

# SECURITIES AND EXCHANGE COMMISSION

## FORM 40-17G/A

Fidelity bond filed pursuant to Rule 17g1(g)(1) of the Investment Company Act of 1940  
[amend]

Filing Date: **2021-03-26**  
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(HTML Version on [secdatabase.com](http://secdatabase.com))

### FILER

#### FIRST TRUST EXCHANGE-TRADED ALPHADAX FUND

CIK:[1383496](#) | IRS No.: **000000000** | State of Incorporation: **MA**  
Type: **40-17G/A** | Act: **40** | File No.: [811-22019](#) | Film No.: **21778429**

Mailing Address	Business Address
120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187	120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187 630-765-8000

#### FIRST TRUST HIGH YIELD OPPORTUNITIES 2027 TERM FUND

CIK:[1810523](#) | IRS No.: **000000000** | State of Incorporation: **MA** | Fiscal Year End: **0531**  
Type: **40-17G/A** | Act: **40** | File No.: [811-23565](#) | Film No.: **21778430**

Mailing Address	Business Address
120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187	120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187 630-765-8000

#### FIRST TRUST ENERGY INCOME & GROWTH FUND

CIK:[1824940](#) | IRS No.: **113716544** | Fiscal Year End: **1130**  
Type: **40-17G/A** | Act: **40** | File No.: [811-21549](#) | Film No.: **21778448**

Mailing Address	Business Address
FIRST TRUST PORTFOLIOS L P 120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187	10 WESTPORT ROAD SUITE C101A WILTON CT 06897 630-765-8000

#### FIRST TRUST ENHANCED EQUITY INCOME FUND

CIK:[1291334](#) | IRS No.: **300261406** | Fiscal Year End: **1231**  
Type: **40-17G/A** | Act: **40** | File No.: [811-21586](#) | Film No.: **21778449**

Mailing Address	Business Address
C/O FIRST TRUST PORTFOLIOS L.P. 120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187	C/O FIRST TRUST PORTFOLIOS L.P. 120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187 630-765-8000

#### FIRST TRUST/ABERDEEN GLOBAL OPPORTUNITY INCOME FUND

CIK:[1302624](#) | IRS No.: **736357662** | Fiscal Year End: **1231**  
Type: **40-17G/A** | Act: **40** | File No.: [811-21636](#) | Film No.: **21778447**

Mailing Address	Business Address
120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187	120 EAST LIBERTY DRIVE, SUITE 400 WHEATON IL 60187 630-765-8000

#### FIRST TRUST MORTGAGE INCOME FUND

Mailing Address	Business Address
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CIK:**1319183** | IRS No.: **356758396** | Fiscal Year End: **1031**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21727** | Film No.: **21778454**

120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630765-8000

## FIRST TRUST EXCHANGE-TRADED FUND

CIK:**1329377** | IRS No.: **000000000**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21774** | Film No.: **21778456**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST/ABERDEEN EMERGING OPPORTUNITY FUND

CIK:**1363438** | IRS No.: **711005833** | Fiscal Year End: **1231**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21905** | Film No.: **21778446**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST EXCHANGE-TRADED FUND II

CIK:**1364608** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21944** | Film No.: **21778455**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

CIK:**1392994** | IRS No.: **061810845** | Fiscal Year End: **1130**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22039** | Film No.: **21778451**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## First Trust Exchange-Traded Fund III

CIK:**1424212** | IRS No.: **000000000**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22245** | Film No.: **21778437**

Mailing Address  
120 EAST LIBERTY DRIVE  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST HIGH INCOME LONG/SHORT FUND

CIK:**1494530** | IRS No.: **000000000** | State of Incorpor.:**MA** | Fiscal Year End: **1031**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22442** | Film No.: **21778445**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST SERIES FUND

CIK:**1497778** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22452** | Film No.: **21778444**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST EXCHANGE-TRADED ALPHADDEX FUND II

CIK:**1510337** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22519** | Film No.: **21778443**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST ENERGY INFRASTRUCTURE FUND

CIK:**1513789** | IRS No.: **452751056** | Fiscal Year End: **1130**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22528** | Film No.: **21778442**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST EXCHANGE-TRADED FUND IV

CIK:**1517936** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22559** | Film No.: **21778440**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST VARIABLE INSURANCE TRUST

CIK:**1537395** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22652** | Film No.: **21778438**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST EXCHANGE-TRADED FUND V

CIK:**1549548** | IRS No.: **000000000** | State of Incorpor.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22709** | Film No.: **21778435**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187

Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

## FIRST TRUST EXCHANGE-TRADED FUND VI

Mailing Address

Business Address

CIK:**1552740** | IRS No.: **000000000** | State of Incorp.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22717** | Film No.: **21778439**

120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### FIRST TRUST MLP & ENERGY INCOME FUND

CIK:**1556336** | IRS No.: **000000000** | State of Incorp.:**MA** | Fiscal Year End: **1031**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22738** | Film No.: **21778441**

Mailing Address  
120 E. LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
10 WESTPORT ROAD  
SUITE C101A  
WILTON CT 06897  
630-765-8000

### FIRST TRUST EXCHANGE-TRADED FUND VII

CIK:**1561785** | IRS No.: **000000000** | State of Incorp.:**MA**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22767** | Film No.: **21778434**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### First Trust Intermediate Duration Preferred & Income Fund

CIK:**1567569** | IRS No.: **000000000** | State of Incorp.:**MA** | Fiscal Year End: **1031**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22795** | Film No.: **21778436**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### FIRST TRUST NEW OPPORTUNITIES MLP & ENERGY FUND

CIK:**1589420** | IRS No.: **300803117** | Fiscal Year End: **1031**  
Type: **40-17G/A** | Act: **40** | File No.: **811-22902** | Film No.: **21778433**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
10 WESTPORT ROAD  
SUITE C101A  
WILTON CT 06897  
630-765-8000

### FIRST TRUST DYNAMIC EUROPE EQUITY INCOME FUND

CIK:**1646109** | IRS No.: **000000000** | State of Incorp.:**MA** | Fiscal Year End: **1231**  
Type: **40-17G/A** | Act: **40** | File No.: **811-23072** | Film No.: **21778432**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### FIRST TRUST EXCHANGE-TRADED FUND VIII

CIK:**1667919** | IRS No.: **000000000**  
Type: **40-17G/A** | Act: **40** | File No.: **811-23147** | Film No.: **21778431**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### FIRST TRUST SENIOR FLOATING RATE 2022 TARGET TERM FUND

CIK:**1687081** | IRS No.: **300956123** | Fiscal Year End: **0531**  
Type: **40-17G/A** | Act: **40** | File No.: **811-23199** | Film No.: **21778452**

Mailing Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### MACQUARIE/FIRST TRUST GLOBAL INFRASTR/UTIL DIV & INC FUND

CIK:**1276469** | IRS No.: **593779311** | Fiscal Year End: **1130**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21496** | Film No.: **21778450**

Mailing Address  
FIRST TRUST PORTFOLIOS  
LP  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
Business Address  
FIRST TRUST PORTFOLIOS  
LP  
120 EAST LIBERTY DRIVE,  
SUITE 400  
WHEATON IL 60187  
630-765-8000

### FIRST TRUST SENIOR FLOATING RATE INCOME FUND II

CIK:**1282850** | IRS No.: **113716541** | Fiscal Year End: **0531**  
Type: **40-17G/A** | Act: **40** | File No.: **811-21539** | Film No.: **21778453**

Mailing Address  
120 EAST LIBERTY DRIVE  
SUITE 400  
WHEATON IL 60187  
Business Address  
120 EAST LIBERTY DRIVE  
SUITE 400  
WHEATON IL 60187  
630-765-8000

March 25, 2020

VIA EDGAR

Securities and Exchange Commission  
100 F Street, NE  
Washington, D.C. 20549

Re: Rule 17g-1 Fidelity Bond Filing Information with Respect to Joint Fidelity Bond filing under Investment Company Act Rule 17g-1, Bond No 99516120B for the following management investment companies:

<b>Fund Name</b>	<b>File No.</b>	<b>SEC Registration No.</b>
Macquarie/First Trust Global Infrastructure/ Utilities Dividend & Income Fund	811-21496	333-112202
First Trust Senior Floating Rate Income Fund II	811-21539	333-113978, 333-115414, 333-184182 and 333-115878
First Trust Energy Income and Growth Fund	811-21549	333-114131, 333-120853, 333-131771, 333-154254, 333-123460, 333-173334, 333-179878, 333-173335, 333-187192 and 333-217580
First Trust Enhanced Equity Income Fund	811-21586	333-116023 and 333-118593
First Trust/Aberdeen Global Opportunity Income Fund	811-21636	333-119081
First Trust Mortgage Income Fund	811-21727	333-123262 and 333-170228
First Trust Exchange-Traded Fund	811-21774	333-125751
First Trust/Aberdeen Emerging Opportunity Fund	811-21905	333-134540
First Trust Specialty Finance and Financial Opportunities Fund	811-22039	333-141457, 333-200618, 333-143713 and 333-143268
First Trust Exchange-Traded AlphaDEX <sup>®</sup> Fund	811-22019	333-140895
First Trust Exchange-Traded Fund II	811-21944	333-143964; 333-231299
First Trust High Income Long/Short Fund	811-22442	333-168186, 333-225853 and 333-223803
First Trust Exchange-Traded AlphaDEX <sup>®</sup> Fund II	811-22519	333-171759
First Trust Series Fund	811-22452	333-168727
First Trust Energy Infrastructure Fund	811-22528	333-172439 and 333-177037
First Trust Exchange-Traded Fund VI	811-22717	333-182308
First Trust Exchange-Traded Fund IV	811-22559	333-174332
First Trust Variable Insurance Trust	811-22652	333-178767
First Trust MLP and Energy Income Fund	811-22738	333-183396, 333-185172 and 333-217581
First Trust Exchange-Traded Fund III	811-22245	333-176976
First Trust Intermediate Duration Preferred & Income Fund	811-22795	333-186412 and 333-188816
First Trust Exchange-Traded Fund V	811-22709	333-181507
First Trust Exchange-Traded Fund VII	811-22767	333-184918
First Trust New Opportunities MLP & Energy Fund	811-22902	333-191808, 333-194835 and 333-212884
First Trust Dynamic Europe Equity Income Fund	811-23072	333-205681 and 333-207118
First Trust Exchange-Traded Fund VIII	811-23147	333-210186
First Trust Senior Floating Rate 2022 Target Term Fund	811-23199	333-214125
First Trust High Yield Opportunities 2027 Term Fund	811-23565	333-237878

Dear Sir or Madam:

Enclosed for filing, pursuant to Rule 17g-1 of the Investment Company Act of 1940, please find a copy of the Joint Insured Fidelity Bond for the period October 9, 2020 to October 9, 2021, for the First Trust complex of funds referenced above. Please note for the Commission's records, the following:

- (i) The Joint Insured Fidelity Bond;
- (ii) a Certificate of Assistant Secretary containing the form of resolutions of the Board of Trustees approving the amount, type, form and coverage of the Fidelity Bond, the amount of the single insured bond which the registrant would have provided had it not been named as an insured under the Fidelity Bond, and a statement as to the period for which premiums have been paid; and
- (iii) a copy of the Blanket Bond Insurance Agreement.

Very truly yours,

FIRST TRUST PORTFOLIOS L.P.

/s/ Kristi A. Maher

Deputy General Counsel

Enclosures

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

1401 H St. NW  
Washington, DC 20005

**INVESTMENT COMPANY BLANKET BOND**

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# ICI MUTUAL INSURANCE COMPANY, a Risk Retention Group

1401 H St. NW  
Washington, DC 20005

## DECLARATIONS

### NOTICE

This policy is issued by your risk retention group. Your risk retention group may not be subject to all of the insurance laws and regulations of your state. State insurance insolvency guaranty funds are not available for your risk retention group.

<b>Item 1.</b> Name of Insured (the “Insured”) <b>First Trust Exchange-Traded Fund</b>	Bond Number: <b>99516120B</b>
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Principal Office:  
120 East Liberty Drive, Suite 400  
Wheaton, IL 60187

Mailing Address:  
120 East Liberty Drive, Suite 400  
Wheaton, IL 60187

**Item 2.** Bond Period: from 12:01 a.m. on October 9, 2020 to 12:01 a.m. on October 9, 2021, or the earlier effective date of the termination of this Bond, standard time at the Principal Office as to each of said dates.

**Item 3.** Limit of Liability—  
Subject to Sections 9, 10 and 12 hereof:

		LIMIT OF LIABILITY	DEDUCTIBLE AMOUNT
Insuring Agreement A-	FIDELITY	\$34,000,000	\$50,000
Insuring Agreement B-	AUDIT EXPENSE	\$50,000	\$10,000
Insuring Agreement C-	ON PREMISES	\$34,000,000	\$50,000
Insuring Agreement D-	IN TRANSIT	\$34,000,000	\$50,000
Insuring Agreement E-	FORGERY OR ALTERATION	\$34,000,000	\$50,000
Insuring Agreement F-	SECURITIES	\$34,000,000	\$50,000
Insuring Agreement G-	COUNTERFEIT CURRENCY	\$34,000,000	\$50,000
Insuring Agreement H-	UNCOLLECTIBLE ITEMS OF DEPOSIT	\$25,000	\$5,000
Insuring Agreement I-	PHONE/ELECTRONIC TRANSACTIONS	Not Covered	Not Covered

If “Not Covered” is inserted opposite any Insuring Agreement above, such Insuring Agreement and any reference thereto shall be deemed to be deleted from this Bond.

OPTIONAL INSURING AGREEMENTS ADDED BY RIDER:

Insuring Agreement J-	COMPUTER SECURITY	\$34,000,000	\$50,000
Insuring Agreement M-	SOCIAL ENGINEERING FRAUD	\$1,000,000	\$50,000

**Item 4.** Offices or Premises Covered--All the Insured’s offices or other premises in existence at the time this Bond becomes effective are covered under this Bond, except the offices or other premises excluded by Rider. Offices or other premises acquired or established after the effective date of this Bond are covered subject to the terms of General Agreement A.

**Item 5.** The liability of ICI Mutual Insurance Company, a Risk Retention Group (the “Underwriter”) is subject to the terms of the following Riders attached hereto:

Riders: 1-2-3-4-5-6-7-8-9-10-11-12

and of all Riders applicable to this Bond issued during the Bond Period.

By: /S/ Swenitha Nalli By: /S/ Catherine Dalton  
Authorized Representative Authorized Representative

Bond (6/18)

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# INVESTMENT COMPANY BLANKET BOND

## NOTICE

This policy is issued by your risk retention group. Your risk retention group may not be subject to all of the insurance laws and regulations of your state. State insurance insolvency guaranty funds are not available for your risk retention group.

ICI Mutual Insurance Company, a Risk Retention Group (the “Underwriter”), in consideration of an agreed premium, and in reliance upon the Application and all other information furnished to the Underwriter by the Insured, and subject to and in accordance with the Declarations, General Agreements, Provisions, Conditions and Limitations and other terms of this bond (including all riders hereto) (“Bond”), to the extent of the Limit of Liability and subject to the Deductible Amount, agrees to indemnify the Insured for the loss, as described in the Insuring Agreements, sustained by the Insured at any time but discovered during the Bond Period.

## INSURING AGREEMENTS

### A. FIDELITY

Loss resulting directly from any Dishonest or Fraudulent Act committed by an Employee, committed anywhere and whether committed alone or in collusion with other persons (whether or not Employees), during the time such Employee has the status of an Employee as defined herein, and even if such loss is not discovered until after he or she ceases to be an Employee; and EXCLUDING loss covered under Insuring Agreement B.

### B. AUDIT EXPENSE

Expense incurred by the Insured for that part of the costs of audits or examinations required by any governmental regulatory authority or Self-Regulatory Organization to be conducted by such authority or Organization or by an independent accountant or other person, by reason of the discovery of loss sustained by the Insured and covered by this Bond.

