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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



20014900

4. Name of Underlying Instrument:

Actively Managed portfolio of ETFs that track an index of small cap companies

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

Broad-Based

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

SMCP

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

NYSE ARCA, NASDAQ

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: December 10, 2020

