



# **ETF Bond List**

**ETFs Eligible to be Reported as Bonds**

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**December 20, 2019**



National Association of  
Insurance Commissioners

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# National Association of Insurance Commissioners

## List of Approved ETFs for Reporting as Bonds as of December 20, 2019

### **NOTE:**

An insurance company that purchases an ETF whose name was added by the SVO to:

- the List of Exchange Traded Funds Eligible for Reporting as a Schedule D Bond or to
- the List of Exchange Traded Funds Eligible for Reporting as a Schedule D Preferred Stock,

**must file the ETF with the SVO** if they wish to obtain a final NAIC Designation for reporting purposes. The Regulatory Treatment Analysis Services (“RTAS”) process used to evaluate ETFs under **Part Four, Section 2** only results in the assignment of a preliminary NAIC Designations to the ETF.

Preliminary NAIC Designations are indications of the likely SVO response if the ETF were purchased by an insurer and filed with the SVO for assignment of an NAIC Designation and are based on preliminary documentation and therefore **cannot be used** to report the ETF to the NAIC or state insurance regulators.

Please refer to **Part Four, Section 2** of the Purposes and Procedures Manual of the NAIC Investment Analysis Office for text discussing the RTAS process and to **Section 3 (a) (ix) of that Part** for a detailed discussion of the preliminary status of NAIC Designations assigned under the RTAS process.

<b>ETF NAME</b>	<b>CUSIP</b>
Xtrackers High Beta High Yield Bond ETF	233051259
Xtrackers Low Beta High Yield Bond ETF	233051267
Xtrackers Short Duration High Yield Bond ETF	233051283
Deutsche X-trackers USD High Yield Corporate Bond ETF	233051432
Deutsche X-trackers Municipal Infrastructure Revenue Bond ETF	233051705
First Trust Senior Loan ETF	33738D309
First Trust Enhanced Short Maturity ETF	33739Q408
FlexShares iBoxx 3-Year Target Duration TIPS Index Fund	33939L506
FlexShares iBoxx 5-Year Target Duration TIPS Index Fund	33939L605
FlexShares High Yield Value-Scored Bond Index Fund	33939L662
FlexShares Ready Access Variable Income Fund	33939L886
Franklin Short Duration U.S. Government ETF	353506108
Goldman Sachs Access Inflation Protected USD Bond ETF	381430362
Goldman Sachs Access High Yield Corporate Bond ETF	381430453
Goldman Sachs Access Investment Grade Corporate Bond ETF	381430479
Goldman Sachs Treasury Access 0-1 Year ETF	381430529
Highland/iBoxx Senior Loan ETF	430101774
IQ MacKay Shields Municipal Intermediate ETF	45409F827
IQ MacKay Shields Municipal Insured ETF	45409F843
Invesco International Corporate Bond ETF	46138E636
Invesco Fundamental High Yield® Corporate Bond ETF	46138E719
Invesco Emerging Markets Sovereign Debt ETF	46138E784

