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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

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**

20014552

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
Actively managed portfolio of primarily fixed income securities	N/A	FCAL	OTC
Actively managed portfolio of primarily fixed income securities	N/A	FEMB	BERLIN STOCK EXCHANGE, BOLSA DE COMERCIO DE SANTIAGO, BOLSA DE VALORES DE COLOMBIA, BOLSA DE VALORES DE LIMA S.A., BOLSA ELECTRONICA DE CHILE, BOND EXCHANGE OF SOUTH AFRICA LEVEL 2, BONDSPOOT MARKET, BORSA ISTANBUL, DUSSELDORF STOCK EXCHANGE, EURO TLX, FRANKFURT STOCK EXCHANGE, INDONESIA STOCK EXCHANGE, JOHANNESBURG STOCK EXCHANGE, JSE CASH BOND MARKET, LONDON STOCK EXCHANGE PLC, MARKETAXESS, MTS BONDVISION, MTS CASH DOMESTIC - MTF - CZECH REPUBLIC, MTS CASH DOMESTIC - MTF - ISRAEL, MTS POLAND, MUNICH STOCK EXCHANGE, PRAGUE STOCK EXCHANGE, SISTEMA ELECTRONICA DE NEGOCIACION COLOM, SIX SWISS EXCHANGE, SPOT REGULATED MARKET - BVB, STOCK EXCHANGE OF THAILAND, STUTTGART STOCK EXCHANGE, TEL AVIV STOCK EXCHANGE, THAI BOND MARKET ASSOCIATION, TRADEGATE EXCHANGE, WARSAW STOCK EXCHANGE
Actively managed portfolio of primarily fixed income securities	N/A	FMB	OTC

Actively managed portfolio of primarily fixed income securities	N/A	FMHI	OTC
Actively managed portfolio of primarily equity securities	N/A	RFAP	ASX, HONG KONG EXCHANGE, NEW ZEALAND EXCHANGE LTD, NYSE ARCA, SINGAPORE EXCHANGE, TOKYO STOCK EXCHANGE
Actively managed portfolio of primarily equity securities	N/A	RFDI	ASX, BOLSA DE MADRID, CBOE BZX, CBOE EUROPE, ELECTRONIC SHARE MARKET, EURONEXT AMSTERDAM, EURONEXT BRUSSELS, EURONEXT LISBON, EURONEXT PARIS, HONG KONG EXCHANGE, LONDON STOCK EXCHANGE, NASDAQ COPENHAGEN A/S, NASDAQ HELSINKI LTD, NASDAQ STOCKHOLM AB, NEW ZEALAND EXCHANGE LTD, NYSE, OSLO BORS ASA, SINGAPORE EXCHANGE, SIX SWISS EXCHANGE - BLUE CHIPS SEGMENT, SIX SWISS EXCHANGE, TOKYO STOCK EXCHANGE, WIENER BOERSE AG, XETRA
Actively managed portfolio of primarily equity securities	N/A	RFEM	BM&FBOVESPA S.A., BOLSA DE VALORES DE COLOMBIA, BOLSA MEXICANA DE VALORES, BORSA ISTANBUL, HONG KONG EXCHANGE, INDONESIA STOCK EXCHANGE, JOHANNESBURG STOCK EXCHANGE, KOREA EXCHANGE (STOCK MARKET), KOSDAQ, LONDON STOCK EXCHANGE, MOSCOW EXCHANGE, NASDAQ, NATIONAL STOCK EXCHANGE OF INDIA, NYSE, STOCK EXCHANGE OF THAILAND, TAIPEI EXCHANGE, TAIWAN STOCK EXCHANGE, WARSAW STOCK EXCHANGE
Actively managed portfolio of primarily equity securities	N/A	RFEU	ASX, BOLSA DE MADRID, CBOE EUROPE, ELECTRONIC SHARE MARKET, EURONEXT AMSTERDAM, EURONEXT BRUSSELS, EURONEXT

			PARIS, LONDON STOCK EXCHANGE, NASDAQ COPENHAGEN A/S, NASDAQ HELSINKI LTD, NASDAQ STOCKHOLM AB, NASDAQ, NYSE ARCA, SIX SWISS EXCHANGE - BLUE CHIPS SEGMENT, SIX SWISS EXCHANGE, WIENER BOERSE AG, XETRA
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