

091-267848

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

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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

4. Name of Underlying Instrument:
Actively managed portfolio of primarily equity securities

SEC
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Section

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

JAN 06 2020

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

Washington DC
413

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
NASDAQ, NYSE ARCA

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

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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 27, 2019

Act Securities Exchange Act of 1934
Section
Rule

Public Availability: **JAN 06 2020**