ETF Preferred Stock List

ETFs Eligible to be Reported as Preferred Stock

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

<table>
<thead>
<tr>
<th>ETF NAME</th>
<th>CUSIP</th>
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<tbody>
<tr>
<td>Invesco Preferred ETF</td>
<td>46138E511</td>
</tr>
<tr>
<td>SPDR Wells Fargo Preferred Stock ETF</td>
<td>78464A292</td>
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