Index	Narrow	MLPG	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Infrastructure Index	Narrow	MLPI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Junior MLP Composite Index	Narrow	MLPJ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P MLP Index	Narrow	MLPO	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Infrastructure Index	Narrow	MLPQ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Alerian MLP Infrastructure Index	Narrow	MLPS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive MLP & Energy Infrastructure Index	Narrow	MLPX	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Cushing MLP High Income Index	Narrow	MLPY	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P MLP Index	Narrow	MLPZ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	NYSE Multi-Asset High Income Index	Broad	MLTI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 1500 Positive Momentum Tilt Index	Broad	MMTM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ Merger Arbitrage Index	Broad	MNA	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Wide Moat Focus Index	Broad	MOAT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Thematic Market Neutral Momentum Index	Broad	MOM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Agribusiness Index	Narrow	MOO	Various
Corporation	Index-Linked Securities	MVIS Global Mortgage REITs Index	Narrow	MORL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Global Mortgage REITs Index	Narrow	MORT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Global ex-US Moat Focus Index	Broad	MOTI	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Sustainable Impact Index	Broad	MPCT	Various
Open-end Management Investment Company	Investment Company Units	S&P Merger Arbitrage Index	Broad	MRGR	Various
Corporation	Index-Linked Securities	MVIS Global Mortgage REITs Index	Narrow	MRRL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morgan Stanley Technology Index	Narrow	MTK	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI USA Momentum Index	Broad	MTUM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P National AMT-Free Municipal Bond Index	Broad	MUB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MUNI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	MVIN	N/A
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MVV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Materials Sector Index	Narrow	MXI	Various
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MYY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	MZZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Home Construction Index	Narrow	NAIL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P BMI North American Natural Resources Index	Narrow	NANR	Various
Open-end Management Investment Company	Investment Company Units	LocalShares Nashville Index	Narrow	NASH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	NEAR	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	NFLT	N/A
Open-end Management Investment Company	Investment Company Units	Nasdaq US Insider Sentiment Index	Broad	NFO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	STOXX Global Broad Infrastructure Index	Narrow	NFRA	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Nigeria Select 25/50 Index	Broad	NGE	Various
Corporation	Index-Linked Securities	Bloomberg Cocoa Subindex Total Return	Narrow	NIB	Various
Corporation	Index-Linked Securities	Barclays Capital Nickel Pure Beta TR Index	Narrow	NINI	Various
Open-end Management Investment Company	Investment Company Units	MVIS Global Uranium and Nuclear Energy Index	Narrow	NLR	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Dividend Aristocrats Index	Broad	NOBL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Norway IMI 25/50 Index	Broad	NORW	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Enhanced Yield US Broad Bond Index	Broad	NUAG	OTC
Open-end Management Investment Company	Investment Company Units	MSCI TIAA ESG International Developed Markets Equity Index USD -US DOLLAR NETR	Broad	NUDM	Various
Open-end Management Investment Company	Investment Company Units	MSCI TIAA ESG Emerging Markets Equity Index USD -US DOLLAR NETR	Broad	NUEM	Various
Open-end Management Investment Company	Investment Company Units	NYSE Arca Gold Miners Index	Narrow	NUGT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	TIAA ESG USA Large-Cap Growth Index	Broad	NULG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	TIAA ESG USA Large-Cap Value Index	Broad	NULV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	TIAA ESG USA Mid-Cap Growth Index	Broad	NUMG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	TIAA ESG USA Mid-Cap Value Index	Broad	NUMV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select Short-Term REIT Index	Narrow	NURE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Enhanced Yield 1-5 Year US Broad Bond Index	Broad	NUSA	OTC
Open-end Management Investment Company	Investment Company Units	TIAA ESG USA Small-Cap Index	Broad	NUSC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P New York AMT-Free Municipal Bond Index	Broad	NYF	OTC
Open-end Management Investment Company	Investment Company Units	FTSE Developed Asia Pacific Qual / Vol / Yield Factor 5% Capped 100% Hedged to USD Index	Broad	OAPH	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Asia Pacific Qual/Vol/Yield Factor 5% Capped Index	Broad	OASI	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	OCIO	N/A
Open-end Management Investment Company	Investment Company Units	S&P 100 Index	Broad	OEF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Qual / Vol / Yield Factor 5% Capped 100% Hedged to USD Index	Broad	OEUH	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Qual/Vol/Yield Factor 5% Capped Index	Broad	OEUR	Various
Open-end Management Investment Company	Investment Company Units	S&P 100 Equal Weight Index	Broad	OEW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS US Listed Oil Services 25 Index	Narrow	OIH	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	Bloomberg WTI Crude Oil Total Return Subindex	Narrow	OIIL	Various
Corporation	Index-Linked Securities	S&P GSCI Crude Oil Total Return CME	Narrow	OIL	Various
Corporation	Index-Linked Securities	S&P GSCI Crude Oil Total Return CME	Narrow	OILB	Various
Trust	Trust Issued Receipts	Bloomberg WTI Crude Oil Total Return Subindex	Narrow	OILD	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	OILK	N/A
Trust	Trust Issued Receipts	Bloomberg WTI Crude Oil Total Return Subindex	Narrow	OILU	Various
Corporation	Index-Linked Securities	S&P GSCI Crude Oil Total Return CME	Narrow	OILX	Various
Open-end Management Investment Company	Investment Company Units	Solactive Long-Term Care Index	Broad	OLD	Various
Corporation	Index-Linked Securities	Barclays Capital Crude Oil Pure Beta TR Index	Narrow	OLEM	Various
Corporation	Index-Linked Securities	DBIQ Optimum Yield Crude Oil Index Excess Return	Narrow	OLO	Various
Open-end Management Investment Company	Investment Company Units	Russell 1000 Index	Broad	ONEK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Momentum Focused Factor Index	Broad	ONEO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ Composite Index	Broad	ONEQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Low Volatility Focused Factor Index	Broad	ONEV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Yield Focused Factor Index	Broad	ONEY	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Energy Pure Beta TR	Narrow	ONG	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex US Qual/Vol/Yield 5% Capped Factor Index	Broad	ONTL	Various
Open-end Management Investment Company	Investment Company Units	Wilshire Large-Cap Optimized Diversification Index	Broad	OPD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Organics Index	Narrow	ORG	Various
Trust	Commodity-Based Trust Shares	Gold Spot Price	Not index	OUNZ	OTC
Open-end Management Investment Company	Investment Company Units	FTSE US Qual/Vol/Yield Factor 5% Capped Index	Broad	OUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE USA Small Cap Qual/Vol/Yield 3% Capped Factor Index	Broad	OUSM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Guggenheim U.S. Large Cap Optimized Volatility Index	Broad	OVLC	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	FTSE RAFI Developed Asia Pacific ex Japan Index	Broad	PAF	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX Global Agriculture Index	Narrow	PAGG	Various
Open-end Management Investment Company	Investment Company Units	MSCI All Pakistan Select 25/50 Index	Broad	PAK	Various
Trust	Commodity-Based Trust Shares	Palladium Spot Price	Not index	PALL	OTC
Open-end Management Investment Company	Investment Company Units	Indxx US Infrastructure Development Index	Narrow	PAVE	Various
Open-end Management Investment Company	Investment Company Units	WilderHill New Energy Global Innovation Index	Narrow	PBD	Various
Open-end Management Investment Company	Investment Company Units	Dynamic Biotech & Genome Intellidex	Narrow	PBE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Food & Beverage Intellidex	Narrow	PBJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CBOE S&P 500 BuyWrite Index	Broad	PBP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Media Intellidex	Narrow	PBS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WilderHill Clean Energy Index	Narrow	PBW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S-Network Composite Closed-End Fund Index	Broad	PCEF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	DB Emerging Market USD Liquid Balanced Index	Broad	PCY	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PDBC	N/A
Open-end Management Investment Company	Investment Company Units	FTSE RAFI Developed Markets ex-U.S. Mid-Small 1500 Index	Broad	PDN	Various
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Technical Leaders Index	Broad	PDP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Leisure and Entertainment Intellidex	Narrow	PEJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CSI 300 Index	Broad	PEK	Various
Open-end Management Investment Company	Investment Company Units	Solactive Permanent Index	Broad	PERM	Various
