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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:

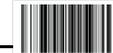
**The NASDAQ Stock Market LLC**

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**



20014553

4. Name of Underlying Instrument:

**See Attachment A**

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	FCVT	BATS Y-EXCHANGE INC, BATS Z-EXCHANGE, BERLIN STOCK EXCHANGE, CHICAGO STOCK EXCHANGE, DIRECT EDGE HOLDINGS - EDGA - GLOBAL SELECT MARKET, DIRECT EDGE HOLDINGS - EDGX - GLOBAL SELECT MARKET, DUSSELDORF STOCK EXCHANGE, EURONEXT ACCESS PARIS, EURONEXT PARIS, FRANKFURT STOCK EXCHANGE, HAMBURG STOCK EXCHANGE, HANNOVER STOCK EXCHANGE, IEX GROUP INC - SIAC/CTA, LONDON STOCK EXCHANGE PLC, MARKETAXESS, NASDAQ, NASDAQ INTERMARKET, NASDAQ OMX BX, NASDAQ OMX PHLX, NATIONAL STOCK EXCHANGE, NEW YORK STOCK EXCHANGE, NYSE ARCA, NYSE CONSOLIDATED, PNK OTC MARKETS INC, SIX SWISS EXCHANGE, TORONTO OPTIONS EXCHANGE, TRADEGATE EXCHANGE
Actively managed portfolio of primarily fixed income and equity securities	N/A	FDIV	OTC, NASDAQ, NYSE, NYSE AMERICAN, NYSE ARCA, TORONTO STOCK EXCHANGE
Actively managed portfolio of primarily fixed income securities	N/A	FTSL	BERLIN STOCK EXCHANGE, FRANKFURT STOCK EXCHANGE, LONDON STOCK EXCHANGE PLC, MARKETAXESS, DUSSELDORF STOCK EXCHANGE, STUTTGART STOCK EXCHANGE, MUNICH STOCK EXCHANGE, TRADEGATE EXCHANGE
Actively managed portfolio of primarily fixed income securities	N/A	FTSM	BERLIN STOCK EXCHANGE, DUSSELDORF STOCK EXCHANGE, EURO TLX,

			EUROMTF, FRANKFURT STOCK EXCHANGE, IRISH STOCK EXCHANGE, LONDON STOCK EXCHANGE PLC, MARKETAXESS, MTS BONDVISION, MUNICH STOCK EXCHANGE, NEW YORK STOCK EXCHANGE, SIX SWISS EXCHANGE, STUTTGART STOCK EXCHANGE, TRADEGATE EXCHANGE, LUXEMBOURG STOCK EXCHANGE
Actively managed portfolio of primarily fixed income securities	N/A	HYLS	BOLSA ELECTRONICA DE VALORES DEL URUGUAY, DUSSELDORF STOCK EXCHANGE, EURO TLX, EUROMTF, Exchanges, FRANKFURT STOCK EXCHANGE, HAMBURG STOCK EXCHANGE, HANNOVER STOCK EXCHANGE, IRISH STOCK EXCHANGE, LONDON STOCK EXCHANGE PLC, LUXEMBOURG STOCK EXCHANGE, MARKETAXESS, MTS BONDVISION, MUNICH STOCK EXCHANGE, NASDAQ STOCKHOLM AB, STUTTGART STOCK EXCHANGE, TRADEGATE EXCHANGE
Actively managed portfolio of primarily fixed income securities	N/A	LMBS	OTC, NASDAQ, CBOT