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

OMB APPROVAL

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FORM 19b-4(e)

**Information Required of a Self-Regulatory Organization Listing and Trading a New
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934**

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report

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

The NASDAQ Stock Market LLC

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

Open End Management Investment Company

3. Class of New Derivative Securities Product:

Exchange Traded Fund Shares under Nasdaq Rule 5704



4. Name of Underlying Instrument:

See Attachment A

20014549

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

See Attachment A

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

See Attachment A

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

See Attachment A

8. Settlement Methodology of New Derivatives Product:

Regular way trades settle on T + 2 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable):

N/A

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:

William Slattery

Title:

Vice President

Telephone Number:

1-301-978-8088

Manual Signature of Official Responsible for Form:

William Slattery

Date: October 7, 2020

Attachment A

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
NASDAQ AlphaDEX Multi Cap Value Index	Broad-Based	FAB	NASDAQ, NYSE, NYSE American
NASDAQ AlphaDEX Multi Cap Growth Index	Broad-Based	FAD	NASDAQ, NYSE, NYSE American
NASDAQ AlphaDEX Large Cap Core Index	Broad-Based	FEX	NASDAQ, NYSE
NASDAQ AlphaDEX Mega Cap Index	Broad-Based	FMK	NASDAQ, NYSE
NASDAQ AlphaDEX Mid Cap Value Index	Broad-Based	FNK	NASDAQ, NYSE
NASDAQ AlphaDEX Mid Cap Core Index	Broad-Based	FNX	NASDAQ, NYSE
NASDAQ AlphaDEX Mid Cap Growth Index	Broad-Based	FNY	NASDAQ, NYSE
NASDAQ AlphaDEX Large Cap Value Index	Broad-Based	FTA	NASDAQ, NYSE
NASDAQ AlphaDEX Large Cap Growth Index	Broad-Based	FTC	NASDAQ, NYSE
NASDAQ AlphaDEX Small Cap Growth Index	Broad-Based	FYC	NASDAQ, NYSE, NYSE American
NASDAQ AlphaDEX Small Cap Value Index	Broad-Based	FYT	NASDAQ, NYSE, NYSE American
NASDAQ AlphaDEX Small Cap Core Index	Broad-Based	FYX	NASDAQ, NYSE, NYSE American