Open-end Management Investment Company	Investment Company Units	LPX Direct Listed Private Equity Index	Broad	PEX	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	NASDAQ Dividend Achievers 50 Index	Broad	PEY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	DWA Consumer Cyclical Technical Leaders Index	Narrow	PEZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P U.S. Preferred Stock	Broad	PFF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Indxx REIT Preferred Index	Narrow	PFFR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	DWA Financial Technical Leaders Index	Narrow	PFI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	RAFI Bonds US Investment Grade 1-10 Index	Broad	PFIG	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ US Broad Dividend Achievers Index	Broad	PFM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Prime 5 US Dividend ETF Index	Broad	PFV	NYSE Area, Nasdaq, Bats
Open-end Management Investment Company	Investment Company Units	Wells Fargo Hybrid and Preferred Securities ex Financials Index	Broad	PFXF	Various
Open-end Management Investment Company	Investment Company Units	MSCI ALL Portugal Plus 25/50 Index	Broad	PGAL	Various
Corporation	Index-Linked Securities	Barclays Capital GEMS Pegged Currency	Broad	PGD	OTC
Open-end Management Investment Company	Investment Company Units	Wells Fargo Hybrid & Preferred Securities Financial Index	Broad	PGF	Various
Open-end Management Investment Company	Investment Company Units	DB Global Short Maturity High Yield Bond Index	Broad	PGHY	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ Golden Dragon China Index	Broad	PGJ	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Bloomberg Platinum Subindex Total Return	Narrow	PGM	Various
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch Core Plus Fixed Rate Preferred Securities Index	Broad	PGX	OTC
Open-end Management Investment Company	Investment Company Units	RAFI Bonds US High Yield 1-10 Index	Broad	PHB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PHDG	N/A
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX US Water Index	Narrow	PHO	NYSE, Nasdaq, NYSE American
Trust	Commodity-Based Trust Shares	The Spot Price of a Troy Ounce of Gold	Not index	PHYS	OTC
Open-end Management Investment Company	Investment Company Units	S&P International Corporate Bond Index	Broad	PICB	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Select Metals & Mining Producers Ex Gold & Silver Investable Market Index	Narrow	PICK	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ International Dividend Achievers Index	Broad	PID	Various
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Emerging Markets Technical Leaders Index	Broad	PIE	Various
Open-end Management Investment Company	Investment Company Units	Indus India Index	Broad	PIN	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX Global Water Index	Narrow	PIO	Various
Open-end Management Investment Company	Investment Company Units	Dorsey Wright Developed Markets Technical Leaders Index	Broad	PIZ	Various
Open-end Management Investment Company	Investment Company Units	Dynamic Pharmaceutical Intellidex Index	Narrow	PJP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Building & Construction Intellidex	Narrow	PKB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ Buyback Achievers Index	Broad	PKW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Poland Index	Broad	PLND	Various
Open-end Management Investment Company	Investment Company Units	Ryan/NASDAQ 1-30 Year Treasury Laddered Index	Narrow	PLW	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PMPT	N/A
Open-end Management Investment Company	Investment Company Units	Dynamic Retail Intellidex	Narrow	PMR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ Internet Index	Narrow	PNQI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	SPADEF Defense Index	Narrow	PPA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS US Listed Pharmaceutical 25 Index	Narrow	PPH	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Cushing 30 MLP Index	Narrow	PPLN	NYSE, Nasdaq, NYSE American
Trust	Commodity-Based Trust Shares	Platinum Spot Price	Not index	PPLT	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Municipal Pre-Refunded-Treasury-Escrowed Index	Broad	PRB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PREF	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	FTSE RAFI US 1000 Index	Broad	PRF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE RAFI US 1500 Small-Mid Index	Broad	PRFZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PRME	N/A
Open-end Management Investment Company	Investment Company Units	DWA Industrials Technical Leaders Index	Narrow	PRN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Total 3D-Printing Index	Narrow	PRNT	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX Global Gold and Precious Metals Index	Narrow	PSAU	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ US Small Cap Select Leaders Index	Broad	PSC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Consumer Staples Index	Narrow	PSCC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Consumer Discretionary Index	Narrow	PSCD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Energy Index	Narrow	PSCE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Financials Index	Narrow	PSCF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Health Care Index	Narrow	PSCH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Industrials Index	Narrow	PSCI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Materials Index	Narrow	PSCM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Information Technology Index	Narrow	P SCT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Capped Utilities Index	Narrow	PSCU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ US Price Setters Index	Broad	PSET	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Semiconductor Intellidex	Narrow	PSI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Software Intellidex	Narrow	PSJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Wells Fargo Hybrid and Preferred Securities Aggregate Index	Broad	PSK	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	DWA Consumer Staples Technical Leaders Index	Narrow	PSL	NYSE, Nasdaq, NYSE American
Trust	Commodity-Based Trust Shares	Silver Spot Price	Not index	PSLV	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PSMB	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PSMC	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PSMG	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PSMM	N/A
Open-end Management Investment Company	Investment Company Units	Red Rocks Global Listed Private Equity Index	Broad	PSP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	PSQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	PSR	N/A
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	PST	OTC
Open-end Management Investment Company	Investment Company Units	Pacer Trendpilot European Index	Broad	PTEU	Various
Open-end Management Investment Company	Investment Company Units	DWA Technology Technical Leaders Index	Narrow	PTF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	DWA Healthcare Technical Leaders Index	Narrow	PTH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Pacer Wilshire US Large-Cap Trendpilot Index	Broad	PTLC	Various
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Platinum Excess Return	Narrow	PTM	Various
Open-end Management Investment Company	Investment Company Units	Pacer Wilshire US Mid-Cap Trendpilot Index	Broad	PTMC	Various
Open-end Management Investment Company	Investment Company Units	Pacer NASDAQ-100 Trendpilot Index	Broad	PTNQ	Various
Open-end Management Investment Company	Investment Company Units	DWA Utilities Technical Leaders Index	Narrow	PUI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CBOE S&P 500 Put Write Index	Broad	PUTW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WilderHill Progressive Energy Index	Narrow	PUW	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Bloomberg US Municipal AMT-Free Weekly VRDO Index	Broad	PVI	OTC
Open-end Management Investment Company	Investment Company Units	Dynamic Large Cap Growth Intellidex	Broad	PWB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Market Intellidex	Broad	PWC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Large Cap Value Intellidex	Broad	PWV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch California Long-Term Core Plus Municipal Securities Index	Broad	PWZ	OTC
Open-end Management Investment Company	Investment Company Units	Dynamic Energy Exploration & Production Intellidex	Narrow	PXE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE RAFI Developed ex US 1000 Index	Broad	PXF	Various
Open-end Management Investment Company	Investment Company Units	FTSE RAFI Emerging Markets Index	Broad	PXH	Various
Open-end Management Investment Company	Investment Company Units	DWA Energy Technical Leaders Index	Narrow	PXI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Oil Services Intellidex	Narrow	PXJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Pure Growth Index	Broad	PXLG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Top 200 Pure Value Index	Broad	PXLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Midcap Pure Growth Index	Broad	PXMG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell Midcap Pure Value Index	Broad	PXMV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dynamic Networking Intellidex	Narrow	PXQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S-Network Emerging Infrastructure Builders Index	Narrow	PXR	Various
Open-end Management Investment Company	Investment Company Units	Russell 2000 Pure Growth Index	Broad	PXSG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Pure Value Index	Broad	PXSV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ U.S. Shareholder Yield Index	Broad	PY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	DWA Basic Materials Technical Leaders Index	Narrow	PYZ	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch National Long-Term Core Plus Municipal Securities Index	Broad	PZA	OTC