### C. ON PREMISES

Loss of Property resulting directly from any Mysterious Disappearance, or any Dishonest or Fraudulent Act committed by a person physically present in an office or on the premises of the Insured at the time the Property is surrendered, while the Property is (or reasonably supposed or believed by the Insured to be) lodged or deposited within the Insured’s offices or premises located anywhere, except those offices excluded by Rider; and EXCLUDING loss covered under Insuring Agreement A.

### D. IN TRANSIT

Loss of Property resulting directly from any Mysterious Disappearance or Dishonest or Fraudulent Act while the Property is physically (not electronically) in transit anywhere in the custody of any person authorized by an Insured to act as a messenger, except while in the mail or with a carrier for hire (other than a Security Company); and EXCLUDING loss covered under Insuring Agreement A. Property is “in transit” beginning immediately upon receipt of such Property by the transporting person and ending immediately upon delivery to the designated recipient or its agent, but only while the Property is being conveyed.

Bond (6/18)



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## E. FORGERY OR ALTERATION

Loss resulting directly from the Insured having, in good faith, paid or transferred any Property in reliance upon any Written, Original:

- (1) bills of exchange, checks, drafts, or other written orders or directions to pay sums certain in money, acceptances, certificates of deposit, due bills, money orders, warrants, orders upon public treasuries, or letters of credit; or  
  
instructions, requests or applications directed to the Insured, authorizing or acknowledging the transfer, payment, redemption, delivery or receipt of money or Property, or giving notice of any bank account (provided such instructions or requests or applications purport to have been signed or endorsed by (a) any customer of the Insured, or (b) any
- (2) shareholder of or subscriber to shares issued by any Investment Company, or (c) any financial or banking institution or stockbroker, and further provided such instructions, requests, or applications either bear the forged signature or endorsement or have been altered without the knowledge and consent of such customer, such shareholder or subscriber to shares issued by an Investment Company, or such financial or banking institution or stockbroker); or
- (3) withdrawal orders or receipts for the withdrawal of Property, or receipts or certificates of deposit for Property and bearing the name of the Insured as issuer or of another Investment Company for which the Insured acts as agent;

which bear (a) a Forgery, or (b) an Alteration, but only to the extent that the Forgery or Alteration directly causes the loss.

Actual physical possession by the Insured or its authorized representative of the items listed in (1) through (3) above is a condition precedent to the Insured having relied upon the items.

This Insuring Agreement E does not cover loss caused by Forgery or Alteration of Securities or loss covered under Insuring Agreement A.

## F. SECURITIES

Loss resulting directly from the Insured, in good faith, in the ordinary course of business, and in any capacity whatsoever, whether for its own account or for the account of others, having acquired, accepted or received, or sold or delivered, or given any value, extended any credit or assumed any liability in reliance on any Written, Original Securities, where such loss results from the fact that such Securities prove to:

- (1) be Counterfeit, but only to the extent that the Counterfeit directly causes the loss, or
- (2) be lost or stolen, or
- (3) contain a Forgery or Alteration, but only to the extent the Forgery or Alteration directly causes the loss,

and notwithstanding whether or not the act of the Insured causing such loss violated the constitution, by-laws, rules, or regulations of any Self-Regulatory Organization, whether or not the Insured was a member thereof.

Bond (6/18)

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This Insuring Agreement F does not cover loss covered under Insuring Agreement A.

Actual physical possession by the Insured or its authorized representative of the Securities is a condition precedent to the Insured having relied upon the Securities.

## **G. COUNTERFEIT CURRENCY**

Loss resulting directly from the receipt by the Insured, in good faith of any Counterfeit Currency.

This Insuring Agreement G does not cover loss covered under Insuring Agreement A.

## **H. UNCOLLECTIBLE ITEMS OF DEPOSIT**

Loss resulting directly from the payment of dividends, issuance of Fund shares or redemptions or exchanges permitted from an account with the Fund as a consequence of

- (1) uncollectible Items of Deposit of a Fund's customer, shareholder or subscriber credited by the Insured or its agent to such person's Fund account, or
- (2) any Item of Deposit processed through an automated clearing house which is reversed by a Fund's customer, shareholder or subscriber and is deemed uncollectible by the Insured;

PROVIDED, that (a) Items of Deposit shall not be deemed uncollectible until the Insured's collection procedures have failed, (b) exchanges of shares between Funds with exchange privileges shall be covered hereunder only if all such Funds are insured by the Underwriter for uncollectible Items of Deposit, and (c) the Insured Fund shall have implemented and maintained a policy to hold Items of Deposit for the minimum number of days stated in its Application (as amended from time to time) before paying any dividend or permitting any withdrawal with respect to such Items of Deposit (other than exchanges between Funds). Regardless of the number of transactions between Funds in an exchange program, the minimum number of days an Item of Deposit must be held shall begin from the date the Item of Deposit was first credited to any Insured Fund.

This Insuring Agreement H does not cover loss covered under Insuring Agreement A.

## **I. PHONE/ELECTRONIC TRANSACTIONS**

Loss resulting directly from a Phone/Electronic Transaction, where the request for such Phone/Electronic Transaction:

- (1) is transmitted to the Insured or its agents by voice over the telephone or by Electronic Transmission; and
- (2) is made by an individual purporting to be a Fund shareholder or subscriber or an authorized agent of a Fund shareholder or subscriber; and
- (3) is unauthorized or fraudulent and is made with the manifest intent to deceive;

PROVIDED, that the entity receiving such request generally maintains and follows during the Bond Period all Phone/  
Electronic Transaction Security Procedures with respect to all Phone/Electronic Transactions; and

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EXCLUDING loss resulting from:

(1) the failure to pay for shares attempted to be purchased; or

any redemption of Investment Company shares which had been improperly credited to a shareholder's account where  
(2) such shareholder (a) did not cause, directly or indirectly, such shares to be credited to such account, and (b) directly or indirectly received any proceeds or other benefit from such redemption; or

any redemption of shares issued by an Investment Company where the proceeds of such redemption were requested  
(3) (i) to be paid or made payable to other than an Authorized Recipient or an Authorized Bank Account or (ii) to be sent to other than an Authorized Address;

(4) the intentional failure to adhere to one or more Phone/Electronic Transaction Security Procedures; or

(5) a Phone/Electronic Transaction request transmitted by electronic mail or transmitted by any method not subject to the Phone/Electronic Transaction Security Procedures; or

(6) the failure or circumvention of any physical or electronic protection device, including any firewall, that imposes restrictions on the flow of electronic traffic in or out of any Computer System.

This Insuring Agreement I does not cover loss covered under Insuring Agreement A, "Fidelity" or Insuring Agreement J, "Computer Security".

## GENERAL AGREEMENTS

### A. ADDITIONAL OFFICES OR EMPLOYEES—CONSOLIDATION OR MERGER—NOTICE

Except as provided in paragraph 2 below, this Bond shall apply to any additional office(s) established by the Insured

1. during the Bond Period and to all Employees during the Bond Period, without the need to give notice thereof or pay additional premiums to the Underwriter for the Bond Period.

If during the Bond Period an Insured Investment Company shall merge or consolidate with an institution in which such Insured is the surviving entity, or purchase substantially all the assets or capital stock of another institution, or acquire or create a separate investment portfolio, and shall within sixty (60) days notify the Underwriter thereof, then this Bond  
2. shall automatically apply to the Property and Employees resulting from such merger, consolidation, acquisition or creation from the date thereof; provided, that the Underwriter may make such coverage contingent upon the payment of an additional premium.

### B. WARRANTY

No statement made by or on behalf of the Insured, whether contained in the Application or otherwise, shall be deemed to be an absolute warranty, but only a warranty that such statement is true to the best of the knowledge of the person responsible for such statement.



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## C. COURT COSTS AND ATTORNEYS' FEES

The Underwriter will indemnify the Insured against court costs and reasonable attorneys' fees incurred and paid by the Insured in defense of any legal proceeding brought against the Insured seeking recovery for any loss which, if established against the Insured, would constitute a loss covered under the terms of this Bond; provided, however, that with respect to Insuring Agreement A this indemnity shall apply only in the event that:

1. an Employee admits to having committed or is adjudicated to have committed a Dishonest or Fraudulent Act which caused the loss; or  
  
in the absence of such an admission or adjudication, an arbitrator or arbitrators acceptable to the Insured and the
2. Underwriter concludes, after a review of an agreed statement of facts, that an Employee has committed a Dishonest or Fraudulent Act which caused the loss.

The Insured shall promptly give notice to the Underwriter of any such legal proceeding and upon request shall furnish the Underwriter with copies of all pleadings and other papers therein. At the Underwriter's election the Insured shall permit the Underwriter to conduct the defense of such legal proceeding in the Insured's name, through attorneys of the Underwriter's selection. In such event, the Insured shall give all reasonable information and assistance which the Underwriter shall deem necessary to the proper defense of such legal proceeding.

If the amount of the Insured's liability or alleged liability in any such legal proceeding is greater than the amount which the Insured would be entitled to recover under this Bond (other than pursuant to this General Agreement C), or if a Deductible Amount is applicable, or both, the indemnity liability of the Underwriter under this General Agreement C is limited to the proportion of court costs and attorneys' fees incurred and paid by the Insured or by the Underwriter that the amount which the Insured would be entitled to recover under this Bond (other than pursuant to this General Agreement C) bears to the sum of such amount plus the amount which the Insured is not entitled to recover. Such indemnity shall be in addition to the Limit of Liability for the applicable Insuring Agreement.

## D. INTERPRETATION

This Bond shall be interpreted with due regard to the purpose of fidelity bonding under Rule 17g-1 under the Investment Company Act of 1940 (i.e., to protect innocent third parties from harm) and to the structure of the investment management industry (in which a loss of Property resulting from a cause described in any Insuring Agreement ordinarily gives rise to a potential legal liability on the part of the Insured), such that the term "loss" as used herein shall include an Insured's legal liability for direct compensatory damages resulting directly from a misappropriation, or measurable diminution in value, of Property.

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**THIS BOND, INCLUDING THE FOREGOING INSURING AGREEMENTS  
AND GENERAL AGREEMENTS, IS SUBJECT TO THE FOLLOWING  
PROVISIONS, CONDITIONS AND LIMITATIONS:**

**SECTION 1. DEFINITIONS**

The following terms used in this Bond shall have the meanings stated in this Section:

- A.** “**Alteration**” means the marking, changing or altering in a material way of the terms, meaning or legal effect of a document with the intent to deceive.
- B.** “**Application**” means the Insured’s application (and any attachments and materials submitted in connection therewith) furnished to the Underwriter for this Bond.
- C.** “**Authorized Address**” means (1) any Officially Designated address to which redemption proceeds may be sent, (2) any address designated in writing (not to include Electronic Transmission) by the Shareholder of Record and received by the Insured at least one (1) day prior to the effective date of such designation, or (3) any address designated by voice over the telephone or by Electronic Transmission by the Shareholder of Record at least 15 days prior to the effective date of such designation.
- D.** “**Authorized Bank Account**” means any Officially Designated bank account to which redemption proceeds may be sent.
- E.** “**Authorized Recipient**” means (1) the Shareholder of Record, or (2) any other Officially Designated person to whom redemption proceeds may be sent.
- F.** “**Computer System**” means (1) computers with related peripheral components, including storage components, (2) systems and applications software, (3) terminal devices, (4) related communications networks or customer communication systems, and (5) related electronic funds transfer systems; by which data or monies are electronically collected, transmitted, processed, stored or retrieved.
- G.** “**Counterfeit**” means a Written imitation of an actual valid Original which is intended to deceive and to be taken as the Original.
- H.** “**Cryptocurrency**” means a digital or electronic medium of exchange, operating independently of a central bank, in which encryption techniques are used to regulate generation of units and to verify transfer of units from one person to another.
- I.** “**Currency**” means a medium of exchange in current use authorized or adopted by a domestic or foreign government as part of its official currency.
- J.** “**Deductible Amount**” means, with respect to any Insuring Agreement, the amount set forth under the heading “Deductible Amount” in Item 3 of the Declarations or in any Rider for such Insuring Agreement, applicable to each Single Loss covered by such Insuring Agreement.
- K.** “**Depository**” means any “securities depository” (other than any foreign securities depository) in which an Investment Company may deposit its Securities in accordance with Rule 17f-4 under the Investment Company Act of 1940.

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- L.** “**Dishonest or Fraudulent Act**” means any dishonest or fraudulent act, including “larceny and embezzlement” as defined in Section 37 of the Investment Company Act of 1940, committed with the conscious manifest intent (1) to cause the Insured to sustain a loss and (2) to obtain an improper financial benefit for the perpetrator or any other person or entity. A Dishonest or Fraudulent Act does not mean or include a reckless act, a negligent act, or a grossly negligent act. As used in this definition, “improper financial benefit” does not include any employee benefits received in the course of employment, including salaries, commissions, fees, bonuses, promotions, awards, profit sharing or pensions.
- M.** “**Electronic Transmission**” means any transmission effected by electronic means, including but not limited to a transmission effected by telephone tones, Telefacsimile, wireless device, or over the Internet.
- N.** “**Employee**” means:
- (1) each officer, director, trustee, partner or employee of the Insured, and  
each officer, director, trustee, partner or employee of any predecessor of the Insured whose principal assets are
  - (2) acquired by the Insured by consolidation or merger with, or purchase of assets or capital stock of, such predecessor, and
  - (3) each attorney performing legal services for the Insured and each employee of such attorney or of the law firm of such attorney while performing services for the Insured, and
  - (4) each student who is an authorized intern of the Insured, while in any of the Insured’s offices, and
  - (5) each officer, director, trustee, partner or employee of
    - (a) an investment adviser,
    - (b) an underwriter (distributor),
    - (c) a transfer agent or shareholder accounting recordkeeper, or
    - (d) an administrator authorized by written agreement to keep financial and/or other required records,for an Investment Company named as an Insured, BUT ONLY while (i) such officer, partner or employee is performing acts coming within the scope of the usual duties of an officer or employee of an Insured, or (ii) such officer, director, trustee, partner or employee is acting as a member of any committee duly elected or appointed to examine or audit or have custody of or access to the Property of the Insured, or (iii) such director or trustee (or anyone acting in a similar capacity) is acting outside the scope of the usual duties of a director or trustee; PROVIDED, that the term “Employee” shall not include any officer, director, trustee, partner or employee of a transfer agent, shareholder accounting recordkeeper or administrator (x) which is not an “affiliated person” (as defined in Section 2(a) of the Investment Company Act of 1940) of an Investment Company named as an Insured or of the adviser or underwriter of such Investment Company, or (y) which is a “Bank” (as defined in Section 2(a) of the Investment Company Act of 1940), and
  - (6) each individual assigned, by contract or by any agency furnishing temporary personnel, in either case on a contingent or part-time basis, to perform the usual duties of an employee in any office of the Insured, and

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- each individual assigned to perform the usual duties of an employee or officer of any entity authorized by written agreement with the Insured to perform services as electronic data processor of checks or other accounting records of the Insured, but excluding a processor which acts as transfer agent or in any other agency capacity for the Insured in issuing checks, drafts or securities, unless included under subsection (5) hereof, and
- (7)
- (8) each officer, partner or employee of
- (a) any Depository or Exchange,
  - (b) any nominee in whose name is registered any Security included in the systems for the central handling of securities established and maintained by any Depository, and
  - (c) any recognized service company which provides clerks or other personnel to any Depository or Exchange on a contract basis,

while such officer, partner or employee is performing services for any Depository in the operation of systems for the central handling of securities, and

- in the case of an Insured which is an “employee benefit plan” (as defined in Section 3 of the Employee Retirement Income Security Act of 1974 (“ERISA”)) for officers, directors or employees of another Insured (“In-House Plan”),
- (9) any “fiduciary” or other “plan official” (within the meaning of Section 412 of ERISA) of such In-House Plan, provided that such fiduciary or other plan official is a director, partner, officer, trustee or employee of an Insured (other than an In-House Plan).

