

For Internal Use
Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

OMB APPROVAL

OMB Number: 3235-0504
Expires: Oct. 31, 2022
Estimated average burden
hours per response.....3.60

**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:

Solactive Global Clean Water Index

21000281

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:

AQWA

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

BM&FBOVESPA S.A., ASX, HONG KONG EXCHANGE, KOREA EXCHANGE (STOCK MARKET), LONDON STOCK EXCHANGE, NASDAQ, NYSE, OSLO BORS ASA, EURONEXT PARIS, SANTIAGO STOCK EXCHANGE, SHENZHEN STOCK EXCHANGE, SHANGHAI STOCK EXCHANGE, TOKYO STOCK EXCHANGE

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:

Arnold Golub

Title:

Vice President

Telephone Number:

1-301-978-8075

Manual Signature of Official Responsible for Form:

Arnold Golub

Date: April 12, 2021