Open-end Management Investment Company	Investment Company Units	Cleantech Index	Broad	PZD	Various
Open-end Management Investment Company	Investment Company Units	Zacks Micro Cap Index	Broad	PZI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch New York Long-Term Core Plus Municipal Securities Index	Narrow	PZT	OTC
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX ABA Community Bank Index	Narrow	QABA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ Hedge Multi-Strategy Index	Broad	QAI	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	MSCI All Qatar Capped Index	Broad	QAT	Various
Open-end Management Investment Company	Investment Company Units	MSCI Australia Factor Mix A-Series Capped Index	Broad	QAUS	Various
Open-end Management Investment Company	Investment Company Units	MSCI Canada Factor Mix A-Series Capped Index	Broad	QCAN	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ Clean Edge Green Energy Index	Narrow	QCLN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Northern Trust Quality Dividend Defensive Index	Broad	QDEF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Germany Factor Mix A-Series Capped Index	Broad	QDEU	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust Quality Dividend Index	Broad	QDF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Northern Trust Quality Dividend Dynamic Index	Broad	QDYN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ Hedge Event-Driven Index	Broad	QED	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Factor Mix A-Series Index	Broad	QEFA	Various
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Factor Mix A-Series Index	Broad	QEMM	Various
Open-end Management Investment Company	Investment Company Units	MSCI Spain Factor Mix A-Series Capped Index	Broad	QESP	Various
Open-end Management Investment Company	Investment Company Units	MSCI UK Factor Mix A-Series Capped Index	Broad	QGBR	Various
Open-end Management Investment Company	Investment Company Units	IQ Leaders GTAA Index	Broad	QGTA	NYSE Arca, Nasdaq, BATS

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	QID	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Richard Bernstein Advisors Quality Income Index	Broad	QINC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Japan Factor Mix A-Series Capped Index	Broad	QJPN	Various
Open-end Management Investment Company	Investment Company Units	Northern Trust Quality Large Cap Index	Broad	QLC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	QLD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ Hedge Long/Short Index	Broad	QLS	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Corporate Aaa - A Capped Index	Broad	QLTA	OTC
Open-end Management Investment Company	Investment Company Units	IQ Hedge Market Neutral Index	Broad	QMN	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	Alpha Architect Quantitative Momentum Index	Broad	QMOM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Equal Weighted Index	Broad	QQEW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	QQQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ OMX China Technology Index	Narrow	QQQC	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq-100 Equal Weighted Index	Broad	QQQE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Ex-Tech Sector Index	Broad	QQXT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Technology Index	Narrow	QTEC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Sector Neutral Quality Index	Broad	QUAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Factor Mix A-Series Capped Index	Broad	QUS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Alpha Architect Quantitative Value Index	Broad	QVAL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	AI Quality Value Momentum Index	Broad	QVM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI World Factor Mix A-Series Index	Broad	QWLD	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	QuantX Risk Managed Global Growth Index	Broad	QXGG	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	QuantX Risk Managed Multi-Asset Income Index	Broad	QXMI	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	QuantX Risk Managed Real Return Index	Broad	QXRR	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	QuantX Risk Managed Multi-Asset Total Return Index	Broad	QXTR	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	CBOE NASDAQ-100 BuyWrite Index	Broad	QYLD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE RAFI US 1000 Long/Short Total Return Index	Broad	RALS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RAVI	N/A
Open-end Management Investment Company	Investment Company Units	S&P Russia Capped BMI Index	Broad	RBL	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Consumer Discretionary Index	Narrow	RCD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RCOM	N/A
Open-end Management Investment Company	Investment Company Units	Revenue Weighted Ultra Dividend Index	Broad	RDIV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ US Rising Dividend Achievers Index	Broad	RDVY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Emerging Markets Index	Broad	REEM	Various
Open-end Management Investment Company	Investment Company Units	FTSE EPRA/NAREIT Global REIT Index	Narrow	REET	Various
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted International Index	Broad	REFA	Various
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Dividend Aristocrats Index	Broad	REGL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Real Estate Index	Narrow	REK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE NAREIT All Mortgage Capped Index	Narrow	REM	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	FTSE NAREIT All Mortgage Capped Index	Narrow	REML	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Rare Earth/Strategic Metals Index	Narrow	REMX	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Retail Select Industry Index	Narrow	RETL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Technology Index	Narrow	REW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE NAREIT All Residential Capped Index	Narrow	REZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFAP	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFCI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFDA	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFDI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFEM	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFEU	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFEC	N/A
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400/Citigroup Pure Growth Index	Broad	RFG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RFUN	N/A
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400/Citigroup Pure Value Index	Broad	RFV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Industrials Index	Narrow	RGI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Global Index	Broad	RGLB	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Index Consumer Staples	Narrow	RHS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RIGS	N/A
Open-end Management Investment Company	Investment Company Units	Citi 30-Year TIPS (Treasury Rate-Hedged) Index	Narrow	RINF	OTC
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Select Gold Miners Investable Market Index	Narrow	RING	Various
Trust	Trust Issued Receipts	Sit Rising Rate Benchmark Portfolio	Broad	RISE	Various
Corporation	Index-Linked Securities	Rogers International Commodity Index - Agriculture Total Return	Narrow	RJA	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	Rogers International Commodity Index Total Return	Broad	RJI	Various
Corporation	Index-Linked Securities	Rogers International Commodity Index - Energy Total Return	Narrow	RJN	Various
Corporation	Index-Linked Securities	Rogers International Commodity Index-Metals Total Return	Narrow	RJZ	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RLY	N/A
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze Developed International Equity Select Index	Broad	RNDM	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze US Equity Dividend Select Index	Broad	RNDV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze Emerging Markets Equity Select Index	Broad	RNEM	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze Large Cap US Equity Select Index	Broad	RNLC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze US Mid Cap Index	Broad	RNMC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq Riskalyze US Small Cap Index	Broad	RNSC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Hartford Risk-Optimized Multifactor Emerging Markets Index	Broad	ROAM	Various
Open-end Management Investment Company	Investment Company Units	Robo Global Robotics and Automation Index	Narrow	ROBO	Various
Corporation	Index-Linked Securities	Return on Disability US LargeCap ETN Total Return USD Index	Broad	RODI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Hartford Risk-Optimized Multifactor Developed Markets (ex-US) Index	Broad	RODM	Various
Open-end Management Investment Company	Investment Company Units	Hartford Risk-Optimized Multifactor Global Small Cap Index	Broad	ROGS	Various
Corporation	Index-Linked Securities	Russell 1000 Index	Broad	ROLA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Technology Index	Narrow	ROM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	IQ US Real Estate Small Cap Index	Narrow	ROOF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Hartford Risk-Optimized Multifactor REIT Index	Narrow	RORE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Hartford Risk-Optimized Multifactor US Equity Index	Broad	ROUS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Pure Growth	Broad	RPG	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P 500 Pure Value	Broad	RPV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	RRF	N/A
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Index	Broad	RSP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Russia Index	Broad	RSX	Various
Open-end Management Investment Company	Investment Company Units	MVIS Russia Small-Cap Index	Broad	RSXJ	Various