<b>ETF NAME</b>	<b>CUSIP</b>
Invesco Senior Loan ETF	46138G508
Invesco Taxable Municipal Bond ETF	46138G805
Invesco Treasury Collateral ETF	46138G888
iShares US & International High Yield Corp Bond ETF	464286178
iShares International High Yield Bond ETF	464286210
iShares JP Morgan EM Corporate Bond ETF	464286251
iShares Emerging Markets High Yield Bond ETF	464286285
iShares JP Morgan EM Local Currency Bond ETF	464286517
iShares TIPS Bond ETF	464287176
iShares Core U.S. Aggregate Bond ETF	464287226
iShares iBoxx \$ Investment Grade Corporate Bond ETF	464287242
iShares 20+ Year Treasury Bond ETF	464287432
iShares 7-10 Year Treasury Bond ETF	464287440
iShares 1-3 Year Treasury Bond ETF	464287457
iShares International Treasury Bond ETF	464288117
iShares 1-3 Year International Treasury Bond ETF	464288125
iShares Short-Term National Muni Bond ETF	464288158
iShares Agency Bond ETF	464288166
iShares J.P. Morgan USD Emerging Markets Bond ETF	464288281
iShares New York Muni Bond ETF	464288323
iShares California Muni Bond ETF	464288356
iShares National Muni Bond ETF	464288414
iShares iBoxx \$ High Yield Corporate Bond ETF	464288513
iShares MBS ETF	464288588
iShares Government/Credit Bond ETF	464288596
iShares Intermediate Government/Credit Bond ETF	464288612
iShares Broad USD Investment Grade Corporate Bond ETF	464288620
iShares Intermediate-Term Corporate Bond ETF	464288638
iShares Short-Term Corporate Bond ETF	464288646
iShares 10-20 Year Treasury Bond ETF	464288653
iShares 3-7 Year Treasury Bond ETF	464288661
iShares Short Treasury Bond ETF	464288679
iShares Core 10+ Year USD Bond ETF	464289479
iShares Long-Term Corporate Bond ETF	464289511
iShares Core U.S. Treasury Bond ETF	46429B267
iShares Aaa - A Rated Corporate Bond ETF	46429B291
iShares Core GNMA Bond ETF	46429B333
iShares CMBS ETF	46429B366
iShares Floating Rate Bond ETF	46429B655
iShares 0-5 Year TIPS Bond ETF	46429B747
iShares Short Maturity Bond ETF (Active Fund)	46431W507
iShares Core Short-Term USD Bond ETF	46432F859
iShares iBonds Mar 2020 Term Corporate ex-Financials ETF	46432FAK3
iShares iBonds Mar 2023 Term Corporate ex-Financials ETF	46432FAN7
iShares iBonds Mar 2023 Term Corporate ETF	46432FAZ0
iShares iBonds Mar 2020 Term Corporate ETF	46432FBC0

<b>ETF NAME</b>	<b>CUSIP</b>
iShares 0-5 Year Investment Grade Corporate Bond ETF	46434V100
iShares 0-5 Year High Yield Corporate Bond ETF	46434V407
iShares iBonds Sep 2020 Term Muni Bond ETF	46434V571
iShares Core Total USD Bond Market ETF	46434V613
iShares Yield Optimized Bond ETF	46434V787
iShares Treasury Floating Rate Bond ETF	46434V860
iShares Liquidity Income ETF (Active Fund)	46434V878
iShares iBonds Dec 2020 Term Corporate ETF	46434VAQ3
iShares iBonds Dec 2023 Term Corporate ETF	46434VAX8
iShares iBonds Dec 2022 Term Corporate ETF	46434VBA7
iShares iBonds Dec 2025 Term Corporate ETF	46434VBD1
iShares iBonds Dec 2024 Term Corporate ETF	46434VBG4
iShares iBonds Dec 2021 Term Corporate ETF	46434VBK5
iShare 10+ Year Investment Grade Corporate Bond ETF	46435G144
iShare 5-10 Year Investment Grade Corporate Bond ETF	46435G151
iShares ESG USD Corporate Bond ETF	46435G193
iShares Edge Investment Grade Enhanced Bond ETF	46435G219
iShares ESG 1-5 Year USD Corporate Bond ETF	46435G243
iShares Edge High Yield Defensive Bond ETF	46435G250
iShares iBoxx \$ High Yield ex Oil & Gas Corporate Bond ETF	46435G441
iShares Fallen Angels USD Bond ETF	46435G474
iShares iBonds Dec 2022 Term Muni Bond ETF	46435G755
iShares iBonds Dec 2021 Term Muni Bond ETF	46435G789
iShares iBonds Dec 2026 Term Corporate ETF	46435GAA0
iShares iBonds Dec 2025 Term Muni Bond ETF	46435U432
iShares iBonds Dec 2028 Term Corporate ETF	46435U515
iShares ESG U.S. Aggregate Bond ETF	46435U549
iShares iBonds Dec 2024 Term Muni Bond ETF	46435U697
iShares Broad USD High Yield Corporate Bond ETF	46435U853
JPMorgan Corporate Bond Research Enhanced ETF	46641Q449
JPMorgan U.S. Aggregate Bond ETF	46641Q613
JPMorgan Ultra-Short Income ETF	46641Q837
JPMorgan High Yield Research Enhanced ETF	46641Q878
Janus Henderson Short Duration Income ETF	47103U886
Sage ESG Intermediate Credit ETF	66538H583
NuShares Enhanced Yield U.S. Aggregate Bond ETF	67092P102
NuShares Enhanced Yield 1-5 Year U.S. Aggregate Bond ETF	67092P110
PGIM Ultra Short Bond ETF (Active Fund)	69344A107
PIMCO 0-5 Year High Yield Corporate Bond Index Exchange-Traded Fund	72201R783
PIMCO Investment Grade Corporate Bond Index Exchange-Traded Fund	72201R817
PIMCO Enhanced Maturity Active ETF	72201R833
SPDR Portfolio Corporate Bond ETF	78464A144
SPDR Bloomberg Barclays International Corporate Bond ETF	78464A151
SPDR Nuveen Bloomberg Barclays High Yield Municipal Bond ETF	78464A284
SPDR Bloomberg Barclays Short Term International Treasury Bond ETF	78464A334
SPDR Portfolio Long Term Corporate Bond ETF	78464A367

