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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**

20014916

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: **August 24, 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
FTSE RAFI US 1500 Index	Broad-Based	PRFZ	NYSE AMERICAN, NASDAQ, NYSE
NASDAQ Internet Total Return Index	Broad-Based	PNQI	NASDAQ, NYSE
NASDAQ US Buyback Achievers Index	Broad-Based	PKW	NYSE AMERICAN, NASDAQ, NYSE
NASDAQ US Broad Dividend Achievers Index	Broad-Based	PFM	NYSE AMERICAN, NASDAQ, NYSE
Dorsey Wright Basic Materials Technical Leaders Index	Broad-Based	PYZ	NASDAQ, NYSE
Dorsey Wright Consumer Cyclical Technical Leaders Index	Broad-Based	PEZ	NASDAQ, NYSE
Dorsey Wright Consumer Staples Technical Leaders Index	Broad-Based	PSL	NASDAQ, NYSE
Dorsey Wright Energy Technical Leaders Index	Broad-Based	PXI	NYSE AMERICAN, NASDAQ, NYSE
Dorsey Wright Financials Technical Leaders Index	Broad-Based	PFI	NASDAQ, NYSE
Dorsey Wright Healthcare Technical Leaders Index	Broad-Based	PTH	NASDAQ, NYSE
Dorsey Wright Industrials Technical Leaders Index	Broad-Based	PRN	NYSE AMERICAN, NASDAQ, NYSE
Dorsey Wright Technical Leaders Index	Broad-Based	PDP	NYSE AMERICAN, NASDAQ, NYSE
Dorsey Wright Technology Technical Leaders Index	Broad-Based	PTF	NASDAQ, NYSE
Dorsey Wright Utilities Technical Leaders Index	Broad-Based	PUI	NASDAQ, NYSE
NASDAQ Golden Dragon China Index	Broad-Based	PGJ	NASDAQ, NYSE
NASDAQ US Dividend Achievers 50 Index	Broad-Based	PEY	NASDAQ
NASDAQ International Dividend Achievers Index	Broad-Based	PID	NYSE AMERICAN, LONDON STOCK EXCHANGE, NASDAQ, NYSE
NASDAQ OMX US Water Index	Broad-Based	PHO	NASDAQ, NYSE