Open-end Management Investment Company	Investment Company Units	MVIS US Listed Retail 25 Index	Narrow	RTH	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Russell 2000 Index	Broad	RTLA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Materials Index	Narrow	RTM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MVIS Russia Index	Broad	RUSL	Various
Open-end Management Investment Company	Investment Company Units	MVIS Russia Index	Broad	RUSS	Various
Open-end Management Investment Company	Investment Company Units	Solactive Municipal Infrastructure Revenue Bond Index	Broad	RVNU	OTC
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Small Cap Index	Broad	RWJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Mid Cap Index	Broad	RWK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Large Cap Index	Broad	RWL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	RWM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Global Select Real Estate Securities Index	Narrow	RWO	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select REIT Index	Narrow	RWR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	OFI Revenue Weighted Financials Sector Index	Narrow	RWW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Global ex-U.S. Select Real Estate Securities Index	Narrow	RWX	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Health Care Index	Narrow	RXD	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Global 1200 Consumer Discretionary Sector Index	Narrow	RXI	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Health Care Index	Narrow	RXL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Energy Index	Narrow	RYE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Financials Index	Narrow	RYF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Health Care Index	Narrow	RYH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Raymond James SB-1 Equity Index	Broad	RYJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Technology Index	Narrow	RYT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Equal Weight Utilities Index	Narrow	RYU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Pure Growth	Broad	RZG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Pure Value	Broad	RZV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	SAA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Aggregate Bond Index	Broad	SAGG	OTC
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	SBB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Poliwogg Medical Breakthroughs Index	Narrow	SBIO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Basic Materials Index	Narrow	SBM	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Pure Beta Series-2 TR Index	Broad	SBV	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SCAP	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Services Index	Narrow	SCC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Small-Cap Total Stock Market Index	Broad	SCHA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Broad Stock Market Index	Broad	SCHB	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	FTSE Developed Small Cap ex-US Liquid Index	Narrow	SCHC	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Dividend 100 Index	Broad	SCHD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Emerging Index	Broad	SCHE	Various
Open-end Management Investment Company	Investment Company Units	FTSE Developed ex-US Index	Broad	SCHF	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Large Cap Growth Total Stock Market Index	Broad	SCHG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Select REIT Index	Narrow	SCHH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Mid-Cap Total Stock Market Index	Broad	SCHM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Capital U.S. 1-3 Year Treasury Bond	Narrow	SCHO	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Treasury Inflation Protected Securities (TIPS) Index (Series-L)	Narrow	SCHP	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 3-10 Year Treasury Bond Index	Narrow	SCHR	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Large-Cap Value Total Stock Market Index	Broad	SCHV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Large-Cap Total Stock Market Index	Broad	SCHX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Aggregate Bond Index	Broad	SCHZ	OTC
Open-end Management Investment Company	Investment Company Units	Scientific Beta Extended Europe Multi-Beta Multi-Strategy Equal Risk Contribution Index	Broad	SCID	Various
Open-end Management Investment Company	Investment Company Units	MVIS India Small-Cap Index	Broad	SCIF	Various
Open-end Management Investment Company	Investment Company Units	Scientific Beta Japan Multi-Beta Multi-Strategy Equal Risk Contribution Index	Broad	SCIJ	Various
Open-end Management Investment Company	Investment Company Units	INDXX India Small Cap Index	Broad	SCIN	Various
Open-end Management Investment Company	Investment Company Units	Scientific Beta United States Multi-Beta Multi-Strategy Equal Risk Contribution Index	Broad	SCIU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Scientific Beta Developed Asia-Pacific ex-Japan Multi-Beta Multi-Strategy Equal Risk Contribution Index	Broad	SCIX	Various
Open-end Management Investment Company	Investment Company Units	MSCI Japan Small Cap Index	Broad	SCJ	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Trust	Trust Issued Receipts	Bloomberg WTI Crude Oil Subindex	Narrow	SCO	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 1-3 Year Corporate Bond Index	Broad	SCPB	OTC
Open-end Management Investment Company	Investment Company Units	JPMorgan U.S. Sector Rotator TR Series X Index	Broad	SCTO	NYSE Area, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	MSCI EAFE Small-Cap Index	Broad	SCZ	Various
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	SDD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Emerging Markets Top 50 Dividend Index	Broad	SDEM	Various
Open-end Management Investment Company	Investment Company Units	Solactive Global SuperDividend Index	Broad	SDIV	Various
Open-end Management Investment Company	Investment Company Units	S-Network Sector Dividend Dogs Index	Broad	SDOG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	SDOW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Utilities Index	Narrow	SDP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SDS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P High Yield Dividend Aristocrats Index	Broad	SDY	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P High Yield Dividend Aristocrats Index	Broad	SDYL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones Global Shipping Index	Narrow	SEA	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Financials Index	Narrow	SEF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Fundamental U.S. Short-term High Yield Corporate Bond Index	Broad	SFHY	OTC
Open-end Management Investment Company	Investment Company Units	WisdomTree Fundamental U.S. Short-term Corporate Bond Index	Broad	SFIG	OTC
Corporation	Index-Linked Securities	S&P 500 Index	Broad	SFLA	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Barclays Capital Sugar Pure Beta TR Index	Narrow	SGAR	Various
Open-end Management Investment Company	Investment Company Units	Sprott Zacks Junior Gold Miners Index	Narrow	SGDJ	Various
Open-end Management Investment Company	Investment Company Units	Sprott Zacks Gold Miners Index	Narrow	SGDM	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Bloomberg Sugar Subindex Total Return	Narrow	SGG	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Trust	Commodity-Based Trust Shares	The Spot Price of a Troy Ounce of Gold	Not index	SGOL	OTC
Open-end Management Investment Company	Investment Company Units	SGI Global Quality Income Index	Broad	SGQI	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Short US AGGY Total Return Index Value Unhedged USD	Broad	SHAG	OTC
Open-end Management Investment Company	Investment Company Units	SSGA Gender Diversity Index	Broad	SHE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Managed Money Municipal Short Term Index	Broad	SHM	OTC
Open-end Management Investment Company	Investment Company Units	Solactive Global Silver Miners Index	Narrow	SHNY	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury Short Bond Index	Narrow	SHV	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 1-3 Year Index	Narrow	SHY	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Municipal High Yield Short Duration Index	Broad	SHYD	OTC
Open-end Management Investment Company	Investment Company Units	Markit iBoxx USD Liquid High Yield 0-5 Index	Broad	SHYG	OTC
Open-end Management Investment Company	Investment Company Units	Health Care Select Sector Index	Narrow	SICK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Industrials Index	Narrow	SIJ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Global Silver Miners Index	Narrow	SIL	Various
Open-end Management Investment Company	Investment Company Units	ISE Junior Silver (Small Cap Miners/Explorers) Index	Narrow	SILJ	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 0-5 Year Government Inflation-Linked Bond Index	Narrow	SIPE	OTC
Trust	Commodity-Based Trust Shares	Silver Spot Price	Not index	SIVR	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Thematic Market Neutral Size Index	Broad	SIZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Risk Weighted Index	Broad	SIZE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Markit iBoxx \$ Liquid High Yield Index	Broad	SJB	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US High Yield 350mn Cash Pay 0-5 Yr 2% Capped Index	Broad	SJNK	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Financials Index	Narrow	SKF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Northern Trust Credit-Scored US Corporate Bond Index	Broad	SKOR	OTC
Open-end Management Investment Company	Investment Company Units	ISE Cloud Computing Index	Narrow	SKYY	Various
Open-end Management Investment Company	Investment Company Units	Solactive Obesity Index	Narrow	SLIM	Various
Open-end Management Investment Company	Investment Company Units	Markit iBoxx USD Liquid Investment Grade 0-5 Index	Broad	SLQD	OTC