Each employer of temporary personnel and each entity referred to in subsections (6) and (7) and their respective partners, officers and employees shall collectively be deemed to be one person for all the purposes of this Bond.

Brokers, agents, independent contractors, or representatives of the same general character shall not be considered Employees, except as provided in subsections (3), (6), and (7).

- O. “Exchange”** means any national securities exchange registered under the Securities Exchange Act of 1934.
- P. “Forgery”** means the physical signing on a document of the name of another person with the intent to deceive. A Forgery may be by means of mechanically reproduced facsimile signatures as well as handwritten signatures. Forgery does not include the signing of an individual’s own name, regardless of such individual’s authority, capacity or purpose.
- Q. “Items of Deposit”** means one or more checks or drafts.
- R. “Investment Company” or “Fund”** means an investment company registered under the Investment Company Act of 1940.
- S. “Limit of Liability”** means, with respect to any Insuring Agreement, the limit of liability of the Underwriter for any Single Loss covered by such Insuring Agreement as set forth under the heading “Limit of Liability” in Item 3 of the Declarations or in any Rider for such Insuring Agreement.
- T. “Mysterious Disappearance”** means any disappearance of Property which, after a reasonable investigation has been conducted, cannot be explained.

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- U. **“Non-Fund”** means any corporation, business trust, partnership, trust or other entity which is not an Investment Company.
- V. **“Officially Designated”** means designated by the Shareholder of Record:
- (1) in the initial account application,
  - (2) in writing accompanied by a signature guarantee, or  
in writing or by Electronic Transmission, where such designation is verified via a callback to the Shareholder of Record by the Insured at a predetermined telephone number provided by the Shareholder of Record to the Insured in writing at least 30 days prior to such callback.
- W. **“Original”** means the first rendering or archetype and does not include photocopies or electronic transmissions even if received and printed.
- X. **“Phone/Electronic Transaction”** means any (1) redemption of shares issued by an Investment Company, (2) election concerning dividend options available to Fund shareholders, (3) exchange of shares in a registered account of one Fund into shares in an identically registered account of another Fund in the same complex pursuant to exchange privileges of the two Funds, or (4) purchase of shares issued by an Investment Company, which redemption, election, exchange or purchase is requested by voice over the telephone or through an Electronic Transmission.
- Y. **“Phone/Electronic Transaction Security Procedures”** means security procedures for Phone/  
Electronic Transactions as set forth in the Application and/or as otherwise provided in writing to the Underwriter.
- Z. **“Property”** means the following tangible items: money, postage and revenue stamps, precious metals, Securities, bills of exchange, acceptances, checks, drafts, or other written orders or directions to pay sums certain in money, certificates of deposit, due bills, money orders, letters of credit, financial futures contracts, conditional sales contracts, abstracts of title, insurance policies, deeds, mortgages, and assignments of any of the foregoing, and other valuable papers, including books of account and other records used by the Insured in the conduct of its business, and all other instruments similar to or in the nature of the foregoing (but excluding all data processing records), (1) in which the Insured has a legally cognizable interest, (2) in which the Insured acquired or should have acquired such an interest by reason of a predecessor’s declared financial condition at the time of the Insured’s consolidation or merger with, or purchase of the principal assets of, such predecessor or (3) which are held by the Insured for any purpose or in any capacity.
- AA. **“Securities”** means original negotiable or non-negotiable agreements or instruments which represent an equitable or legal interest, ownership or debt (including stock certificates, bonds, promissory notes, and assignments thereof), which are in the ordinary course of business transferable by physical delivery with appropriate endorsement or assignment. “Securities” does not include bills of exchange, acceptances, certificates of deposit, checks, drafts, or other written orders or directions to pay sums certain in money, due bills, money orders, or letters of credit.
- BB. **“Security Company”** means an entity which provides or purports to provide the transport of Property by secure means, including, without limitation, by use of armored vehicles or guards.

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**CC.** “**Self-Regulatory Organization**” means any association of investment advisers or securities dealers registered under the federal securities laws, or any Exchange.

**DD.** “**Shareholder of Record**” means the record owner of shares issued by an Investment Company or, in the case of joint ownership of such shares, all record owners, as designated (1) in the initial account application, or (2) in writing accompanied by a signature guarantee, or (3) pursuant to procedures as set forth in the Application and/or as otherwise provided in writing to the Underwriter.

**EE.** “**Single Loss**” means:

- (1) all loss caused by any one act (other than a Dishonest or Fraudulent Act) committed by one person, or
- (2) all loss caused by Dishonest or Fraudulent Acts committed by one person, or
- (3) all expenses incurred with respect to any one audit or examination, or
- (4) all loss caused by any one occurrence or event other than those specified in subsections (1) through (3) above.

All acts or omissions of one or more persons which directly or indirectly aid or, by failure to report or otherwise, permit the continuation of an act referred to in subsections (1) and (2) above of any other person shall be deemed to be the acts of such other person for purposes of this subsection.

All acts or occurrences or events which have as a common nexus any fact, circumstance, situation, transaction or series of facts, circumstances, situations, or transactions shall be deemed to be one act, one occurrence, or one event.

**FF.** “**Telefacsimile**” means a system of transmitting and reproducing fixed graphic material (as, for example, printing) by means of signals transmitted over telephone lines or over the Internet.

**GG.** “**Written**” means expressed through letters or marks placed upon paper and visible to the eye.

## **SECTION 2. EXCLUSIONS**

### **THIS BOND DOES NOT COVER:**

- A. Loss resulting from (1) riot or civil commotion outside the United States of America and Canada, or (2) war, revolution, insurrection, action by armed forces, or usurped power, wherever occurring; except if such loss occurs while the Property is in transit, is otherwise covered under Insuring Agreement D, and when such transit was initiated, the Insured or any person initiating such transit on the Insured’s behalf had no knowledge of such riot, civil commotion, war, revolution, insurrection, action by armed forces, or usurped power.
- B. Loss in time of peace or war resulting from nuclear fission or fusion or radioactivity, or biological or chemical agents or hazards, or fire, smoke, or explosion, or the effects of any of the foregoing.
- C. Loss resulting from any Dishonest or Fraudulent Act committed by any person while acting in the capacity of a member of the Board of Directors or any equivalent body of the Insured or of any other entity.

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- D. Loss resulting from any nonpayment or other default of any loan or similar transaction made by the Insured or any of its partners, directors, officers or employees, whether or not authorized and whether procured in good faith or through a Dishonest or Fraudulent Act, unless such loss is otherwise covered under Insuring Agreement A, E, or F.
- E. Loss resulting from any violation by the Insured or by any Employee of any law, or any rule or regulation pursuant thereto or adopted by a Self-Regulatory Organization, regulating the issuance, purchase or sale of securities, securities transactions upon security exchanges or over the counter markets, Investment Companies, or investment advisers, unless such loss, in the absence of such law, rule or regulation, would be covered under Insuring Agreement A, E, or F.
- F. Loss resulting from Property that is the object of a Dishonest or Fraudulent Act or Mysterious Disappearance while in the custody of any Security Company, unless such loss is covered under this Bond and is in excess of the amount recovered or received by the Insured under (1) the Insured's contract with such Security Company, and (2) insurance or indemnity of any kind carried by such Security Company for the benefit of, or otherwise available to, users of its service, in which case this Bond shall cover only such excess, subject to the applicable Limit of Liability and Deductible Amount.
- G. Potential income, including but not limited to interest and dividends, not realized by the Insured because of a loss covered under this Bond, except when covered under Insuring Agreement H.
- H. Loss in the form of (1) damages of any type for which the Insured is legally liable, except direct compensatory damages, or (2) taxes, fines, or penalties, including without limitation two-thirds of treble damage awards pursuant to judgments under any statute or regulation.
- I. Loss resulting from the surrender of Property away from an office of the Insured as a result of kidnap, ransom, or extortion, or a threat
- (1) to do bodily harm to any person, except where the Property is in transit in the custody of any person acting as messenger as a result of a threat to do bodily harm to such person, if the Insured had no knowledge of such threat at the time such transit was initiated, or
- (2) to do damage to the premises or Property of the Insured,
- unless such loss is otherwise covered under Insuring Agreement A.
- J. All costs, fees, and other expenses incurred by the Insured in establishing the existence of or amount of loss covered under this Bond, except to the extent certain audit expenses are covered under Insuring Agreement B.
- K. Loss resulting from payments made to or withdrawals from any account, involving funds erroneously credited to such account, unless such loss is otherwise covered under Insuring Agreement A.
- L. Loss resulting from uncollectible Items of Deposit which are drawn upon a financial institution outside the United States of America, its territories and possessions, or Canada.
- M. Loss resulting from the Dishonest or Fraudulent Acts or other acts or omissions of an Employee primarily engaged in the sale of shares issued by an Investment Company to persons other than (1) a person registered as a broker under the Securities Exchange Act of 1934 or (2) an "accredited investor" as defined in Rule 501(a) of Regulation D under the Securities Act of 1933, which is not an individual.

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N. Loss resulting from the use of credit, debit, charge, access, convenience, identification, cash management or other cards, whether such cards were issued or purport to have been issued by the Insured or by anyone else, unless such loss is otherwise covered under Insuring Agreement A.

O. Loss resulting from any purchase, redemption or exchange of securities issued by an Investment Company or other Insured, or any other instruction, request, acknowledgement, notice or transaction involving securities issued by an Investment Company or other Insured or the dividends in respect thereof, when any of the foregoing is requested, authorized or directed or purported to be requested, authorized or directed by voice over the telephone or by Electronic Transmission, unless such loss is otherwise covered under Insuring Agreement A or Insuring Agreement I.

P. Loss resulting from any Dishonest or Fraudulent Act or committed by an Employee as defined in Section 1.N(2), unless such loss (1) could not have been reasonably discovered by the due diligence of the Insured at or prior to the time of acquisition by the Insured of the assets acquired from a predecessor, and (2) arose out of a lawsuit or valid claim brought against the Insured by a person unaffiliated with the Insured or with any person affiliated with the Insured.

Q. Loss resulting from the unauthorized entry of data into, or the deletion or destruction of data in, or the change of data elements or programs within, any Computer System, unless such loss is otherwise covered under Insuring Agreement A.

R. Loss resulting from the theft, disappearance, destruction, disclosure, or unauthorized use of confidential or personal information (including, but not limited to, trade secrets, personal shareholder or client information, shareholder or client lists, personally identifiable financial or medical information, intellectual property, or any other type of non-public information), whether such information is owned by the Insured or held by the Insured in any capacity (including concurrently with another person); provided, however, this exclusion shall not apply to loss arising out of the use of such information to support or facilitate the commission of an act otherwise covered by this Bond.

S. All costs, fees, and other expenses arising from a data security breach or incident, including, but not limited to, forensic audit expenses, fines, penalties, expenses to comply with federal and state laws and expenses related to notifying affected individuals.

T. Loss resulting from vandalism or malicious mischief.

U. Loss resulting from the theft, disappearance, or destruction of Cryptocurrency or from the change in value of Cryptocurrency, unless such loss (1) is sustained by any investment company registered under the Investment Company Act of 1940 that is named as an Insured and (2) is otherwise covered under Insuring Agreement A.

### **SECTION 3. ASSIGNMENT OF RIGHTS**

Upon payment to the Insured hereunder for any loss, the Underwriter shall be subrogated to the extent of such payment to all of the Insured's rights and claims in connection with such loss; provided, however, that the Underwriter shall not be subrogated to any such rights or claims one named Insured under this Bond may have against another named Insured under this Bond. At the request of the Underwriter, the Insured shall execute all assignments or other documents and take such action as the Underwriter may deem necessary or desirable to secure and perfect such rights and claims, including the execution of documents necessary to enable the Underwriter to bring suit in the name of the Insured.

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Assignment of any rights or claims under this Bond shall not bind the Underwriter without the Underwriter's written consent.

#### **SECTION 4. LOSS—NOTICE—PROOF—LEGAL PROCEEDINGS**

This Bond is for the use and benefit only of the Insured and the Underwriter shall not be liable hereunder to anyone other than the Insured. As soon as practicable and not more than sixty (60) days after discovery of any loss covered hereunder, the Insured shall give the Underwriter written notice thereof and, as soon as practicable and within one year after such discovery, shall also furnish to the Underwriter affirmative proof of loss with full particulars. The Underwriter may extend the sixty-day notice period or the one-year proof of loss period if the Insured requests an extension and shows good cause therefor.

The Insured shall provide the Underwriter with such information, assistance, and cooperation as the Underwriter may reasonably request.

See also General Agreement C (Court Costs and Attorneys' Fees).

The Underwriter shall not be liable hereunder for loss of Securities unless each of the Securities is identified in such proof of loss by a certificate or bond number or by such identification means as the Underwriter may require. The Underwriter shall have a reasonable period after receipt of a proper affirmative proof of loss within which to investigate the claim, but where the Property is Securities and the loss is clear and undisputed, settlement shall be made within forty-eight (48) hours even if the loss involves Securities of which duplicates may be obtained.

The Insured shall not bring legal proceedings against the Underwriter to recover any loss hereunder prior to sixty (60) days after filing such proof of loss or subsequent to twenty-four (24) months after the discovery of such loss or, in the case of a legal proceeding to recover hereunder on account of any judgment against the Insured in or settlement of any suit mentioned in General Agreement C or to recover court costs or attorneys' fees paid in any such suit, twenty-four (24) months after the date of the final judgment in or settlement of such suit. If any limitation in this Bond is prohibited by any applicable law, such limitation shall be deemed to be amended to be equal to the minimum period of limitation permitted by such law.

Notice hereunder shall be given to Manager, Professional Liability Claims, ICI Mutual Insurance Company, RRG, 1401 H St. NW, Washington, DC 20005.

#### **SECTION 5. DISCOVERY**

For all purposes under this Bond, a loss is discovered, and discovery of a loss occurs, when the Insured

- (1) becomes aware of facts, or
- (2) receives notice of an actual or potential claim by a third party which alleges that the Insured is liable under circumstances,

which would cause a reasonable person to assume that a loss of a type covered by this Bond has been or is likely to be incurred, regardless of when the act or acts causing or contributing to such loss occurred, even though the exact amount or details of the loss may not be known.

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## SECTION 6. VALUATION OF PROPERTY

For the purpose of determining the amount of any loss hereunder, the value of any Property shall be the market value of such Property at the close of business on the first business day before the discovery of such loss; except that

- the value of any Property replaced by the Insured prior to the payment of a claim therefor shall be the actual market
- (1) value of such Property at the time of replacement, but not in excess of the market value of such Property on the first business day before the discovery of the loss of such Property;

- the value of Securities which must be produced to exercise subscription, conversion, redemption or deposit privileges shall be the market value of such privileges immediately preceding the expiration thereof if the loss of
- (2) such Securities is not discovered until after such expiration, but if there is no quoted or other ascertainable market price for such Property or privileges referred to in clauses (1) and (2), their value shall be fixed by agreement between the parties or by arbitration before an arbitrator or arbitrators acceptable to the parties; and

- the value of books of accounts or other records used by the Insured in the conduct of its business shall be limited to
- (3) the actual cost of blank books, blank pages or other materials if the books or records are reproduced plus the cost of labor for the transcription or copying of data furnished by the Insured for reproduction.

## SECTION 7. LOST SECURITIES

The maximum liability of the Underwriter hereunder for lost Securities shall be the payment for, or replacement of, such Securities having an aggregate value not to exceed the applicable Limit of Liability. If the Underwriter shall make payment to the Insured for any loss of Securities, the Insured shall assign to the Underwriter all of the Insured's right, title and interest in and to such Securities. In lieu of such payment, the Underwriter may, at its option, replace such lost Securities, and in such case the Insured shall cooperate to effect such replacement. To effect the replacement of lost Securities, the Underwriter may issue or arrange for the issuance of a lost instrument bond. If the value of such Securities does not exceed the applicable Deductible Amount (at the time of the discovery of the loss), the Insured will pay the usual premium charged for the lost instrument bond and will indemnify the issuer of such bond against all loss and expense that it may sustain because of the issuance of such bond.

