

091-1744 fm

| | | |
|-----------------------|-------------------|---|
| For Internal Use Only | Submit 1 Original | OMB Approval No.: |
| Sec File No. 91 - | and 9 Copies | Expires: |
| | | Estimated average burden hours per response: 2.00 |

SEC

Mail Processing Section

JUL 29 2014

Washington DC

**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:

NYSE Arca, Inc. (trading pursuant to unlisted trading privileges)

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:

Investment Company Units

4. Name of Underlying Instrument:

First Trust Dorsey Wright International Focus 5 Index

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

Broad

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

IFV

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

NYSE Arca, NASDAQ

8. Settlement Methodology of New Derivative Securities Product:

Regular way trades settle on T+3/Book entry only held in DTC.

9. Position Limits of New Derivative Securities Product (if applicable):

Not applicable.

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:

Martha Redding

Title:

Chief Counsel and Assistant Corporate Secretary

Telephone Number:

(212) 656-2938

Manual Signature of Official Responsible for Form:

July 29, 2014

SEC 2449 (1/99)



14010838

RECEIVED
2014 JUL 30 AM 11:04
SEC / MR

| | |
|----------------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public Availability: | JUL 29 2014 |

Martha Redding
Chief Counsel
Assistant Corporate Secretary



NYSE Arca, Inc.
20 Broad Street
New York, NY 10005
tel: 212.656.2938
mredding@nyx.com

RECEIVED
2014 JUL 30 AM 11:04
SEC / MR

SEC
Mail Processing
Section
JUL 29 2014
Washington DC
404

Via Overnight Mail

July 28, 2014

Ms. Gail Jackson
US Securities and Exchange Commission
Division of Trading and Markets
Station Place – Building I
100 F Street, N.E. – Room 6628
Washington, DC 20549

Re: First Trust Dorsey Wright International Focus 5 ETF

Dear Ms. Jackson:

Enclosed for filing pursuant to Section 19(b) of the Securities Exchange Act of 1934 and Rule 19b-4 thereunder, please find an original and nine copies of Form 19b-4(e) with respect to the securities listed below.

First Trust Dorsey Wright International Focus 5 ETF

IFV

If you have any questions, please do not hesitate to call me at (212) 656-2938.

Sincerely,

Enclosures

| | |
|----------------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public Availability: | JUL 29 2014 |