Trust	Commodity-Based Trust Shares	Silver Spot Price	Not index	SLV	OTC
Corporation	Index-Linked Securities	Credit Suisse NASDAQ Silver FLOWS 106 Index	Broad	SLVO	Various
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Select Silver Miners Investable Market Index	Narrow	SLVP	Various
Open-end Management Investment Company	Investment Company Units	NYSE Arca Steel Index	Narrow	SLX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	SLY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Growth Index	Broad	SLYG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Value Index	Broad	SLYV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays AMT-Free Short Continuous Municipal Index	Broad	SMB	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SMCP	N/A
Open-end Management Investment Company	Investment Company Units	S&P 1000 Index	Broad	SMD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	SMDD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Dividend Growth Index	Broad	SMDV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	EURO Stoxx Small Index	Broad	SMEZ	Various
Open-end Management Investment Company	Investment Company Units	MVIS US Listed Semiconductor 25 Index	Narrow	SMH	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Solactive US Small Cap High Dividend Index	Broad	SMHD	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI India Small Cap Index	Broad	SMIN	Various
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 Index	Broad	SMK	Various
Open-end Management Investment Company	Investment Company Units	MSCI USA Small Cap Diversified Multiple-Factor Index	Broad	SMLF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	SMLL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	SSGA US Small Cap Low Volatility Index	Broad	SMLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2500 Index	Broad	SMMD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SMMU	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA Small Cap Minimum Volatility Index	Broad	SMMV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Basic Materials Index	Narrow	SMN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Markit iBoxx USD Liquid Leveraged Loan Index	Broad	SNLN	OTC
Open-end Management Investment Company	Investment Company Units	INDXX Global Internet of Things Thematic Index	Narrow	SNSR	Various
Open-end Management Investment Company	Investment Company Units	Solactive Social Media Index	Narrow	SOCL	Various
Open-end Management Investment Company	Investment Company Units	Solactive Global Fertilizers/Potash Index	Narrow	SOIL	Various
Open-end Management Investment Company	Investment Company Units	S&P Oil & Gas Exploration & Production Select Industry Index	Narrow	SOP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SOVB	N/A
Open-end Management Investment Company	Investment Company Units	PHLX Semiconductor Sector Index	Narrow	SOXL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	PHLX Semiconductor Sector Index	Narrow	SOXS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	PHLX Semiconductor Index	Narrow	SOXX	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	Soybean Benchmark	Narrow	SOYB	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPDN	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Enhanced Yield North American Preferred Stock Index	Broad	SPFF	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 High Beta Index	Broad	SPHB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Low Volatility High Dividend Index	Broad	SPHD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Quality Index	Broad	SPHQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Low Volatility Index	Broad	SPLV	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P 500 Total Return Index	Broad	SPLX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Consumer Staples Select Sector Index	Narrow	SPLZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Momentum Index	Broad	SPMO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Minimum Volatility Index	Broad	SPMV	NYSE, Nasdaq, NYSE American
Trust	Commodity-Based Trust Shares	Palladium Spot Price	Not index	SPPP	OTC
Open-end Management Investment Company	Investment Company Units	Horizon Kinetics Global Spin-Off Index	Broad	SPUN	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPUU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Value Momentum Total Return Index	Broad	SPVM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Enhanced Value Index	Broad	SPVU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Ex-Energy Index	Broad	SPXE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	VelocityShares Volatility Hedged Large Cap Index	Broad	SPXH	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPXL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Ex-Financials and Real Estate Index	Narrow	SPXN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPXS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Ex-Information Technology & Telecommunication Services Index	Narrow	SPXT	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPXU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Ex-Health Care Index	Narrow	SPXV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SPY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Buyback Index	Broad	SPYB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 High Dividend Index	Broad	SPYD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Growth Index	Broad	SPYG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Value Index	Broad	SPYV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Fossil Fuel Free Index	Broad	SPYX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Royce Small-Cap Quality Value Index (TR)	Broad	SQLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	SQQQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SQZZ	N/A
Open-end Management Investment Company	Investment Company Units	Solactive Global Superdividend REIT Index	Broad	SRET	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SRLN	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Real Estate Index	Narrow	SRS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	SRTY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Semiconductors Index	Narrow	SSG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	SSO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 1-5 Year U.S. Treasury Index	Narrow	SST	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Treasury Inflation-Protected Securities (TIPS) 0-5 Years Index (Series-L)	Narrow	STIP	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	STOT	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	Barclays U.S. Treasury 2Y/10Y Yield Curve Index	Narrow	STPP	OTC
Open-end Management Investment Company	Investment Company Units	BofA Merrill Lynch 1-5 Year US Inflation-Linked Treasury Index	Narrow	STPZ	OTC
Open-end Management Investment Company	Investment Company Units	S&P Short Term National AMT-Free Municipal Bond Index	Broad	SUB	OTC
Open-end Management Investment Company	Investment Company Units	MSCI USA ESG Select Index	Broad	SUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays MSCI US Corporate 1-5 Year ESG Focus Index	Broad	SUSB	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays MSCI US Corporate ESG Focus Index	Broad	SUSC	OTC
Trust	Trust Issued Receipts	S&P 500 VIX Short-Term Futures Index	Broad	SVXY	CBOE Futures
Open-end Management Investment Company	Investment Company Units	Dorsey Wright US Sector Momentum Index	Broad	SWIN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SYE	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SYG	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SYLD	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	SYV	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Goods Index	Narrow	SZK	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Deutsche Bank Liquid Commodity Index-Optimum Yield Oil	Narrow	SZO	Various
Trust	Trust Issued Receipts	Teucrium Underlying Fund Average Benchmark	Narrow	TAGS	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TAIL	N/A
Open-end Management Investment Company	Investment Company Units	MAC Global Solar Energy Index	Narrow	TAN	Various
Open-end Management Investment Company	Investment Company Units	AlphaShares China Real Estate Index	Narrow	TAO	Various
Corporation	Index-Linked Securities	Barclays Inverse US Treasury Futures Composite Index	Narrow	TAPR	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TBF	OTC
Open-end Management Investment Company	Investment Company Units	Tortoise Water Total Return Index	Narrow	TBLU	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TBT	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	TBX	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 3-7 Year Bond Index	Narrow	TBZ	OTC
Open-end Management Investment Company	Investment Company Units	MSCI USA Information Technology Diversified Multiple-Factor Capped Index	Narrow	TCHF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Premise Capital Frontier Advantage Diversified Tactical Index	Broad	TCTL	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Investment Company Units	NASDAQ Technology Dividend Index	Narrow	TDIV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	iBoxx 5-Year Target Duration TIPS Index	Narrow	TDIF	OTC
Open-end Management Investment Company	Investment Company Units	iBoxx 3-year Target Duration TIPS Index	Narrow	TDIT	OTC
Open-end Management Investment Company	Investment Company Units	Technology Select Sector Index	Narrow	TECL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Technology Select Sector Index	Narrow	TECS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Technology Select Sector Index	Narrow	TECZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TERM	N/A
Open-end Management Investment Company	Investment Company Units	Toroso ETF Industry Index	Narrow	TETF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Municipal Managed Money Index	Broad	TFI	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays US Treasury Floating Rate Bond Index	Narrow	TFLO	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Thailand IMI 25/50 Index	Broad	THD	Various
