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

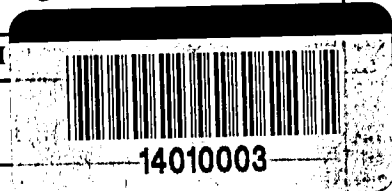
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Section
JAN 14 2014
Washington DC
404

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

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:
The NASDAQ Stock Market LLC
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
Open End Management Investment Company
- Class of New Derivative Securities Product:
Exchange Traded Fund
- Name of Underlying Instrument:
First Trust NASDAQ Rising Dividend Achievers ETF
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Broad-Based
- Ticker Symbol(s) of New Derivative Securities Product:
RDVY
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
NYSE, NASDAQ
- Settlement Methodology of New Derivative Securities Product:
Regular way trades settle T+3 (cash settled)
- 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, Listing Qualifications

Telephone Number:
(301) 978-8088

Manual Signature of Official Responsible for Form:

William Slattery

Date:
January 10, 2014

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public	
Availability:	JAN 14 2014