If the value of such Securities exceeds the applicable Deductible Amount (at the time of discovery of the loss), the Insured will pay a proportion of the usual premium charged for the lost instrument bond, equal to the percentage that the applicable Deductible Amount bears to the value of such Securities upon discovery of the loss, and will indemnify the issuer of such bond against all loss and expense that is not recovered from the Underwriter under the terms and conditions of this Bond, subject to the applicable Limit of Liability.

## SECTION 8. SALVAGE

If any recovery is made, whether by the Insured or the Underwriter, on account of any loss within the applicable Limit of Liability hereunder, the Underwriter shall be entitled to the full amount of such recovery to reimburse the Underwriter for all amounts paid hereunder with respect to such loss. If any recovery is made, whether by the Insured or the Underwriter, on account of any loss in excess of the applicable Limit of Liability hereunder plus the Deductible Amount applicable to such loss from any source other than suretyship, insurance, reinsurance, security or indemnity taken by or for the benefit of the Underwriter, the amount of such recovery, net of the actual costs and expenses of recovery, shall

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be applied to reimburse the Insured in full for the portion of such loss in excess of such Limit of Liability, and the remainder, if any, shall be paid first to reimburse the Underwriter for all amounts paid hereunder with respect to such loss and then to the Insured to the extent of the portion of such loss within the Deductible Amount. The Insured shall execute all documents which the Underwriter deems necessary or desirable to secure to the Underwriter the rights provided for herein.

#### **SECTION 9. NON-REDUCTION AND NON-ACCUMULATION OF LIABILITY AND TOTAL LIABILITY**

Prior to its termination, this Bond shall continue in force up to the Limit of Liability for each Insuring Agreement for each Single Loss, notwithstanding any previous loss (other than such Single Loss) for which the Underwriter may have paid or be liable to pay hereunder; PROVIDED, however, that regardless of the number of years this Bond shall continue in force and the number of premiums which shall be payable or paid, the liability of the Underwriter under this Bond with respect to any Single Loss shall be limited to the applicable Limit of Liability irrespective of the total amount of such Single Loss and shall not be cumulative in amounts from year to year or from period to period.

#### **SECTION 10. MAXIMUM LIABILITY OF UNDERWRITER; OTHER BONDS OR POLICIES**

The maximum liability of the Underwriter for any Single Loss covered by any Insuring Agreement under this Bond shall be the Limit of Liability applicable to such Insuring Agreement, subject to the applicable Deductible Amount and the other provisions of this Bond. Recovery for any Single Loss may not be made under more than one Insuring Agreement. If any Single Loss covered under this Bond is recoverable or recovered in whole or in part because of an unexpired discovery period under any other bonds or policies issued by the Underwriter to the Insured or to any predecessor in interest of the Insured, the maximum liability of the Underwriter shall be the greater of either (1) the applicable Limit of Liability under this Bond, or (2) the maximum liability of the Underwriter under such other bonds or policies.

#### **SECTION 11. OTHER INSURANCE**

Notwithstanding anything to the contrary herein, if any loss covered by this Bond shall also be covered by other insurance or suretyship for the benefit of the Insured, the Underwriter shall be liable hereunder only for the portion of such loss in excess of the amount recoverable under such other insurance or suretyship, but not exceeding the applicable Limit of Liability of this Bond.

#### **SECTION 12. DEDUCTIBLE AMOUNT**

The Underwriter shall not be liable under any Insuring Agreement unless the amount of the loss covered thereunder, after deducting the net amount of all reimbursement and/or recovery received by the Insured with respect to such loss (other than from any other bond, suretyship or insurance policy or as an advance by the Underwriter hereunder) shall exceed the applicable Deductible Amount; in such case the Underwriter shall be liable only for such excess, subject to the applicable Limit of Liability and the other terms of this Bond.

No Deductible Amount shall apply to any loss covered under Insuring Agreement A sustained by any Investment Company named as an Insured.

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## **SECTION 13. TERMINATION**

The Underwriter may terminate this Bond as to any Insured or all Insureds only by written notice to such Insured or Insureds and, if this Bond is terminated as to any Investment Company, to each such Investment Company terminated thereby and to the Securities and Exchange Commission, Washington, D.C., in all cases not less than sixty (60) days prior to the effective date of termination specified in such notice.

The Insured may terminate this Bond only by written notice to the Underwriter not less than sixty (60) days prior to the effective date of the termination specified in such notice. Notwithstanding the foregoing, when the Insured terminates this Bond as to any Investment Company, the effective date of termination shall be not less than sixty (60) days from the date the Underwriter provides written notice of the termination to each such Investment Company terminated thereby and to the Securities and Exchange Commission, Washington, D.C.

This Bond will terminate as to any Insured that is a Non-Fund immediately and without notice upon (1) the takeover of such Insured's business by any State or Federal official or agency, or by any receiver or liquidator, or (2) the filing of a petition under any State or Federal statute relative to bankruptcy or reorganization of the Insured, or assignment for the benefit of creditors of the Insured.

Premiums are earned until the effective date of termination. The Underwriter shall refund the unearned premium computed at short rates in accordance with the Underwriter's standard short rate cancellation tables if this Bond is terminated by the Insured or pro rata if this Bond is terminated by the Underwriter.

Upon the detection by any Insured that an Employee has committed any Dishonest or Fraudulent Act(s), the Insured shall immediately remove such Employee from a position that may enable such Employee to cause the Insured to suffer a loss by any subsequent Dishonest or Fraudulent Act(s). The Insured, within two (2) business days of such detection, shall notify the Underwriter with full and complete particulars of the detected Dishonest or Fraudulent Act(s).

For purposes of this section, detection occurs when any partner, officer, or supervisory employee of any Insured, who is not in collusion with such Employee, becomes aware that the Employee has committed any Dishonest or Fraudulent Act(s).

This Bond shall terminate as to any Employee by written notice from the Underwriter to each Insured and, if such Employee is an Employee of an Insured Investment Company, to the Securities and Exchange Commission, in all cases not less than sixty (60) days prior to the effective date of termination specified in such notice.

## **SECTION 14. RIGHTS AFTER TERMINATION**

At any time prior to the effective date of termination of this Bond as to any Insured, such Insured may, by written notice to the Underwriter, elect to purchase the right under this Bond to an additional period of twelve (12) months within which to discover loss sustained by such Insured prior to the effective date of such termination and shall pay an additional premium therefor as the Underwriter may require.

Such additional discovery period shall terminate immediately and without notice upon the takeover of such Insured's business by any State or Federal official or agency, or by any receiver or liquidator. Promptly after such termination the Underwriter shall refund to the Insured any unearned premium.

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The right to purchase such additional discovery period may not be exercised by any State or Federal official or agency, or by any receiver or liquidator, acting or appointed to take over the Insured's business.

## **SECTION 15. CENTRAL HANDLING OF SECURITIES**

The Underwriter shall not be liable for loss in connection with the central handling of securities within the systems established and maintained by any Depository ("Systems"), unless the amount of such loss exceeds the amount recoverable or recovered under any bond or policy or participants' fund insuring the Depository against such loss (the "Depository's Recovery"); in such case the Underwriter shall be liable hereunder only for the Insured's share of such excess loss, subject to the applicable Limit of Liability, the Deductible Amount and the other terms of this Bond.

For determining the Insured's share of such excess loss, (1) the Insured shall be deemed to have an interest in any certificate representing any security included within the Systems equivalent to the interest the Insured then has in all certificates representing the same security included within the Systems; (2) the Depository shall have reasonably and fairly apportioned the Depository's Recovery among all those having an interest as recorded by appropriate entries in the books and records of the Depository in Property involved in such loss, so that each such interest shall share in the Depository's Recovery in the ratio that the value of each such interest bears to the total value of all such interests; and (3) the Insured's share of such excess loss shall be the amount of the Insured's interest in such Property in excess of the amount(s) so apportioned to the Insured by the Depository.

This Bond does not afford coverage in favor of any Depository or Exchange or any nominee in whose name is registered any security included within the Systems.

## **SECTION 16. ADDITIONAL COMPANIES INCLUDED AS INSURED**

If more than one entity is named as the Insured:

A. the total liability of the Underwriter hereunder for each Single Loss shall not exceed the Limit of Liability which would be applicable if there were only one named Insured, regardless of the number of Insured entities which sustain loss as a result of such Single Loss,

B. the Insured first named in Item 1 of the Declarations shall be deemed authorized to make, adjust, and settle, and receive and enforce payment of, all claims hereunder as the agent of each other Insured for such purposes and for the giving or receiving of any notice required or permitted to be given hereunder; provided, that the Underwriter shall promptly furnish each named Insured Investment Company with (1) a copy of this Bond and any amendments thereto, (2) a copy of each formal filing of a claim hereunder by any other Insured, and (3) notification of the terms of the settlement of each such claim prior to the execution of such settlement,

C. the Underwriter shall not be responsible or have any liability for the proper application by the Insured first named in Item 1 of the Declarations of any payment made hereunder to the first named Insured,

D. for the purposes of Sections 4 and 13, knowledge possessed or discovery made by any partner, officer or supervisory Employee of any Insured shall constitute knowledge or discovery by every named Insured,

Bond (6/18)

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- E. if the first named Insured ceases for any reason to be covered under this Bond, then the Insured next named shall thereafter be considered as the first named Insured for the purposes of this Bond, and
  - F. each named Insured shall constitute “the Insured” for all purposes of this Bond.

#### **SECTION 17. NOTICE AND CHANGE OF CONTROL**

Within thirty (30) days after learning that there has been a change in control of an Insured by transfer of its outstanding voting securities the Insured shall give written notice to the Underwriter of:

- A. the names of the transferors and transferees (or the names of the beneficial owners if the voting securities are registered in another name), and
- B. the total number of voting securities owned by the transferors and the transferees (or the beneficial owners), both immediately before and after the transfer, and
- C. the total number of outstanding voting securities.

As used in this Section, “control” means the power to exercise a controlling influence over the management or policies of the Insured.

#### **SECTION 18. CHANGE OR MODIFICATION**

This Bond may only be modified by written Rider forming a part hereof over the signature of the Underwriter’s authorized representative. Any Rider which modifies the coverage provided by Insuring Agreement A, Fidelity, in a manner which adversely affects the rights of an Insured Investment Company shall not become effective until at least sixty (60) days after the Underwriter has given written notice thereof to the Securities and Exchange Commission, Washington, D.C., and to each Insured Investment Company affected thereby.

#### **SECTION 19. COMPLIANCE WITH APPLICABLE TRADE AND ECONOMIC SANCTIONS**

This Bond shall not be deemed to provide any coverage, and the Underwriter shall not be required to pay any loss or provide any benefit hereunder, to the extent that the provision of such coverage, payment of such loss or provision of such benefit would cause the Underwriter to be in violation of any applicable trade or economic sanctions, laws or regulations, including, but not limited to, any sanctions, laws or regulations administered and enforced by the U.S. Department of Treasury Office of Foreign Assets Control (OFAC).

#### **SECTION 20. ANTI-BUNDLING**

If any Insuring Agreement requires that an enumerated type of document be Counterfeit, or contain a Forgery or Alteration, the Counterfeit, Forgery, or Alteration must be on or of the enumerated document itself, not on or of some other document submitted with, accompanying or incorporated by reference into the enumerated document.

IN WITNESS WHEREOF, the Underwriter has caused this Bond to be executed on the Declarations Page.

Bond (6/18)

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# ICI MUTUAL INSURANCE COMPANY, a Risk Retention Group

## INVESTMENT COMPANY BLANKET BOND

### RIDER NO. 1

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INSURED		BOND NUMBER
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
EFFECTIVE DATE	BOND PERIOD	AUTHORIZED REPRESENTATIVE
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that Item 1 of the Declarations, Name of Insured, shall include the following (subject to the operation of and restrictions contained within the "Insurance Regulatory Compliance for Non-U.S. Operations Rider"):

First Trust Advisors LP  
First Trust Portfolios LP  
FT Cayman Subsidiary  
FT Cayman Subsidiary II  
FT Cayman Subsidiary III

First Trust Series Fund, a series fund consisting of:

- o First Trust/Confluence Small Cap Value Fund
- o First Trust Preferred Securities and Income Fund
- o First Trust Short Duration High Income Fund

First Trust Variable Insurance Trust, a series fund consisting of:

- o First Trust Capital Strength Portfolio
- o First Trust Dorsey Wright Tactical Core Portfolio
- o First Trust/Dow Jones Dividend & Income Allocation Portfolio
- o First Trust International Developed Capital Strength Portfolio
- o First Trust Multi Income Allocation Portfolio

First Trust Closed-End Funds, a series fund consisting of:

- o First Trust/Aberdeen Emerging Opportunity Fund

- o First Trust/Aberdeen Global Opportunity Income Fund
- o First Trust Dynamic Europe Equity Income Fund
- o First Trust Energy Income and Growth Fund
- o First Trust Energy Infrastructure Fund
- o First Trust Enhanced Equity Income Fund
- o First Trust High Income Long/Short Fund
- o First Trust High Yield Opportunities 2027 Term Fund
- o First Trust Intermediate Duration Preferred & Income Fund
- o First Trust MLP and Energy Income Fund
- o First Trust Mortgage Income Fund
- o First Trust New Opportunities MLP & Energy Fund
- o First Trust Senior Floating Rate 2022 Target Term Fund
- o First Trust Senior Floating Rate Income Fund II
- o First Trust Specialty Finance & Financial Opportunities Fund
- o Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund

First Trust Exchange-Traded Fund, a series fund consisting of:

- o First Trust Capital Strength ETF
- o First Trust Chindia ETF
- o First Trust Dorsey Wright People's Portfolio ETF
- o First Trust Dow 30 Equal Weight ETF
- o First Trust Dow Jones Internet Index Fund
- o First Trust Dow Jones Select MicroCap Index Fund
- o First Trust Lunt U.S. Factor Rotation ETF
- o First Trust Morningstar Dividend Leaders Index Fund
- o First Trust NASDAQ-100 Equal Weighted Index Fund
- o First Trust NASDAQ-100 Ex-Technology Sector Index Fund
- o First Trust NASDAQ-100-Technology Sector Index Fund
- o First Trust NASDAQ<sup>®</sup> ABA Community Bank Index Fund
- o First Trust NASDAQ<sup>®</sup> Clean Edge<sup>®</sup> Green Energy Index Fund
- o First Trust Natural Gas ETF
- o First Trust NYSE Arca Biotechnology Index Fund
- o First Trust S&P REIT Index Fund
- o First Trust Total US Market AlphaDEX<sup>®</sup> ETF
- o First Trust US Equity Opportunities ETF
- o First Trust Value Line<sup>®</sup> 100 Exchange-Traded Fund
- o First Trust Value Line<sup>®</sup> Dividend Index Fund
- o First Trust Water ETF

First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund, a series fund consisting of:

- o First Trust Consumer Discretionary AlphaDEX<sup>®</sup> Fund
- o First Trust Consumer Staples AlphaDEX<sup>®</sup> Fund
- o First Trust Energy AlphaDEX<sup>®</sup> Fund
- o First Trust Financials AlphaDEX<sup>®</sup> Fund
- o First Trust Health Care AlphaDEX<sup>®</sup> Fund
- o First Trust Industrials/Producer Durables AlphaDEX<sup>®</sup> Fund
- o First Trust Large Cap Core AlphaDEX<sup>®</sup> Fund

- o First Trust Large Cap Growth AlphaDEX<sup>®</sup> Fund
  - o First Trust Large Cap Value AlphaDEX<sup>®</sup> Fund
  - o First Trust Materials AlphaDEX<sup>®</sup> Fund
  - o First Trust Mega Cap AlphaDEX<sup>®</sup> Fund
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- o First Trust Mid Cap Core AlphaDEX<sup>®</sup> Fund
- o First Trust Mid Cap Growth AlphaDEX<sup>®</sup> Fund
- o First Trust Mid Cap Value AlphaDEX<sup>®</sup> Fund
- o First Trust Multi Cap Growth AlphaDEX<sup>®</sup> Fund
- o First Trust Multi Cap Value AlphaDEX<sup>®</sup> Fund
- o First Trust Small Cap Core AlphaDEX<sup>®</sup> Fund
- o First Trust Small Cap Growth AlphaDEX<sup>®</sup> Fund
- o First Trust Small Cap Value AlphaDEX<sup>®</sup> Fund
- o First Trust Technology AlphaDEX<sup>®</sup> Fund
- o First Trust Utilities AlphaDEX<sup>®</sup> Fund