Open-end Management Investment Company	Investment Company Units	MVIS US Treasury-Hedged High Yield Bond Index	Broad	THHY	OTC
Open-end Management Investment Company	Investment Company Units	Russell 3000 Index	Broad	THRK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar US Market Factor Tilt Index	Broad	TILT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Treasury Inflation Protected Securities (TIPS) Index (Series-L)	Narrow	TIP	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays 1-10 Year Government Inflation-linked Bond Index	Narrow	TIPX	OTC
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch US Inflation-Linked Treasury Index	Narrow	TIPZ	OTC
Open-end Management Investment Company	Investment Company Units	Morningstar Developed Markets ex-US Factor Tilt Hedged Index	Broad	TLDH	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Emerging Markets Factor Tilt Hedged Index	Broad	TLEH	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 10-20 Year Bond Index	Narrow	TLH	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays Long U.S. Treasury Index	Narrow	TLO	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TLT	OTC
Open-end Management Investment Company	Investment Company Units	Morningstar Developed Markets ex-US Factor Tilt Index	Broad	TLTD	Various
Open-end Management Investment Company	Investment Company Units	Morningstar Emerging Markets Factor Tilt Index	Broad	TLTE	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TMF	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TMV	OTC
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	TNA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	2 for 1 Index	Broad	TOFR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI Kokusai Index	Broad	TOK	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones Brookfield Global Infrastructure Composite Index	Narrow	TOLZ	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TOTL	N/A
Open-end Management Investment Company	Investment Company Units	Dow Jones Transportation Average	Narrow	TPOR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Treasury Inflation Protected Securities (TIPS) Index (Series-L)	Narrow	TPS	OTC
Open-end Management Investment Company	Investment Company Units	Tortoise North American Pipeline Index	Narrow	TPYP	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ-100 Index	Broad	TQQQ	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	VelocityShares Tail Risk Hedged Large Cap Index	Broad	TRSK	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TTAC	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TTAI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TTFS	N/A
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TTT	OTC
Open-end Management Investment Company	Investment Company Units	MSCI Turkey Investable Market Index	Broad	TUR	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ AlphaDEX Total US Market	Broad	TUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TUTI	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	TUTT	N/A
Open-end Management Investment Company	Investment Company Units	The BofA Merrill Lynch 1-3 Year US Treasury Index	Narrow	TUZ	OTC
Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index ER	Broad	TVIX	Various
Corporation	Index-Linked Securities	S&P 500 VIX Mid-Term Futures Index ER	Broad	TVIZ	Various
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	TWM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	TWOK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	TYBS	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	TYD	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	TYNS	OTC
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	TYO	OTC
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	TZA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI All UAE Capped Index	Broad	UAE	Various
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Agriculture Total Return	Narrow	UAG	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Livestock Total Return	Narrow	UBC	Various
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Gold Total Return	Narrow	UBG	Various
Open-end Management Investment Company	Investment Company Units	NASDAQ Biotechnology Index	Narrow	UBIO	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Industrial Metals Total Return	Narrow	UBM	Various
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Energy Total Return	Narrow	UBN	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	UBND	N/A
Open-end Management Investment Company	Investment Company Units	MSCI Brazil 25/50 Index	Broad	UBR	Various
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 20+ Year Bond Index	Narrow	UBT	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Services Index	Narrow	UCC	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	UBS Bloomberg Constant Maturity Commodity Index	Broad	UCI	Various
Corporation	Index-Linked Securities	UBS Bloomberg Constant Maturity Commodity Index	Broad	UCIB	Various
Trust	Trust Issued Receipts	Bloomberg WTI Crude Oil Subindex	Narrow	UCO	Various
Open-end Management Investment Company	Investment Company Units	QS DBI US Diversified Index	Broad	UDBI	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	Deutsche Bank Short USD Currency Portfolio Index	Narrow	UDN	OTC
Open-end Management Investment Company	Investment Company Units	Dow Jones Industrial Average	Narrow	UDOW	NYSE, Nasdaq, NYSE American
Limited Partnership	Limited Partnership Units	Gasoline Spot	Not index	UGA	Various
Corporation	Index-Linked Securities	S&P GSCI Natural Gas Index ER	Narrow	UGAZ	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Consumer Goods Index	Narrow	UGE	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	The Spot Price of a Troy Ounce of Gold	Not index	UGL	Various
Corporation	Index-Linked Securities	S&P GSCI Gold Index ER	Narrow	UGLD	Various
Limited Partnership	Limited Partnership Units	NYMEX heating oil Futures Contracts (1st Month)	Not index	UHN	Various
Open-end Management Investment Company	Investment Company Units	Markit iBoxx \$ Liquid High Yield Index	Broad	UJB	OTC
Trust	Trust Issued Receipts	Euro/USD Exchange Rate	Not index	ULE	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	ULST	N/A
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Index	Broad	UMDD	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI Mexico IMI 25/50 Index	Broad	UMX	Various
Limited Partnership	Limited Partnership Units	NYMEX Henry Hub Natural Gas Futures Contracts (1st Month)	Not index	UNG	Various
Limited Partnership	Limited Partnership Units	NYMEX Henry Hub Natural Gas Futures Contracts (1st Month)	Not index	UNL	Various
Open-end Management Investment Company	Investment Company Units	S&P Oil & Gas Exploration & Production Select Industry Index	Narrow	UOP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	UPRO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe Index	Broad	UPV	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Utilities Index	Narrow	UPW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Solactive Global Uranium Index	Narrow	URA	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Real Estate Index	Narrow	URE	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	Double Long Euro Index	Narrow	URR	OTC
Open-end Management Investment Company	Investment Company Units	MSCI World Index	Broad	URTH	Various
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	URTY	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	SummerHaven Agriculture Index Total Return	Narrow	USAG	Various
Trust	Trust Issued Receipts	SummerHaven Dynamic Commodity Index Total Return	Broad	USCI	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Semiconductors Index	Narrow	USD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	USDU	N/A
Open-end Management Investment Company	Investment Company Units	Russell 1000 Enhanced Value Equal Weight Index	Broad	USEQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg U.S. Treasury Floating Rate Bond Index	Narrow	USFR	OTC
Limited Partnership	Limited Partnership Units	Crude Oil Spot	Not index	USL	Various
Open-end Management Investment Company	Investment Company Units	Russell 1000 Low Beta Equal Weight Index	Broad	USLB	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P GSCI Silver Index ER	Narrow	USLV	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree U.S. Multifactor Index	Broad	USMF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	STOXX USA 900 Minimum Variance Unconstrained	Broad	USMR	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	MSCI USA Minimum Volatility Index	Broad	USMV	NYSE, Nasdaq, NYSE American
Limited Partnership	Limited Partnership Units	Crude Oil Spot	Not index	USO	Various
Corporation	Index-Linked Securities	Credit Suisse NASDAQ WTI Crude Oil FLOWS 106 Price	Narrow	USOI	Various
Open-end Management Investment Company	Investment Company Units	FTSE NAREIT Equity REITs Index	Narrow	USRT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	ICE U.S. Treasury 7-10 Year Bond Index	Narrow	UST	OTC
Corporation	Index-Linked Securities	UBS Bloomberg CMCI Silver Total Return	Narrow	USV	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	UTES	N/A
Open-end Management Investment Company	Investment Company Units	MSCI USA Utilities Diversified Multiple-Factor Capped Index	Broad	UTLF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Utilities Select Sector Index	Narrow	UTLZ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Utilities Select Sector Index	Narrow	UTSL	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	Deutsche Bank Long USD Currency Portfolio Index	Narrow	UUP	OTC
Trust	Trust Issued Receipts	S&P 500 VIX Short-Term Futures Index Excess Return	Broad	UVXY	CBOE Futures
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	UWM	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P GSCI Crude Oil Index ER	Narrow	UWT	Various