ETF NAME	CUSIP
SPDR Portfolio Intermediate Term Corporate Bond ETF	78464A375
SPDR Portfolio Mortgage Backed Bond ETF	78464A383
SPDR Bloomberg Barclays Emerging Markets Local Bond ETF	78464A391
SPDR Portfolio Short Term Corporate Bond ETF	78464A474
SPDR FTSE International Government Inflation-Protected Bond ETF	78464A490
SPDR Bloomberg Barclays International Treasury Bond ETF	78464A516
SPDR Portfolio Aggregate Bond ETF	78464A649
SPDR Portfolio TIPS ETF	78464A656
SPDR Portfolio Long Term Treasury ETF	78464A664
SPDR Portfolio Intermediate Term Treasury ETF	78464A672
SPDR Blackstone / GSO Senior Loan ETF	78467V608
SPDR SSGA Ultra Short Term Bond ETF	78467V707
SPDR Portfolio Short Term Treasury ETF	78468R101
SPDR Bloomberg Barclays Investment Grade Floating Rate ETF	78468R200
SPDR Bloomberg Barclays Short Term High Yield Bond ETF	78468R408
SPDR Portfolio High Yield Bond ETF	78468R606
SPDR Bloomberg Barclays High Yield Bond ETF	78468R622
SPDR Bloomberg Barclays 1–3 Month T-Bill ETF	78468R663
SPDR Nuveen Bloomberg Barclays Municipal Bond ETF	78468R721
SPDR Nuveen Bloomberg Barclays Short Term Municipal Bond ETF	78468R739
Aware Ultra-Short Duration Enhanced Income ETF	886364108
VanEck Vectors EM Investment Grade + BB Rated USD Sovereign Bond ETF	92189F346
VanEck Vectors Emerging Markets High Yield Bond ETF	92189F353
VanEck Vectors Fallen Angel High Yield Bond ETF	92189F437
VanEck Vectors International High Yield Bond ETF	92189F445
VanEck Vectors Investment Grade Floating Rate ETF	92189F486
VanEck Vectors AMT-Free Intermediate Municipal Index ETF	92189H201
VanEck Vectors J.P. Morgan EM Local Currency Bond ETF	92189H300
VanEck Vectors High-Yield Municipal Index ETF	92189H409
Vanguard Extended Duration Treasury ETF	921910709
Vanguard Long-Term Bond Index Fund	921937793
Vanguard Intermediate-Term Bond Index Fund	921937819
Vanguard Short-Term Bond Index Fund	921937827
Vanguard Total Bond Market Index Fund	921937835
Vanguard Emerging Markets Government Bond ETF	921946885
Vanguard Short-Term Inflation-Protected Securities ETF	922020805
Vanguard Total International Bond ETF	92203J407
Vanguard Short-Term Government Bond ETF	92206C102
Vanguard Short-Term Corporate Bond ETF	92206C409
Vanguard Total Corporate Bond Fund	92206C573
Vanguard Intermediate-Term Government Bond ETF	92206C706
Vanguard Mortgage-Backed Securities Index Fund	92206C771
Vanguard Long-Term Corporate Bond ETF	92206C813
Vanguard Long-Term Government Bond ETF	92206C847
Vanguard Intermediate-Term Corporate Bond ETF	92206C870
Vanguard Tax-Exempt Bond Index ETF	922907746

**ETF NAME**

WisdomTree Barclays US Aggregate Bond Enhanced Yield Fund

WisdomTree Floating Rate Treasury Fund

WisdomTree Emerging Markets Corporate Bond ETF

WisdomTree Asia Local Debt Fund ETF

WisdomTree Emerging Markets Local Debt Fund ETF

**CUSIP**

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