First Trust Exchange-Traded Fund II, a series fund consisting of:

- o First Trust BICK Index Fund
- o First Trust Cloud Computing ETF
- o First Trust Dow Jones Global Select Dividend Index Fund
- o First Trust Dow Jones International Internet ETF
- o First Trust FTSE EPRA/NAREIT Developed Markets Real Estate Index Fund
- o First Trust Global Wind Energy ETF
- o First Trust Global Engineering and Construction ETF
- o First Trust Indxx Global Agriculture ETF
- o First Trust Indxx Global Natural Resources Income ETF
- o First Trust Indxx NextG ETF
- o First Trust International Equity Opportunities ETF
- o First Trust IPOX<sup>®</sup> Europe Equity Opportunities ETF
- o First Trust NASDAQ<sup>®</sup> Clean Edge<sup>®</sup> Smart Grid Infrastructure Index Fund
- o First Trust NASDAQ Global Auto Index Fund
- o First Trust Nasdaq Cybersecurity ETF
- o First Trust STOXX<sup>®</sup> European Select Dividend Index Fund

First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II, a series fund consisting of:

- o First Trust Asia Pacific ex-Japan AlphaDEX<sup>®</sup> Fund
- o First Trust Australia AlphaDEX<sup>®</sup> Fund
- o First Trust Brazil AlphaDEX<sup>®</sup> Fund
- o First Trust Canada AlphaDEX<sup>®</sup> Fund
- o First Trust China AlphaDEX<sup>®</sup> Fund
- o First Trust Developed Markets ex-US AlphaDEX<sup>®</sup> Fund
- o First Trust Developed Markets ex-US Small Cap AlphaDEX<sup>®</sup> Fund
- o First Trust Emerging Markets AlphaDEX<sup>®</sup> Fund
- o First Trust Emerging Markets Small Cap AlphaDEX<sup>®</sup> Fund
- o First Trust Europe AlphaDEX<sup>®</sup> Fund
- o First Trust Eurozone AlphaDEX<sup>®</sup> ETF
- o First Trust Germany AlphaDEX<sup>®</sup> Fund
- o First Trust Hong Kong AlphaDEX<sup>®</sup> Fund

- o First Trust India NIFTY 50 Equal Weight ETF
- o First Trust Japan AlphaDEX<sup>®</sup> Fund
- o First Trust Latin America AlphaDEX<sup>®</sup> Fund
- o First Trust South Korea AlphaDEX<sup>®</sup> Fund
- o First Trust Switzerland AlphaDEX<sup>®</sup> Fund
- o First Trust United Kingdom AlphaDEX<sup>®</sup> Fund

First Trust Exchange-Traded Fund III, a series fund consisting of:

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- o First Trust California Municipal High Income ETF
- o First Trust Emerging Markets Local Currency Bond ETF
- o First Trust Horizon Managed Volatility Developed International ETF
- o First Trust Horizon Managed Volatility Domestic ETF
- o First Trust Horizon Managed Volatility Small/Mid ETF
- o First Trust Institutional Preferred Securities and Income ETF
- o First Trust Long/Short Equity ETF
- o First Trust Managed Municipal ETF
- o First Trust Merger Arbitrage ETF
- o First Trust Municipal High Income ETF
- o First Trust Preferred Securities and Income ETF
- o First Trust RiverFront Dynamic Asia Pacific ETF
- o First Trust RiverFront Dynamic Developed International ETF
- o First Trust RiverFront Dynamic Emerging Markets ETF
- o First Trust RiverFront Dynamic Europe ETF
- o First Trust Short Duration Managed Municipal ETF
- o First Trust Ultra Short Duration Municipal ETF

First Trust Exchange-Traded Fund IV, a series fund consisting of:

- o First Trust EIP Carbon Impact ETF
- o First Trust Enhanced Short Maturity ETF
- o First Trust Long Duration Opportunities ETF
- o First Trust Low Duration Opportunities ETF
- o First Trust North American Energy Infrastructure Fund
- o First Trust Senior Loan Fund
- o First Trust Strategic Income ETF
- o First Trust Tactical High Yield ETF
- o First Trust SSI Strategic Convertible Securities ETF

First Trust Exchange-Traded Fund V, a series fund consisting of:

- o First Trust Managed Futures Strategy Fund

First Trust Exchange-Traded Fund VI, a series fund consisting of:

- o Developed International Equity Select ETF
- o Emerging Markets Equity Select ETF
- o First Trust BuyWrite Income ETF
- o First Trust Dorsey Wright DALI 1 ETF
- o First Trust Dorsey Wright Dynamic Focus 5 ETF
- o First Trust Dorsey Wright Focus 5 ETF
- o First Trust Dorsey Wright International Focus 5 ETF
- o First Trust Dorsey Wright Momentum & Dividend ETF
- o First Trust Dorsey Wright Momentum & Low Volatility ETF
- o First Trust Dorsey Wright Momentum & Value ETF
- o First Trust Hedged BuyWrite Income ETF
- o First Trust Indxx Innovative Transaction & Process ETF
- o First Trust Nasdaq Artificial Intelligence and Robotics ETF
- o First Trust Nasdaq Bank ETF
- o First Trust NASDAQ Technology Dividend Index Fund
- o First Trust Nasdaq Food & Beverage ETF
- o First Trust Nasdaq Oil & Gas ETF

o First Trust Nasdaq Pharmaceuticals ETF

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- o First Trust Nasdaq Retail ETF
- o First Trust Nasdaq Semiconductor ETF
- o First Trust Nasdaq Transportation ETF
- o First Trust RBA American Industrial Renaissance<sup>®</sup> ETF
- o First Trust Rising Dividend Achievers ETF
- o First Trust S&P International Dividend Aristocrats ETF
- o First Trust SMID Cap Rising Dividend Achievers ETF
- o Large Cap US Equity Select ETF
- o Mid Cap US Equity Select ETF
- o Multi-Asset Diversified Income Index Fund
- o
- o Small Cap US Equity Select ETF
- o US Equity Dividend Select ETF

First Trust Exchange-Traded Fund VII, a series fund consisting of:

- o First Trust Alternative Absolute Return Strategy ETF
- o First Trust Global Tactical Commodity Strategy Fund

First Trust Exchange-Traded Fund VIII, a series fund consisting of:

- o EquityCompass Risk Manager ETF
- o EquityCompass Tactical Risk Manager ETF
- o FT Cboe Vest Fund of Buffer ETFs
- o FT Cboe Vest U.S. Equity Buffer ETF - August
- o FT Cboe Vest U.S. Equity Buffer ETF - February
- o FT Cboe Vest U.S. Equity Buffer ETF - June
- o FT Cboe Vest U.S. Equity Buffer ETF - July
- o FT Cboe Vest U.S. Equity Buffer ETF - May
- o FT Cboe Vest U.S. Equity Buffer ETF – November
- o FT Cboe Vest U.S. Equity Buffer ETF - September
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - August
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - February
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - June
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - July
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - May
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - November
- o FT Cboe Vest U.S. Equity Deep Buffer ETF - September
- o First Trust Active Factor Small Cap ETF
- o First Trust Active Factor Mid Cap ETF
- o First Trust Active Factor Large Cap ETF
- o First Trust CEF Income Opportunity ETF
- o First Trust Low Duration Strategic Focus ETF
- o First Trust Multi-Manager Large Growth ETF
- o First Trust Municipal CEF Income Opportunity ETF
- o First Trust TCW Opportunistic Fixed Income ETF
- o First Trust TCW Securitized Plus ETF
- o First Trust TCW Unconstrained Plus Bond ETF

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.



**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 2**

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<b>INSURED</b>	<b>BOND NUMBER</b>	
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>	
<hr/>		
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that this Bond (other than Insuring Agreements C and D) does not cover loss resulting from or in connection with any business, activities, or acts or omissions of (including services rendered by) any Insured which is not an Insured Fund (“Non-Fund Insured”) or any Employee of a Non-Fund Insured, except loss, otherwise covered by the terms of this Bond, resulting from or in connection with

- (1) services rendered by a Non-Fund Insured to an Insured Fund, or to shareholders of such Fund in connection with the issuance, transfer, or redemption of their Fund shares; or
- (2) Investment Advisory Services rendered by a Non-Fund Insured to an investment advisory client of such Non-Fund Insured; or
- (3) in the case of a Non-Fund Insured substantially all of whose business is rendering the services described in (1) or (2) above, the general business, activities or operations of such Non-Fund Insured, excluding (a) the rendering of services (other than those described in (1) or (2) above) to any person, or (b) the sale of goods or property of any kind.

It is further understood and agreed that with respect to any Non-Fund Insured, Insuring Agreements C and D only cover loss of Property which a Non-Fund Insured uses or holds, or in which a Non-Fund Insured has an interest, in each case wholly or partially in connection with the rendering of services described in (1) or (2) above.

As used herein, “Investment Advisory Services” means (a) advice with respect to the desirability of investing in, purchasing or selling securities or other property, including the power to determine what securities or other property shall be purchased or sold, but not including furnishing only statistical and other factual information (such as economic factors and trends); and (b) the provision of financial, economic or investment management services, but only if ancillary and related to the advice referred to in clause (a) above.

For purposes of this Rider, Investment Advisory Services shall not include Personal Financial Planning Services.

It is further understood and agreed that as used herein, "Personal Financial Planning Services" means the provision of financial plans to individuals for compensation and the provision of services related thereto, and may include specific recommendations for the implementation of such plans and advice with respect to tax planning, retirement planning, estate planning, insurance planning, budgeting and cash management, or similar types of financial advice, but not including solely Investment Advisory Services.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

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**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 3**

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<b>INSURED</b>	<b>BOND NUMBER</b>	
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>	
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that notwithstanding anything to the contrary in this Bond, this Bond shall not cover loss resulting from or in connection with the discretionary voting by any Insured of securities owned or held by any client of such Insured, where such securities are issued by (1) such Insured, or (2) any entity controlling, controlled by, or under common control with such Insured, (“Affiliated Entity”), or (3) any Fund to which such Insured or any Affiliated Entity provides any services.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

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RN0012.0-01 (01/02) sp

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 4**

<b>INSURED</b>	<b>BOND NUMBER</b>	
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>	
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

In consideration of the premium charged for this Bond, it is hereby understood and agreed that the Deductible Amount for Insuring Agreement E, Forgery or Alteration, and Insuring Agreement F, Securities, shall not apply with respect to loss through Forgery of a signature on the following documents:

- (1) letter requesting redemption of \$50,000 or less payable by check to the Shareholder of Record and sent to an Authorized Address; or
- (2) letter requesting redemption of \$50,000 or less by wire transfer to the Shareholder of Record of an Authorized Bank Account; or
- (3) written request to a trustee or custodian for a Designated Retirement Account (“DRA”) which holds shares of an Insured Fund, where such request (a) purports to be from or at the instruction of the Owner of such DRA, and (b) directs such trustee or custodian to transfer \$50,000 or less from such DRA to a trustee or custodian for another DRA established for the benefit of such Owner;

provided, that the Limit of Liability for a Single Loss as described above shall be \$50,000 and that the Insured shall bear 20% of each such loss. This Rider shall not apply in the case of any such Single Loss which exceeds \$50,000; in such case the Deductible Amounts and Limits of Liability set forth in Item 3 of the Declarations shall control.

For purposes of this Rider:

- (A) “Designated Retirement Account” means any retirement plan or account described or qualified under the Internal Revenue Code of 1986, as amended, or a subaccount thereof.
- (B) “Owner” means the individual for whose benefit the DRA, or a subaccount thereof, is established.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

RN0027.0-02 (07/18) nb

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 5**

<b>INSURED</b>		<b>BOND NUMBER</b>
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

In consideration of the premium charged for this Bond, it is hereby understood and agreed that this Bond does not cover any loss resulting from or in connection with the acceptance of any Third Party Check, unless

- (1) such Third Party Check is used to open or increase an account which is registered in the name of one or more of the payees on such Third Party Check, and
- (2) reasonable efforts are made by the Insured, or by the entity receiving Third Party Checks on behalf of the Insured, to verify all endorsements on all Third Party Checks made payable in amounts greater than \$100,000 (provided, however, that the isolated failure to make such efforts in a particular instance will not preclude coverage, subject to the exclusions herein and in the Bond),

and then only to the extent such loss is otherwise covered under this Bond.

For purposes of this Rider, "Third Party Check" means a check made payable to one or more parties and offered as payment to one or more other parties.

It is further understood and agreed that notwithstanding anything to the contrary above or elsewhere in the Bond, this Bond does not cover any loss resulting from or in connection with the acceptance of a Third Party Check where:

- (1) any payee on such Third Party Check reasonably appears to be a corporation or other entity; or
- (2) such Third Party Check is made payable in an amount greater than \$100,000 and does not include the purported endorsements of all payees on such Third Party Check.

It is further understood and agreed that this Rider shall not apply with respect to any coverage that may be available under Insuring Agreement A, "Fidelity."

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.



**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 6**

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INSURED		BOND NUMBER
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
<hr/>		
EFFECTIVE DATE	BOND PERIOD	AUTHORIZED REPRESENTATIVE
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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Most property and casualty insurers, including ICI Mutual Insurance Company, a Risk Retention Group (“ICI Mutual”), are subject to the requirements of the Terrorism Risk Insurance Act of 2002, as amended (the “Act”). The Act establishes a federal insurance backstop under which ICI Mutual and these other insurers may be partially reimbursed by the United States Government for future “**insured losses**” resulting from certified “**acts of terrorism.**” (Each of these **bolded terms** is defined by the Act.) The Act also places certain disclosure and other obligations on ICI Mutual and these other insurers.

Pursuant to the Act, any future losses to ICI Mutual caused by certified “**acts of terrorism**” may be partially reimbursed by the United States government under a formula established by the Act. Under this formula, the United States government would generally reimburse ICI Mutual for the Federal Share of Compensation of ICI Mutual’s “**insured losses**” in excess of ICI Mutual’s “**insurer deductible**” until total “**insured losses**” of all participating insurers reach \$100 billion (the “Cap on Annual Liability”). If total “**insured losses**” of all property and casualty insurers reach the Cap on Annual Liability in any one calendar year, the Act limits U.S. Government reimbursement and provides that the insurers will not be liable under their policies for their portions of such losses that exceed such amount. Amounts otherwise payable under this Bond may be reduced as a result.

This Bond has no express exclusion for “**acts of terrorism.**” However, coverage under this Bond remains subject to all applicable terms, conditions, and limitations of the Bond (including exclusions) that are permissible under the Act.

The portion of the premium that is attributable to any coverage potentially available under the Bond for “**acts of terrorism**” is one percent (1%) and does not include any charges for the portion of loss that may be covered by the U.S. Government under the Act

As used herein, “Federal Share of Compensation” shall mean 85% in calendar year 2015 and shall be reduced by 1% per calendar year until equal to 80%.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.



**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 7**

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<b>INSURED</b>		<b>BOND NUMBER</b>
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that the Underwriter will use its best efforts to notify the Financial Industry Regulatory Authority, Inc. within 30 days in the event the Bond is substantially modified, terminated or canceled.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

RN0025.0-02 (10/08) sp

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 8**

INSURED		BOND NUMBER
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
EFFECTIVE DATE	BOND PERIOD	AUTHORIZED REPRESENTATIVE
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

**INSURANCE REGULATORY COMPLIANCE FOR NON-U.S. OPERATIONS RIDER**

In consideration of the premium charged for this Bond, it is hereby understood and agreed as follows:

- Interpretation:** This rider shall be interpreted with due regard to the intention of the parties, which is to
1. provide specified Bond coverage to (a) Foreign Entities and (b) U.S. Entities for Financial Interest Losses, where permitted, subject to adherence to applicable laws and regulations.