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Industrials Index	Narrow	UXI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Financials Index	Narrow	UYG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Dow Jones U.S. Basic Materials Index	Narrow	UYM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VALX	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VAMO	N/A
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Materials 25/50	Narrow	VAW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP US Small Cap Index	Broad	VB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Small Cap Growth Index	Broad	VBK	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Vident Core U.S. Bond Index	Broad	VBND	OTC
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Small Cap Value Index	Broad	VBR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 5-10 Year Corporate Bond Index	Broad	VCIT	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 10+ Year Corporate Bond Index	Broad	VCLT	OTC
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Consumer Discretionary 25/50	Narrow	VCR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 1-5 Year Corporate Bond Index	Broad	VCSH	OTC
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Consumer Staples 25/50	Narrow	VDC	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Energy 25/50 Index	Narrow	VDE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Developed All Cap ex US Index	Broad	VEA	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VEGA	N/A
Open-end Management Investment Company	Investment Company Units	MSCI ACWI Select Agriculture Producers Investable Market Index	Narrow	VEGI	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VESH	N/A
Open-end Management Investment Company	Investment Company Units	FTSE All-World ex US Index	Broad	VEU	Various
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Financials 25/50	Narrow	VFH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 3-10 Year Government Float Adjusted Index	Narrow	VGIT	OTC
Open-end Management Investment Company	Investment Company Units	FTSE Developed Europe All Cap Index	Broad	VGK	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Long Government Float Adjusted Index	Narrow	VGLT	OTC
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. 1-3 Year Government Float Adjusted Index	Narrow	VGSH	OTC
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Information Technology 25/50	Narrow	VGT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Health Care 25/50	Narrow	VHT	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	Vident Core International Equity Index	Broad	VIDI	Various
Open-end Management Investment Company	Investment Company Units	Dividend Achievers Select Index	Broad	VIG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	NASDAQ International Dividend Achievers Select Index	Broad	VIGI	Various
Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index ER	Broad	VIIIX	Various
Corporation	Index-Linked Securities	S&P 500 VIX Mid-Term Futures Index ER	Broad	VIIIZ	Various
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Growth Index	Broad	VIOG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Index	Broad	VIOO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Value Index	Broad	VIOV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Industrials 25/50 Index	Narrow	VIS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CBOE VIX Tail Hedge Index	Broad	VIXH	NYSE, Nasdaq, NYSE American
Trust	Trust Issued Receipts	S&P 500 VIX Medium-Term Future Index Excess Return	Broad	VIXM	CBOE Futures
Trust	Trust Issued Receipts	S&P 500 VIX Short-Term Futures Index Excess Return	Broad	VIXY	CBOE Futures
Open-end Management Investment Company	Investment Company Units	S&P 1500 Low Valuation Tilt Index	Broad	VLU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI USA Enhanced Value Index	Broad	VLUE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VMAX	N/A
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. MBS Float Adjusted Index	Narrow	VMBS	OTC
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VMIN	N/A
Open-end Management Investment Company	Investment Company Units	Alpha Architect Value Momentum Trend ETF	Broad	VMOT	NYSE Arca, Nasdaq, BATS
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VNLA	N/A
Open-end Management Investment Company	Investment Company Units	MVIS Vietnam Index	Broad	VNM	Various
Open-end Management Investment Company	Investment Company Units	MSCI US REIT Index	Narrow	VNQ	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Global ex-U.S. Property Index	Narrow	VNQI	Various
Open-end Management Investment Company	Investment Company Units	CRSP US Mid Cap Index	Broad	VO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Mid Cap Value Index	Broad	VOE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Index	Broad	VONE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Growth Index	Broad	VONG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 1000 Value Index	Broad	VONV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Index	Broad	VOO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Growth Index	Broad	VOOG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Value Index	Broad	VOOV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Mid Cap Growth Index	Broad	VOT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI US IMI Telecommunication Services 25-50 Index	Narrow	VOX	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Developed Asia Pacific All Cap Index	Broad	VPL	Various
Open-end Management Investment Company	Investment Company Units	MSCI US Investable Market Utilities 25/50	Narrow	VPU	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P 500 Dynamic VEQTOR Total Return Index	Broad	VQT	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	VRIG	N/A
Open-end Management Investment Company	Investment Company Units	Wells Fargo Hybrid and Preferred Securities Floating and Variable Rate Index	Broad	VRP	Various
Open-end Management Investment Company	Investment Company Units	Nasdaq Victory Dividend Accelerator Index	Broad	VSDA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Nasdaq Victory US Multi-Factor Minimum Volatility Index	Broad	VSMV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Global Small Cap ex US Index	Broad	VSS	Various
Open-end Management Investment Company	Investment Company Units	FTSE Global All Cap Index	Broad	VT	Various

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P National AMT-Free Municipal Bond Index	Broad	VTEB	OTC
Open-end Management Investment Company	Investment Company Units	Russell 3000 Index	Broad	VTHR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP US Total Market Index	Broad	VTI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays U.S. Treasury Inflation-Protected Securities (TIPS) 0-5 Year Index	Narrow	VTIP	OTC
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Large Cap Value Index	Broad	VTV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Growth Index	Broad	VTWG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Index	Broad	VTWO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Russell 2000 Value Index	Broad	VTWV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP U.S. Large Cap Growth Index	Broad	VUG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Vident Core U.S. Stock Index	Broad	VUSE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	CRSP US Large Cap Index	Broad	VV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Emerging Markets All Cap China A Inclusion Index	Broad	VWO	Various
Open-end Management Investment Company	Investment Company Units	Bloomberg Barclays USD Emerging Markets Government RIC Capped Index	Broad	VWOB	OTC
Open-end Management Investment Company	Investment Company Units	S&P Completion Index	Broad	VXF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE Global All Cap ex US Net US RIC	Broad	VXUS	Various
Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index	Broad	VXX	Various
Corporation	Index-Linked Securities	S&P 500 VIX Medium-Term Future Index Excess Return	Broad	VXZ	Various
Open-end Management Investment Company	Investment Company Units	FTSE High Dividend Yield Index	Broad	VYM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE All-World ex US High Dividend Yield Index Net TR US RIC	Broad	VYMI	Various
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIA	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIB	N/A

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIC	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBID	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIE	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIF	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIG	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIH	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBII	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIL	N/A
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WBIR	N/A
Open-end Management Investment Company	Investment Company Units	Solactive Power Factor High Dividend PR Index	Broad	WBIY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Global Dividend Aristocrats Index	Broad	WDIV	Various
Open-end Management Investment Company	Investment Company Units	S&P Regional Banks Select Industry Index	Narrow	WDRW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Managed Fund Shares	N/A	N/A	WDTI	N/A
Open-end Management Investment Company	Investment Company Units	EQM Wearables Index	Narrow	WEAR	Various
Trust	Trust Issued Receipts	Wheat Futures Benchmark	Narrow	WEAT	Various
Corporation	Index-Linked Securities	Barclays Capital Commodity Index Grains & Oilseeds Pure Beta TR	Narrow	WEET	Various
Open-end Management Investment Company	Investment Company Units	WisdomTree Weak Dollar U.S. Equity Index	Broad	WEXP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Fundamental U.S. High Yield Corporate Bond Index	Broad	WFHY	OTC
Open-end Management Investment Company	Investment Company Units	WisdomTree Fundamental U.S. Corporate Bond Index	Broad	WFIG	OTC
Corporation	Index-Linked Securities	Barclays Women in Leadership Total Return USD Index	Broad	WIL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Citi International Inflation-Linked Securities Select Index	Broad	WIP	OTC

