



ETF Preferred Stock List

ETFs Eligible to be Reported as Preferred Stock

December 20, 2019

Legal

Comprehensive collection of NAIC model laws, regulations and guidelines; state laws on insurance topics; and other regulatory guidance on antifraud and consumer privacy.

Market Regulation

Regulatory and industry guidance on market-related issues, including antifraud, product filing requirements, producer licensing and market analysis.

NAIC Activities

NAIC member directories, in-depth reporting of state regulatory activities and official historical records of NAIC national meetings and other activities.

Capital Markets & Investment Analysis

Information regarding portfolio values and procedures for complying with NAIC reporting requirements.

White Papers

Relevant studies, guidance and NAIC policy positions on a variety of insurance topics.

For more information about NAIC publications, visit us at:

http://www.naic.org/prod_serv_home.htm

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National Association of Insurance Commissioners

List of Approved ETFs for Reporting as Preferred Stock as of December 20, 2019

NOTE:

List of Exchange Traded Funds Eligible for Reporting as a Schedule D Bond

List of Exchange Traded Funds Eligible for Reporting as a Schedule D Preferred Stock,

must file the ETF with the SVO

Part Four, Section 2

cannot

be used

Part Four, Section 2

Section 3 (a) (ix) of that Part

ETF NAME

CUSIP