- Compliance with Applicable Laws and Regulations of Foreign Jurisdictions Regarding Use of Non-Admitted Insurance:** Notwithstanding that one or more Foreign Entities may be included in the definition of “Insured” in Item 1 of the Declarations (as modified by Rider No. 1 or other rider), this Bond does not insure, and the Underwriter shall not be required to pay any loss sustained by, or to provide any benefit hereunder to or
2. on behalf of, any Foreign Entity if doing so would cause the Underwriter or such Foreign Entity or any Insured to be in violation of applicable laws or regulations of any Associated Foreign Jurisdiction regarding the use of Non-Admitted Insurance or the making or acceptance of payments thereunder (“Prohibited Associated Foreign Jurisdiction”). Examples of Prohibited Associated Foreign Jurisdictions to which this Part 2 applies shall include but not be limited to the following jurisdictions: Japan, Brazil, India, and China.

- Financial Interest Loss Coverage Extension:** If permissible pursuant to applicable laws and regulations, a Financial Interest Loss incurred by a U.S. Entity shall be deemed to be a loss sustained by such U.S. Entity for
3. purposes of Section 10 (“Maximum Liability of Underwriter; Other Bonds or Policies”) of this Bond, such that coverage under this Bond may extend to a U.S. Entity for its Financial Interest Loss, subject to all of the terms, conditions and limitations of this Bond (including all terms, conditions and limitations of this rider).

- Good Faith Efforts to Resolve Questions:** In the event that issues arise regarding the application of Part 2 or Part 3 of this rider in the context of a particular situation, representatives of the Underwriter and of a U.S. Entity
4. (acting on behalf of a Foreign Entity if the issue involves Part 2, or on behalf of the U.S. Entity if the issue involves Part 3) shall seek in good faith to resolve such issues to their mutual satisfaction. If the representatives



cannot reach a mutually acceptable resolution on their own, they shall in good faith consider soliciting expert outside

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guidance to assist them in resolving the issues, with the costs and fees of such expert to be shared equally as between the Underwriter and the U.S. Entity. If the representatives are unable to resolve the issues following these good faith efforts to do so, nothing herein shall preclude the U.S. Entity or the Underwriter from thereafter commencing a judicial proceeding to resolve the issues, provided, however, that such a proceeding (i) may not be commenced earlier than ninety (90) days after the representatives have completed the good faith efforts described herein, and (ii) must be in compliance with Part 5.d of this rider.

## 5. Additional Matters:

*Locally Admitted Insurance:* Without otherwise limiting Section 11 (“Other Insurance”) of this Bond or the terms (including, without limitation, Parts 2 and 3) of this rider, any coverage that may otherwise be available under this rider and this Bond for (1) any loss sustained by any Foreign Entity, and/or (2) any Financial Interest Loss sustained by any U.S. Entity, shall be specifically excess of, and shall not

a. contribute with, any coverage available under any Locally Admitted Insurance. A Foreign Entity or U.S. Entity may, however, credit any amount recovered under any Locally Admitted Insurance against the Deductible Amount applicable to a related loss or Financial Interest Loss for which coverage is available under this Bond and this rider, provided that such recovered amount constitutes loss for which coverage would otherwise have been available under the terms of both this rider and Bond.

*U.S. Entity as Representative:* Notwithstanding anything to the contrary in the first paragraph of Section 4 of this Bond, unless otherwise agreed to by the Underwriter in writing: (1) a U.S. Entity shall act on behalf of all Foreign Entities with respect to all information or payments provided to or by the Underwriter under this Bond; (2) a Foreign Entity shall have no right to provide any such information or payments directly to, or to receive any such information or payments directly from, the Underwriter; and (3) the Underwriter shall have no obligation to receive any information or payments directly from, or to provide any such information

b. or payments directly to, any Foreign Entity. The “information or payments” referenced above shall include, without limitation: notice and an affirmative proof of loss under Section 4 of this Bond; notice of termination under Section 13 of this Bond; notice of a change in control under Section 17 of this Bond; information, assistance, and cooperation to the Underwriter with regard to the Application or any Bond claim; premiums payable and any return premiums that may be due under this Bond; any loss that may be payable under this Bond; any riders issued to form a part of this Bond; and the exercising or declining the exercise of any right to a discovery period under Section 14 of this Bond.

*Treatment of Financial Interest Loss:* As the context and logic may demand or suggest, the duties, obligations and rights of Insureds and the Underwriter under this Bond with regard to a loss shall be deemed

c. to apply to a U.S. Entity with regard to a Financial Interest Loss. Thus, by way of illustration, and without limitation:

*Duties and Obligations of a U.S. Entity:* Bond provisions obligating Insureds to provide notice and proof of loss (Section 4), to reimburse the Underwriter for a recovery (Section 8), and to take action upon

(1) detection that an Employee has committed any Dishonest or Fraudulent Act(s) (Section 13), shall apply to a U.S. Entity with respect to any matter involving a Foreign Entity that may result in a Financial Interest Loss.

- (2) *Deductibles*: Bond provisions regarding Deductible Amounts (Section 12) shall apply to a Financial Interest Loss.

- Discovery Period*: Bond provisions affording Insureds with rights to a discovery period (Section 14)
- (3) shall apply to a U.S. Entity with respect to any matter involving a Foreign Entity that may result in a Financial Interest Loss.

- (4) *Sanctions*: Bond provisions relating to violations of applicable trade or economic sanctions, laws or regulations (Section 19) shall apply to a Financial Interest Loss.

*Actions Against the Underwriter*: No action involving any Foreign Entity as a party, or otherwise relating to any Foreign Entity, may be brought against the Underwriter anywhere other than in a court within the State d. of Vermont in the United States of America. In the case of any such action, this policy shall be governed by and construed and enforced only in accordance with the internal laws of the State of Vermont (without reference to choice of law doctrine applicable in such state), and the English text as it appears in this Bond.

*Definition of "Fund" or "Investment Company"*: With regard to loss sustained by a Foreign Entity or a e. Financial Interest Loss, the term "Fund" or "Investment Company," except as used in Sections 12, 13, 16, and 18 and Rider No. 4 of this Bond, shall be deemed to include any Foreign Entity that is a Foreign Fund.

*Definition of "Self-Regulatory Organization"*: With regard to loss sustained by a Foreign Entity or a f. Financial Interest Loss, the term "Self-Regulatory Organization," as used in Insuring Agreement B., Audit Expense, Insuring Agreement F., Securities, and Section 2.E of this Bond only, shall be deemed to include any association or organization of investment advisers or securities dealers registered or authorized under the securities laws of a Foreign Jurisdiction or any securities exchange registered with any Foreign Jurisdiction.

*Termination*: Notwithstanding anything to the contrary in Section 13 ("Termination") or any other provision g. of this Bond, this Bond shall terminate immediately as to any Foreign Entity without prior notice to such Foreign Entity:

- (1) if there is a change in control (as defined in Section 17 of this Bond) of such Foreign Entity by transfer of its outstanding voting securities or otherwise, or

- if such Foreign Entity shall merge or consolidate with an entity such that the Foreign Entity is the (2) surviving entity, or purchase or otherwise acquire any other entity or substantially all the assets of another entity, or acquire or create a Subsidiary or separate investment portfolio,

unless, prior to such change in control, or merger or consolidation, or purchase, or acquisition or creation, respectively ("Event"), the Foreign Entity notifies the Underwriter in writing of the impending Event and the Underwriter, in its sole discretion, determines to continue the Bond upon such terms and conditions as the Underwriter may deem appropriate.

- h. *Title and Headings:* The title and headings in this rider are included solely for convenience and shall not themselves be deemed to be terms or conditions of coverage, or descriptions or interpretations thereof.

6. **Definitions:** As used in this rider:

- a. “Associated Foreign Jurisdiction” means a Foreign Jurisdiction in which a Foreign Entity is (1) organized; (2) domiciled; or (3) is operating or conducting business.

- “Financial Interest Loss” means the actual financial loss that a U.S. Entity itself sustains from Foreign Entity
- b. Loss incurred by a Foreign Entity, which financial loss is sustained by the U.S. Entity solely and directly as a result of:

(1) its financial interest in such Foreign Entity; and/or

(2) any lawful pre-existing obligation it has to indemnify such Foreign Entity for all or part of such Foreign Entity Loss.

For the purposes of this Bond the amount of a Financial Interest Loss shall be capped at the amount of the relevant associated Foreign Entity Loss.

- c. “Foreign Entity” means:

any Non-Fund included as an Insured in Item No. 1 of the Declarations (as modified by Rider No. (1) 1 or other rider) that (i) is a Subsidiary of a U.S. Entity, (ii) is organized or domiciled in a Foreign Jurisdiction, and (iii) is not a Foreign Fund;

(2) any Foreign Fund included as an “Insured” in Item No. 1 of the Declarations (as modified by Rider No. 1 or other rider); and

(3) a U.S. Entity, but only insofar as such U.S. Entity conducts business through a branch in or undertakes any other operations in a Foreign Jurisdiction.

- “Foreign Entity Loss” means that part of the loss, liability or expense incurred by a Foreign Entity (net of
- d. any sums available therefor to that Foreign Entity under any Locally Admitted Insurance) which would have been payable under this Bond but for the fact that Part 2 of this rider is applicable.

- “Foreign Fund” means any entity included as an Insured in Item No. 1 of the Declarations (as modified by Rider No. 1 or other rider) that (1) is an investment company, mutual fund, unit investment trust, closed-end fund, mutual investment fund, investment trust or any other similar investment vehicle, (2) is not registered under the Investment Company Act of 1940, and (3) is organized or domiciled in a Foreign Jurisdiction.
- e.

- f. “Foreign Jurisdiction” means a jurisdiction outside the United States of America.

g. “Locally Admitted Insurance” means any financial institution bond or similar insurance instrument issued by an insurer that is admitted, licensed or authorized in an Associated

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Foreign Jurisdiction, which bond or instrument provides coverage to a Foreign Entity in the relevant Associated Foreign Jurisdiction.

h. “Non-Admitted Insurance” means any financial institution bond, or similar insurance instrument, to the extent that bond or instrument purports to provide coverage to a corporation or other entity which is organized, domiciled, or otherwise operating or conducting business in a Foreign Jurisdiction in which the concerned insurer is not admitted, licensed, or authorized.

i. “Subsidiary” means any entity more than 50% of whose outstanding securities representing the right to vote for the election of directors are owned, directly or indirectly, by a U.S. Entity and/or one or more of its Subsidiaries.

j. “U.S. Entity” means an Insured included in Item 1 of the Declarations (as modified by Rider No. 1 or other rider) that is organized or domiciled in any jurisdiction within the United States of America.

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Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

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RN0014.0-03 (05/20)

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 9**

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<b>INSURED</b>		<b>BOND NUMBER</b>
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that the Underwriter shall use its best efforts to enter into an agreement with each Facultative Reinsurer on this Bond, regarding the Insureds' rights against such Facultative Reinsurer ("Cut Through Agreement"), in substantially the form(s) reviewed and agreed to by the Insureds.

It is further understood and agreed that as used in this rider, "Facultative Reinsurer" means any entity providing reinsurance for this Bond to the Underwriter on a facultative basis (and always excluding any entity providing reinsurance for this Bond to the Underwriter pursuant to treaty).

Nothing herein contained shall be held to vary, alter, waive or extend any of the terms, conditions, provisions, agreements or limitations of this Bond other than as above stated.

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RN0058.0-00 (08/20)

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 10**

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<b>INSURED</b>		<b>BOND NUMBER</b>
<b>First Trust Exchange-Traded Fund</b>		<b>99516120B</b>
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that notwithstanding Section 2.Q of this Bond, this Bond is amended by adding an additional Insuring Agreement J as follows:

**J. COMPUTER SECURITY**

Loss (including loss of Property) resulting directly from Computer Fraud; provided, that the Insured has adopted in writing and generally maintains and follows during the Bond Period all Computer Security Procedures. The isolated failure of the Insured to maintain and follow a particular Computer Security Procedure in a particular instance will not preclude coverage under this Insuring Agreement, subject to the specific exclusions herein and in the Bond.

1. Definitions. The following terms used in this Insuring Agreement shall have the following meanings:

- a. “Authorized User” means any person or entity designated by the Insured (through contract, assignment of User Identification, or otherwise) as authorized to use a Covered Computer System, or any part thereof. An individual who invests in an Insured Fund shall not be considered to be an Authorized User solely by virtue of being an investor.
- b. “Computer Fraud” means the unauthorized entry of data into, or the deletion or destruction of data in, or change of data elements or programs within, a Covered Computer System which:
- (1) is committed by any Unauthorized Third Party anywhere, alone or in collusion with other Unauthorized Third Parties; and
  - (2) is committed with the conscious manifest intent (a) to cause the Insured to sustain a loss, and (b) to obtain financial benefit for the perpetrator or any other person; and



causes (x) Property to be transferred, paid or delivered; or (y) an account of the Insured, or of its (3) customer, to be added, deleted, debited or credited; or (z) an unauthorized or fictitious account to be debited or credited.

c. “Computer Security Procedures” means procedures for prevention of unauthorized computer access and use and administration of computer access and use as provided in writing to the Underwriter.

d. “Covered Computer System” means any Computer System as to which the Insured has possession, custody and control.

e. “Unauthorized Third Party” means any person or entity that, at the time of the Computer Fraud, is not an Authorized User.

f. “User Identification” means any unique user name (*i.e.*, a series of characters) that is assigned to a person or entity by the Insured.

2. Exclusions. It is further understood and agreed that this Insuring Agreement J shall not cover:

a. Any loss covered under Insuring Agreement A, “Fidelity,” of this Bond; and

b. Any loss resulting from the intentional failure to adhere to one or more Computer Security Procedures; and

c. Any loss resulting from a Computer Fraud committed by or in collusion with:

(1) any Authorized User (whether a natural person or an entity); or

in the case of any Authorized User which is an entity, (a) any director, officer, partner, employee or agent of such Authorized User, or (b) any entity which controls, is controlled by, or is under common control with such Authorized User (“Related Entity”), or (c) any director, officer, partner, employee or agent of such Related Entity; or

(2) in the case of any Authorized User who is a natural person, (a) any entity for which such Authorized User is a director, officer, partner, employee or agent (“Employer Entity”), or (b) any director, officer, partner, employee or agent of such Employer Entity, or (c) any entity which controls, is controlled by, or is under common control with such Employer Entity (“Employer-Related Entity”), or (d) any director, officer, partner, employee or agent of such Employer-Related Entity;

and

d. Any loss resulting from physical damage to or destruction of any Covered Computer System, or any part thereof, or any data, data elements or media associated therewith; and



- e. Any loss resulting from Computer Fraud committed by means of wireless access to any Covered Computer System, or any part thereof, or any data, data elements or media associated therewith; and
- f. Any loss not directly and proximately caused by Computer Fraud (including, without limitation, disruption of business and extra expense); and
- g. Payments made to any person(s) who has threatened to deny or has denied authorized access to a Covered Computer System or otherwise has threatened to disrupt the business of the Insured.

For purposes of this Insuring Agreement, "Single Loss," as defined in Section 1.EE of this Bond, shall also include all loss caused by Computer Fraud(s) committed by one person, or in which one person is implicated, whether or not that person is specifically identified. A series of losses involving unidentified individuals, but arising from the same method of operation, may be deemed by the Underwriter to involve the same individual and in that event shall be treated as a Single Loss.

It is further understood and agreed that nothing in this Rider shall affect the exclusion set forth in Section 2.O of this Bond.