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Investment Company Units	Wilshire US MicroCap	Broad	WMCR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Index-Linked Securities	Morningstar Wide Moat Focus Index	Broad	WMW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P Global Timber & Forestry Index	Narrow	WOOD	Various
Open-end Management Investment Company Corporation	Investment Company Units	S&P Developed Ex-U.S. Property Index	Narrow	WPS	Various
Open-end Management Investment Company Corporation	Investment Company Units	Wilshire US Real Estate Investment Trust Index	Narrow	WREI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	Spirited Funds/ETFMG Whiskey & Spirits Index	Narrow	WSKY	Various
Open-end Management Investment Company Corporation	Index-Linked Securities	Bloomberg WTI Crude Oil Subindex	Narrow	WTID	Various
Open-end Management Investment Company Corporation	Index-Linked Securities	Bloomberg WTI Crude Oil Subindex	Narrow	WTIU	Various
Open-end Management Investment Company Corporation	Investment Company Units	Summit Zacks Global Water Index	Narrow	WTRX	Various
Open-end Management Investment Company Corporation	Investment Company Units	WisdomTree Strong Dollar U.S. Equity Index	Broad	WUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	WYDE	N/A
Open-end Management Investment Company Corporation	Investment Company Units	S&P Aerospace & Defense Select Industry Index	Narrow	XAR	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P Biotechnology Select Industry Index	Narrow	XBI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	Beta Thematic Emerging Markets ex-China Index	Broad	XCEM	Various
Open-end Management Investment Company Corporation	Investment Company Units	S&P MidCap 400 Capped Consumer Discretionary Index	Narrow	XD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P MidCap 400 Capped Energy Index	Narrow	XE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P Oil & Gas Equipment & Services Select Industry Index	Narrow	XES	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P MidCap 400 Capped Financials Index	Narrow	XF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P MidCap 400 Capped Health Care Index	Narrow	XH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P Homebuilders Select Industry Index	Narrow	XHB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	S&P Health Care Equipment Select Industry Index	Narrow	XHE	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P Health Care Services Select Industry Index	Narrow	XHS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Capped Industrials Index	Narrow	XI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	MSCI China A International IMI Index	Broad	XINA	Various
Open-end Management Investment Company	Investment Company Units	FactSet Innovative Technology Index	Narrow	XITK	NYSE, Nasdaq, NYSE American
Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index ER	Broad	XIV	Various
Corporation	Index-Linked Securities	S&P 500 VIX Futures Short Volatility Hedged Index Short Term	Broad	XIVH	Various
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Capped Information Technology Index	Narrow	XK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Materials Select Sector Index	Narrow	XLB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Energy Select Sector Index	Narrow	XLE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Financial Select Sector Index	Narrow	XLF	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P 500 Top 50 Index	Broad	XLG	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Industrial Select Sector Index	Narrow	XLI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Technology Select Sector Index	Narrow	XLK	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Consumer Staples Select Sector Index	Narrow	XLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Real Estate Select Sector Index	Narrow	XLRE	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Utilities Select Sector Index	Narrow	XLU	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Health Care Select Sector Index	Narrow	XLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Consumer Discretionary Select Sector Index	Narrow	XLY	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Capped Materials Index	Narrow	XM	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Metals and Mining Select Industry Index	Narrow	XME	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Low Volatility Index	Broad	XMLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S-Network Municipal Bond Closed-End Fund Index	Narrow	XMPT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Global ex-Mexico Equity Index	Broad	XXM	Various
Open-end Management Investment Company	Investment Company Units	S&P Oil & Gas Exploration & Production Select Industry Index	Narrow	XOP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Pharmaceuticals Select Industry Index	Narrow	XPH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	FTSE China 50 Index HKD	Broad	XPP	Various
Open-end Management Investment Company	Investment Company Units	S&P 500 Low Volatility Rate Response Index	Broad	XRLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Retail Select Industry Index	Narrow	XRT	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Capped Consumer Staples Index	Narrow	XS	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Semiconductor Select Industry Index	Narrow	XSD	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Low Volatility High Dividend Index	Broad	XSHD	Various
Open-end Management Investment Company	Investment Company Units	S&P Small Cap 600 Quality Total Return Index	Broad	XSHQ	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P SmallCap 600 Low Volatility Index	Broad	XSLV	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	WisdomTree Emerging Markets ex-State-Owned Enterprises Index	Broad	XSOE	Various
Open-end Management Investment Company	Investment Company Units	S&P Software & Services Select Industry Index	Narrow	XSW	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	Morningstar Exponential Technologies Index	Narrow	XT	Various
Open-end Management Investment Company	Investment Company Units	S&P Technology Hardware Select Industry Index	Narrow	XTH	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Telecom Select Industry Index	Narrow	XTL	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P Transportation Select Industry Index	Narrow	XTN	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company	Investment Company Units	S&P MidCap 400 Capped Utilities & Telecom Services Index	Narrow	XU	NYSE, Nasdaq, NYSE American

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)	3. Class of New Derivative Securities Product	4. Name of Underlying Instrument:	5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:	6. Ticker Symbol(s) of New Derivative Securities Product:	7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Open-end Management Investment Company Corporation	Investment Company Units	QuantX Dynamic Beta US Equity Index	Broad	XUSA	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Index-Linked Securities	S&P 500 Dynamic VIX Futures Total Return Index	Broad	XVZ	Various
Open-end Management Investment Company Corporation	Investment Company Units	S&P Internet Select Industry Index	Narrow	XWEB	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Index-Linked Securities	S&P 500 VIX Short-Term Futures Index	Broad	XXV	Various
Open-end Management Investment Company Corporation	Investment Company Units	FTSE China 50 Index	Broad	YANG	Various
Open-end Management Investment Company Corporation	Investment Company Units	AlphaShares China All Cap Index	Broad	YAO	Various
Trust	Trust Issued Receipts	USD/JPY Exchange Rate	Not index	YCL	OTC
Trust	Trust Issued Receipts	USD/JPY Exchange Rate	Not index	YCS	OTC
Open-end Management Investment Company Corporation	Investment Company Units	NASDAQ International Multi-Asset Diversified Income Index	Broad	YDIV	Various
Open-end Management Investment Company Corporation	Investment Company Units	FTSE China 50 Index	Broad	YINN	Various
Open-end Management Investment Company Corporation	Investment Company Units	Indxx Global YieldCo Index	Broad	YLCO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	YLD	N/A
Open-end Management Investment Company Corporation	Managed Fund Shares	N/A	N/A	YLDE	N/A
Open-end Management Investment Company Corporation	Investment Company Units	Solactive High Income Infrastructure MLP Index	Narrow	YMLI	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	Solactive High Income MLP Index	Narrow	YMLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	FTSE China 50 Index HKD	Broad	YXI	Various
Open-end Management Investment Company Corporation	Investment Company Units	ISE High Income Index	Broad	YYY	Various
Open-end Management Investment Company Corporation	Investment Company Units	NASDAQ Biotechnology Index	Narrow	ZBIO	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Index-Linked Securities	S&P 500 VIX Mid-Term Futures Index ER	Broad	ZIV	Various
Open-end Management Investment Company Corporation	Investment Company Units	Zacks MLP High Income Index	Narrow	ZMLP	NYSE, Nasdaq, NYSE American
Open-end Management Investment Company Corporation	Investment Company Units	The BofA Merrill Lynch Long US Treasury Principal STRIPS Index	Narrow	ZROZ	OTC
Trust	Trust Issued Receipts	Silver Spot Price	Not index	ZSL	Various



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**Via Overnight Mail**

July 28, 2017

Ms. Claudette Ransom  
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: 19b-4(e) – Transmittal**

Dear Ms. Ransom:

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 each Form 19b-4(e) with respect to securities that have been approved for listing and/or trading (including pursuant to unlisted trading privileges) on NYSE Arca, Inc. and NYSE American LLC.

If you have any questions, please do not hesitate to call me at (212) 656-2938.

Sincerely,



Enclosures

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