Coverage under this Insuring Agreement shall terminate upon termination of this Bond. Coverage under this Insuring Agreement may also be terminated without terminating this Bond as an entirety:

- (a) by written notice from the Underwriter not less than sixty (60) days prior to the effective date of termination specified in such notice; or
- (b) immediately by written notice from the Insured to the Underwriter.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

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RN0019.0-04 (07/18) nb

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 11**

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<b>INSURED</b>	<b>BOND NUMBER</b>
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>

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<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

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In consideration of the premium charged for this Bond, it is hereby understood and agreed that, notwithstanding anything to the contrary in General Agreement A of this Bond, Item 1 of the Declarations shall include any Newly Created Investment Company or portfolio, provided that the Insured shall submit to the Underwriter, at least annually, a list of all Newly Created Investment Companies or portfolios, the estimated annual assets of each Newly Created Investment Company or portfolio.

For purposes of this Rider, Newly Created Investment Company or portfolio shall mean any Investment Company or portfolio declared effective by the U.S. Securities & Exchange Commission after the inception date of this Bond which is advised, distributed or administered by any Insured which is not an Insured Fund (“Non-Fund”) and for which such Non-Fund has the responsibility of placing fidelity bond coverage.

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

RNV0033.0-00-516 (08/18)

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 12**

<b>INSURED</b>	<b>BOND NUMBER</b>	
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>	
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>October 9, 2020</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>

**SOCIAL ENGINEERING FRAUD**

In consideration of the premium charged for this Bond, it is hereby understood and agreed that this Bond is amended by adding an additional Insuring Agreement M, as follows:

M. Social Engineering Fraud

Loss resulting directly from the Insured, in good faith, transferring, paying, or delivering money from its own account as a direct result of a Social Engineering Fraud;

PROVIDED, that the entity receiving such request generally maintains and follows during the Bond Period all Social Engineering Security Procedures.

The Limit of Liability for a Single Loss under this Insuring Agreement M shall be the lesser of (a) 50% of the amount by which such Single Loss exceeds the Deductible Amount or (b) \$1,000,000 (One Million Dollars), and the Insured shall bear the remainder of any such Single Loss. The Deductible Amount for this Insuring Agreement M is \$50,000 (Fifty Thousand Dollars).

Notwithstanding any other provision of this Bond, the aggregate Limit of Liability under this Bond with respect to any and all loss or losses under this Insuring Agreement M shall be \$1,000,000 (One Million Dollars) for the Bond Period, irrespective of the total amount of such loss or losses.

This Insuring Agreement M does not cover loss covered under any other Insuring Agreement of this Bond.

It is further understood and agreed that for purposes of this rider:

- “Communication” means an instruction that (a) directs an Employee to transfer, pay, or deliver money
1. from the Insured’s own account, (b) contains a material misrepresentation of fact, and (c) is relied upon by the Employee, believing it to be true.



2. “Social Engineering Fraud” means the intentional misleading of an Employee through the use of a Communication, where such Communication:

(a) is transmitted to the Employee in writing, by voice over the telephone, or by Electronic Transmission;

is made by an individual who purports to be (i) an Employee who is duly authorized by the Insured to  
(b) instruct another Employee to transfer, pay, or deliver money, or (ii) an officer or employee of a Vendor who is duly authorized by the Insured to instruct an Employee to transfer, pay, or deliver money; and

(c) is unauthorized, dishonest or fraudulent and is made with the manifest intent to deceive.

“Social Engineering Security Procedures” means security procedures intended to prevent Social  
3. Engineering Fraud as set forth in the Application and/or as otherwise provided in writing to the Underwriter.

4. “Vendor” means any entity or individual that provides goods or services to the Insured under a pre-existing, written agreement.

Except as above stated, nothing herein shall be held to alter, waive, or extend any of the terms of this Bond.

RN0054.0-00 (07/18) nb

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 13**

**INSURED**

**BOND NUMBER**

**First Trust Exchange-Traded Fund**

**99516120B**

**EFFECTIVE DATE**

**BOND PERIOD**

**AUTHORIZED REPRESENTATIVE**

**November 2, 2020**

**October 9, 2020 to October 9,  
2021**

**/S/ Swenitha Nalli**

In consideration of the premium charged for this Bond, and notwithstanding Item 1 of the Declarations, Name of Insured, or any other Rider to this Bond, it is hereby understood and agreed that the following shall not be Insureds under this Bond:

- o First Trust Australia AlphaDEX<sup>®</sup> Fund
- o First Trust Canada AlphaDEX<sup>®</sup> Fund
- o First Trust Hong Kong AlphaDEX<sup>®</sup> Fund
- o First Trust South Korea AlphaDEX<sup>®</sup> Fund, each a series fund of:  
First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

## ICI MUTUAL INSURANCE COMPANY, a Risk Retention Group

### INVESTMENT COMPANY BLANKET BOND

#### RIDER NO. 14

<b>INSURED</b>	<b>BOND NUMBER</b>	
<b>First Trust Exchange-Traded Fund</b>	<b>99516120B</b>	
<hr/>		
<b>EFFECTIVE DATE</b>	<b>BOND PERIOD</b>	<b>AUTHORIZED REPRESENTATIVE</b>
<b>See Below</b>	<b>October 9, 2020 to October 9, 2021</b>	<b>/S/ Swenitha Nalli</b>
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In consideration of the premium charged for this Bond, it is hereby understood and agreed that Item 1 of the Declarations, Name of Insured, shall include the following as of the effective date indicated:

FUND NAME	EFFECTIVE DATE
o First Trust International Developed Capital Strength ETF, a series fund of: First Trust Exchange-Traded Fund VI	December 15, 2020
o FT Cboe Vest U.S. Equity Buffer ETF - October	October 16, 2020
o FT Cboe Vest U.S. Equity Deep Buffer ETF - October	October 16, 2020
o FT Cboe Vest U.S. Equity Buffer ETF - December	December 18, 2020
o FT Cboe Vest U.S. Equity Deep Buffer ETF - December	December 18, 2020
o FT Cboe Vest Growth-100 Buffer ETF - December	December 18, 2020
	December 18, 2020



- o FT Cboe Vest International Equity Buffer ETF - December, each a series fund of:  
First Trust Exchange-Traded Fund VIII

Nothing herein contained shall be held to vary, alter, waive or extend any of the terms, conditions, provisions, agreements or limitations of this policy other than as above stated.

## ICI MUTUAL INSURANCE COMPANY, a Risk Retention Group

### INVESTMENT COMPANY BLANKET BOND

#### RIDER NO. 15

INSURED

BOND NUMBER

**First Trust Exchange-Traded Fund**

**99516120B**

EFFECTIVE DATE

BOND PERIOD

AUTHORIZED REPRESENTATIVE

See Below

**October 9, 2020 to October 9,  
2021**

**/S/ Swenitha Nalli**

In consideration of the premium charged for this Bond, it is hereby understood and agreed that Item 1 of the Declarations, Name of Insured, shall include the following as of the effective date indicated:

**FUND NAME**

**EFFECTIVE  
DATE**

- |  |                   |
|--|-------------------|
| o First Trust CBOE Vest U.S. Equity Buffer ETF-January   | January 15, 2021  |
| o First Trust CBOE Vest U.S. Equity Deep Buffer ETF - January  | January 15, 2021  |
| o First Trust CBOE Vest Fund of Deep Buffer ETFs   | January 20, 2021  |
| o First Trust TCW Emerging Markets Debt ETF, each a series fund of:<br>First Trust Exchange-Traded Fund VIII                     | February 17, 2021 |
| o First Trust CBOE Vest Gold Strategy Quarterly Buffer ETF, a series fund of:<br>First Trust Exchange-Traded Fund                | January 20, 2021  |
| o First Trust CBOE Vest S&P 500 Dividend Aristocrats Target Income ETF, a series fund of:<br>First Trust Exchange-Traded Fund IV | February 24, 2021 |

Nothing herein contained shall be held to vary, alter, waive or extend any of the terms, conditions, provisions, agreements or limitations of this policy other than as above stated.

RN0001.1-00 (01/02) sp

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 16**

INSURED

BOND NUMBER

**First Trust Exchange-Traded Fund**

**99516120B**

EFFECTIVE DATE

BOND PERIOD

AUTHORIZED REPRESENTATIVE

**December 14, 2020**

**October 9, 2020 to October 9,  
2021**

**/S/ Swenitha Nalli**

In consideration of the premium charged for this Bond, and notwithstanding Item 1 of the Declarations, Name of Insured, or any other Rider to this Bond, it is hereby understood and agreed that the following shall not be Insureds under this Bond:

- o First Trust Value Line<sup>®</sup> 100 Exchange-Traded Fund, a series fund of:  
First Trust Exchange-Traded Fund
- o First Trust Mega Cap AlphaDEX<sup>®</sup> Fund, a series fund of:  
First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

RN0002.0-00 (01/02) sp

**ICI MUTUAL INSURANCE COMPANY,  
a Risk Retention Group**

**INVESTMENT COMPANY BLANKET BOND**

**RIDER NO. 17**

INSURED

BOND NUMBER

EFFECTIVE DATE

BOND PERIOD

AUTHORIZED REPRESENTATIVE

**February 28, 2021****October 9, 2020 to October 9,  
2021****/S/ Swenitha Nalli**

In consideration of the premium charged for this Bond, it is hereby understood and agreed that the Limit of Liability for the following Insuring Agreements is hereby amended, effective February 28, 2021, to be:

		<u>Limit of Liability</u>
Insuring Agreement A-	FIDELITY	\$35,000,000
Insuring Agreement C-	ON PREMISES	\$35,000,000
Insuring Agreement D-	IN TRANSIT	\$35,000,000
Insuring Agreement E-	FORGERY OR ALTERATION	\$35,000,000
Insuring Agreement F-	SECURITIES	\$35,000,000
Insuring Agreement G-	COUNTERFEIT CURRENCY	\$35,000,000
Insuring Agreement I-	PHONE/ELECTRONIC TRANSACTIONS	\$35,000,000
Insuring Agreement J-	COMPUTER SECURITY	\$35,000,000

Except as above stated, nothing herein shall be held to alter, waive or extend any of the terms of this Bond.

RN0004.0-02 (10/08) sp

## CERTIFICATE OF ASSISTANT SECRETARY

The undersigned, Kristi A. Maher, Assistant Secretary of Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund, a Massachusetts Business Trust, First Trust Senior Floating Rate Income Fund II, a Massachusetts Business Trust, First Trust Energy Income and Growth Fund, a Massachusetts Business Trust, First Trust Enhanced Equity Income Fund, a Massachusetts Business Trust, First Trust/Aberdeen Global Opportunity Income Fund, a Massachusetts Business Trust, First Trust Mortgage Income Fund, a Massachusetts Business Trust, First Trust Exchange-Traded Fund, a Massachusetts Business Trust, First Trust/Aberdeen Emerging Opportunity Fund, a Massachusetts Business Trust, First Trust Specialty Finance and Financial Opportunities Fund, a Massachusetts Business Trust, First Trust Exchange-Traded Fund II, a Massachusetts Business Trust, First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund, a Massachusetts Business Trust, First Trust High Income Long/Short Fund, a Massachusetts Business Trust, First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II, a Massachusetts Business Trust, First Trust Series Fund, a Massachusetts Business Trust, First Trust Energy Infrastructure Fund, a Massachusetts Business Trust, First Trust MLP and Energy Income Fund, a Massachusetts Business Trust, First Trust Exchange Traded Fund VI, a Massachusetts Business Trust, First Trust Exchange-Traded Fund IV, a Massachusetts Business Trust, First Trust Variable Insurance Trust, a Massachusetts Business Trust, First Trust Exchange-Traded Fund III, a Massachusetts Business Trust, First Trust Intermediate Duration Preferred & Income Fund, a Massachusetts Business Trust, First Trust Exchange-Traded Fund V, a Massachusetts Business Trust, First Trust Exchange-Traded Fund VII, a Massachusetts Business Trust, First Trust New Opportunities MLP & Energy Fund, a Massachusetts Business Trust, First Trust Dynamic Europe Equity Income Fund, a Massachusetts Business Trust, First Trust Exchange-Traded Fund VIII, a Massachusetts Business Trust, First Trust Senior Floating Rate 2022 Target Term Fund, a Massachusetts Business Trust, and First Trust High Yield Opportunities 2027 Term Fund, a Massachusetts Business Trust (individually, the “*Company*” and collectively, the “*Companies*”), does hereby certify that:

1. This certificate is being delivered to the Securities and Exchange Commission (the “*SEC*”) in connection with the filing of the Companies’ joint fidelity bond (the “*Bond*”) pursuant to Rule 17g-1 of the Investment Company Act of 1940, as amended, and the SEC is entitled to rely on this certificate for purposes of the filing.
2. The undersigned is duly elected, qualified and acting Assistant Secretary of each Company, and has custody of the corporate records of each Company and is a proper officer to make this certification.
3. Attached hereto as *Exhibit A* is a copy of the form of resolutions of a majority of the Board of Trustees who are not “interested persons” of each Company approving the amount, type, form and coverage of the Bond and the portion of the premium to be paid by each Company.
4. Attached hereto as *Exhibit B* is a list of the amount of the single insured bond which each Company would have provided and maintained had it not been named as an insured under the Bond.
5. Premiums have been paid for the period October 9, 2020 to October 9, 2021.

IN WITNESS WHEREOF, the undersigned has caused this certificate to be executed this 25th day of March 2021.

/s/ Kristi A. Maher

Kristi A. Maher, Assistant Secretary



## EXHIBIT A

**MACQUARIE/FIRST TRUST GLOBAL INFRASTRUCTURE/UTILITIES DIVIDEND & INCOME FUND**  
**FIRST TRUST SENIOR FLOATING RATE INCOME FUND II**  
**FIRST TRUST ENERGY INCOME AND GROWTH FUND**  
**FIRST TRUST ENHANCED EQUITY INCOME FUND**  
**FIRST TRUST/ABERDEEN GLOBAL OPPORTUNITY INCOME FUND**  
**FIRST TRUST MORTGAGE INCOME FUND**  
**FIRST TRUST EXCHANGE-TRADED FUND**  
**FIRST TRUST/ABERDEEN EMERGING OPPORTUNITY FUND**  
**FIRST TRUST SPECIALTY FINANCE AND FINANCIAL OPPORTUNITIES FUND**  
**FIRST TRUST EXCHANGE-TRADED FUND II**  
**FIRST TRUST EXCHANGE-TRADED ALPHADDEX<sup>®</sup> FUND**  
**FIRST TRUST HIGH INCOME LONG/SHORT FUND**  
**FIRST TRUST EXCHANGE-TRADED ALPHADDEX<sup>®</sup> FUND II**  
**FIRST TRUST SERIES FUND**  
**FIRST TRUST ENERGY INFRASTRUCTURE FUND**  
**FIRST TRUST MLP AND ENERGY INCOME FUND**  
**FIRST TRUST INTERMEDIATE DURATION PREFERRED & INCOME FUND**  
**FIRST TRUST EXCHANGE-TRADED FUND IV**  
**FIRST TRUST EXCHANGE TRADED FUND VI**  
**FIRST TRUST VARIABLE INSURANCE TRUST**  
**FIRST TRUST EXCHANGE-TRADED FUND III**  
**FIRST TRUST EXCHANGE-TRADED FUND V**  
**FIRST TRUST EXCHANGE-TRADED FUND VII**  
**FIRST TRUST NEW OPPORTUNITIES MLP & ENERGY FUND**  
**FIRST TRUST DYNAMIC EUROPE EQUITY INCOME FUND**  
**FIRST TRUST EXCHANGE-TRADED FUND VIII**  
**FIRST TRUST SENIOR FLOATING RATE 2022 TARGET TERM FUND**  
**FIRST TRUST HIGH YIELD OPPORTUNITIES 2027 TERM FUND**

### RESOLUTIONS REGARDING INVESTMENT COMPANY BLANKET BOND

**RESOLVED**, that the officers of the First Trust Series Fund, First Trust Exchange-Traded Fund, First Trust Exchange-Traded Fund II, First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund, First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II, Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund, First Trust Senior Floating Rate Income Fund II, First Trust Energy Income and Growth Fund, First Trust Enhanced Equity Income Fund, First Trust/Aberdeen Global Opportunity Income Fund, First Trust Mortgage Income Fund, First Trust/Aberdeen Emerging Opportunity Fund, First Trust Specialty Finance and Financial Opportunities Fund, First Trust High Income Long/Short Fund, First Trust Energy Infrastructure Fund, First Trust MLP and Energy Income Fund, First Trust Exchange-Traded Fund IV, First Trust Exchange Traded Fund VI, First Trust Variable Insurance Trust, First Trust Exchange-Traded Fund III, First Trust Intermediate Duration Preferred & Income Fund, First Trust Exchange-Traded Fund V, First Trust Exchange-Traded Fund VII, First Trust New Opportunities MLP & Energy Fund, First Trust Dynamic Europe Equity Income Fund, First Trust Exchange-Traded Fund VIII and First Trust Senior Floating Rate 2022 Target Term Fund, First Trust High Yield Opportunities 2027 Term Fund (each a “Fund” and collectively the “Funds”) be and they hereby are, authorized and directed to make application for

and maintain fidelity bond coverage for the Funds, jointly with First Trust Advisors L.P., First Trust Portfolios L.P. and such other First Trust managed funds as they, in their judgment, shall deem advisable and to enter into an agreement with the other parties concerning such coverage as required by Rule 17g-1(f) under the Investment Company Act of 1940 (the "1940 Act"), such agreement being in substantially the form presented to this meeting; and it is

**FURTHER RESOLVED**, that fidelity bond coverage insuring the Funds in the amount required by Rule 17g-1 under the 1940 Act, or such greater amounts as officers of the Funds may from time to time determine in accordance with the provisions of Rule 17g-1 under the 1940 Act, is hereby deemed to be reasonable in form and amount as required by and considering all relevant factors as provided in Rule 17g-1 and is hereby approved; and it is

**FURTHER RESOLVED**, that each Fund's participation with other management investment companies advised by First Trust Advisors in the purchase and maintenance of fidelity bond coverage with ICI Mutual Insurance Company as required by Rule 17g-1 under the 1940 Act, and the payment by the Funds of that portion of the premium for such coverage as may be allocated to each Fund in accordance with the premium allocation methodology approved by the Trustees at this meeting, is hereby approved; and it is

**FURTHER RESOLVED**, that the Secretary or any Assistant Secretary of the Funds is hereby designated the officer to make the filings and give or cause to be given the notices required by Paragraph (g) of Rule 17g-1 under the 1940 Act.

## EXHIBIT B

Each Company listed below would have provided and maintained a single insured bond in the following amounts had it not been named as an insured under a joint Fidelity Bond:

<b>First Trust Closed-End Funds</b>	
First Trust Senior Floating Rate Income Fund II	\$900,000
First Trust Energy Income and Growth Fund	\$750,000
First Trust Enhanced Equity Income Fund	\$750,000
Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund	\$525,000
First Trust/Aberdeen Global Opportunity Income Fund	\$600,000
First Trust Mortgage Income Fund	\$400,000
First Trust/Aberdeen Emerging Opportunity Fund	\$450,000
First Trust Specialty Finance and Financial Opportunities Fund	\$400,000
First Trust High Income Long/Short Fund	\$900,000
First Trust Energy Infrastructure Fund	\$750,000
First Trust MLP and Energy Income Fund	\$750,000
First Trust Intermediate Duration Preferred & Income Fund	\$1,250,000
First Trust New Opportunities MLP & Energy Fund	\$600,000
First Trust Dynamic Europe Equity Income Fund	\$600,000
First Trust Senior Floating Rate 2022 Target Term Fund	\$900,000
First Trust High Yield Opportunities 2027 Term Fund	\$1,250,000
<hr/>	
Sub-Total	<b>\$11,775,000</b>
<b>First Trust Exchange-Traded Fund</b>	
First Trust Dow Jones Select MicroCap Index Fund	N/A
First Trust Morningstar Dividend Leaders Index Fund	N/A
First Trust US Equity Opportunities ETF	N/A
First Trust NASDAQ-100 Equal Weighted Index Fund	N/A
First Trust NASDAQ-100-Technology Sector Index Fund	N/A
First Trust NYSE Arca Biotechnology Index Fund	N/A
First Trust Dow Jones Internet Index Fund	N/A
First Trust Capital Strength ETF	N/A
First Trust Total US Market AlphaDEX <sup>®</sup> ETF	N/A
First Trust Value Line <sup>®</sup> Dividend Index Fund	N/A
First Trust NASDAQ-100 Ex-Technology Sector Index Fund	N/A
First Trust NASDAQ <sup>®</sup> Clean Edge <sup>®</sup> Green Energy Index Fund	N/A
First Trust S&P REIT Index Fund	N/A
First Trust Water ETF	N/A
First Trust Natural Gas ETF	N/A
First Trust Chindia ETF	N/A
First Trust NASDAQ <sup>®</sup> ABA Community Bank Index Fund	N/A
First Trust Dorsey Wright People's Portfolio ETF	N/A
First Trust Dow 30 Equal Weight ETF	N/A
First Trust Lunt U.S. Factor Rotation ETF	N/A
First Trust Cboe Vest Gold Strategy Quarterly Buffer ETF	N/A
First Trust Cboe Vest Gold Strategy Target Income ETF	N/A
<hr/>	
Sub-Total	<b>\$2,500,000</b>



<b>First Trust Exchange-Traded AlphaDEX® Fund</b>	
First Trust Consumer Discretionary AlphaDEX® Fund	N/A
First Trust Consumer Staples AlphaDEX® Fund	N/A
First Trust Energy AlphaDEX® Fund	N/A
First Trust Financials AlphaDEX® Fund	N/A
First Trust Health Care AlphaDEX® Fund	N/A
First Trust Industrials/Producer Durables AlphaDEX® Fund	N/A
First Trust Materials AlphaDEX® Fund	N/A
First Trust Technology AlphaDEX® Fund	N/A
First Trust Utilities AlphaDEX® Fund	N/A
First Trust Large Cap Core AlphaDEX® Fund	N/A
First Trust Mid Cap Core AlphaDEX® Fund	N/A
First Trust Mid Cap Growth AlphaDEX® Fund	N/A
First Trust Mid Cap Value AlphaDEX® Fund	N/A
First Trust Small Cap Core AlphaDEX® Fund	N/A
First Trust Small Cap Value AlphaDEX® Fund	N/A
First Trust Small Cap Growth AlphaDEX® Fund	N/A
First Trust Large Cap Growth AlphaDEX® Fund	N/A
First Trust Multi Cap Value AlphaDEX® Fund	N/A
First Trust Multi Cap Growth AlphaDEX® Fund	N/A
First Trust Large Cap Value AlphaDEX® Fund	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund II</b>	
First Trust FTSE EPRA/NAREIT Developed Markets Real Estate Index Fund	N/A
First Trust STOXX® European Select Dividend Index Fund	N/A
First Trust Dow Jones Global Select Dividend Index Fund	N/A
First Trust Global Wind Energy ETF	N/A
First Trust Global Engineering and Construction ETF	N/A
First Trust NASDAQ® Clean Edge® Smart Grid Infrastructure Index Fund	N/A
First Trust Indxx Global Natural Resources Income ETF	N/A
First Trust Indxx Global Agriculture ETF	N/A
First Trust BICK Index Fund	N/A
First Trust Cloud Computing ETF	N/A
First Trust Indxx NextG ETF	N/A
First Trust NASDAQ Global Auto Index Fund	N/A
First Trust International Equity Opportunities ETF	N/A
First Trust Nasdaq Cybersecurity ETF	N/A
First Trust IPOX® Europe Equity Opportunities ETF	N/A
First Trust Dow Jones International Internet ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded AlphaDEX® Fund II</b>	
First Trust Developed Markets ex-US AlphaDEX® Fund	N/A
First Trust Emerging Markets AlphaDEX® Fund	N/A
First Trust Asia Pacific ex-Japan AlphaDEX® Fund	N/A
First Trust Europe AlphaDEX® Fund	N/A
First Trust Latin America AlphaDEX® Fund	N/A
First Trust Brazil AlphaDEX® Fund	N/A

First Trust China AlphaDEX <sup>®</sup> Fund	N/A
First Trust Japan AlphaDEX <sup>®</sup> Fund	N/A
First Trust South Korea AlphaDEX <sup>®</sup> Fund	N/A
First Trust Germany AlphaDEX <sup>®</sup> Fund	N/A
First Trust Canada AlphaDEX <sup>®</sup> Fund	N/A
First Trust Australia AlphaDEX <sup>®</sup> Fund	N/A
First Trust United Kingdom AlphaDEX <sup>®</sup> Fund	N/A
First Trust India NIFTY 50 Equal Weight ETF	N/A
First Trust Hong Kong AlphaDEX <sup>®</sup> Fund	N/A
First Trust Switzerland AlphaDEX <sup>®</sup> Fund	N/A
First Trust Emerging Markets Small Cap AlphaDEX <sup>®</sup> Fund	N/A
First Trust Developed Markets ex-US Small Cap AlphaDEX <sup>®</sup> Fund	N/A
First Trust Eurozone AlphaDEX <sup>®</sup> ETF	N/A
<b>Sub-Total</b>	<b>\$1,500,000</b>
<b>First Trust Exchange-Traded Fund III</b>	
First Trust Preferred Securities and Income ETF	N/A
First Trust Managed Municipal ETF	N/A
First Trust Long/Short Equity ETF	N/A
First Trust Emerging Markets Local Currency Bond ETF	N/A
First Trust Horizon Managed Volatility Domestic ETF	N/A
First Trust Horizon Managed Volatility Developed International ETF	N/A
First Trust RiverFront Dynamic Asia Pacific ETF	N/A
First Trust RiverFront Dynamic Developed International ETF	N/A
First Trust RiverFront Dynamic Europe ETF	N/A
First Trust RiverFront Dynamic Emerging Markets ETF	N/A
First Trust California Municipal High Income ETF	N/A
First Trust Institutional Preferred Securities and Income ETF	N/A
First Trust Municipal High Income ETF	N/A
First Trust Ultra Short Duration Municipal ETF	N/A
First Trust Short Duration Managed Municipal ETF	N/A
First Trust Horizon Managed Volatility Small/Mid ETF	N/A
First Trust Merger Arbitrage ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund IV</b>	
First Trust North American Energy Infrastructure Fund	N/A
First Trust Tactical High Yield ETF	N/A
First Trust Senior Loan Fund	N/A
First Trust Enhanced Short Maturity ETF	N/A
First Trust Strategic Income ETF	N/A
First Trust Low Duration Opportunities ETF	N/A
First Trust SSI Strategic Convertible Securities ETF	N/A
First Trust EIP Carbon Impact ETF	N/A
First Trust Long Duration Opportunities ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund V</b>	
First Trust Managed Futures Strategy Fund	N/A
<b>Sub-Total</b>	<b>\$300,000</b>
<b>First Trust Exchange-Traded Fund VI</b>	
Multi-Asset Diversified Income Index Fund	N/A
First Trust NASDAQ Technology Dividend Index Fund	N/A
First Trust S&P International Dividend Aristocrats ETF	N/A

First Trust BuyWrite Income ETF	N/A
First Trust Hedged BuyWrite Income ETF	N/A
First Trust Rising Dividend Achievers ETF	N/A
First Trust Dorsey Wright Focus 5 ETF	N/A
First Trust RBA American Industrial Renaissance <sup>®</sup> ETF	N/A
First Trust Dorsey Wright Momentum & Dividend ETF	N/A
First Trust Dorsey Wright International Focus 5 ETF	N/A
First Trust Dorsey Wright Dynamic Focus 5 ETF	N/A
First Trust Nasdaq Bank ETF	N/A
First Trust Nasdaq Food & Beverage ETF	N/A
First Trust Nasdaq Oil & Gas ETF	N/A
First Trust Nasdaq Pharmaceuticals ETF	N/A
First Trust Nasdaq Retail ETF	N/A
First Trust Nasdaq Semiconductor ETF	N/A
First Trust Nasdaq Transportation ETF	N/A
Developed International Equity Select ETF	N/A
Emerging Markets Equity Select ETF	N/A
Large Cap US Equity Select ETF	N/A
Mid Cap US Equity Select ETF	N/A
Small Cap US Equity Select ETF	N/A
US Equity Dividend Select ETF	N/A
First Trust Indxx Innovative Transaction & Process ETF	N/A
First Trust Nasdaq Artificial Intelligence and Robotics ETF	N/A
First Trust Dorsey Wright DALI 1 ETF	N/A
First Trust Dorsey Wright Momentum & Low Volatility ETF	N/A
First Trust Dorsey Wright Momentum & Value ETF	N/A
First Trust International Developed Capital Strength ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund VII</b>	
First Trust Global Tactical Commodity Strategy Fund	N/A
First Trust Alternative Absolute Return Strategy ETF	N/A
<b>Sub-Total</b>	<b>\$900,000</b>
<b>First Trust Exchange-Traded Fund VIII</b>	
First Trust CEF Income Opportunity ETF	N/A
First Trust Municipal CEF Income Opportunity ETF	N/A
First Trust TCW Opportunistic Fixed Income ETF	N/A
EquityCompass Risk Manager ETF	N/A
EquityCompass Tactical Risk Manager ETF	N/A
First Trust TCW Unconstrained Plus Bond ETF	N/A
First Trust Low Duration Strategic Focus ETF	N/A
FT Cboe Vest Fund of Buffer ETFs	N/A
FT Cboe Vest U.S. Equity Buffer ETF - August	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – August	N/A
FT Cboe Vest U.S. Equity Buffer ETF – November	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – November	N/A
FT Cboe Vest U.S. Equity Buffer ETF - February	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – February	N/A
FT Cboe Vest U.S. Equity Buffer ETF - May	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – May	N/A
FT Cboe Vest U.S. Equity Buffer ETF - June	N/A

FT Cboe Vest U.S. Equity Deep Buffer ETF – June	N/A
FT Cboe Vest U.S. Equity Buffer ETF – July	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF - July	N/A
FT Cboe Vest U.S. Equity Buffer ETF- September	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF- September	N/A
First Multi-Manager Large Growth ETF	N/A
First Trust TCW Securitized Plus ETF	N/A
First Trust Active Factor Large Cap ETF	N/A
First Trust Active Factor Mid Cap ETF	N/A
First Trust Active Factor Small Cap ETF	N/A
FT Cboe Vest U.S. Equity Buffer ETF – October	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – October	N/A
FT Cboe Vest U.S. Equity Buffer ETF – December	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – December	N/A
FT Cboe Vest Growth- 100 Buffer ETF – December	N/A
FT Cboe Vest International Equity Buffer ETF - December	N/A
FT Cboe Vest Fund of Deep Buffer ETFs	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – January	N/A
FT Cboe Vest U.S. Equity Buffer ETF – January	N/A
First Trust TCW Emerging Markets Debt ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Series Fund</b>	
First Trust Preferred Securities and Income Fund	N/A
First Trust/Confluence Small Cap Value Fund	N/A
First Trust Short Duration High Income Fund	N/A
<b>Sub-Total</b>	<b>\$900,000</b>
<b>First Trust Variable Insurance Trust</b>	
First Trust/Dow Jones Dividend & Income Allocation Portfolio	N/A
First Trust Multi Income Allocation Portfolio	N/A
First Trust Dorsey Wright Tactical Core Portfolio	N/A
First Trust Capital Strength Portfolio	N/A
First Trust International Developed Capital Strength Portfolio	N/A
<b>Sub-Total</b>	<b>\$1,250,000</b>
<b>GRAND TOTAL</b>	<b>\$34,175,000</b>

## BLANKET BOND INSURANCE AGREEMENT

THIS AGREEMENT is made as of the 25th day of March, 2020, by and among the investment companies listed in Appendix A (collectively referred to herein as the “*Funds*”), First Trust Advisors L.P. (the “*Advisor*”) and First Trust Portfolios L.P. (collectively, with the Advisor and the Funds referred to as the “*Parties*”).

### WITNESSETH:

WHEREAS, the Parties have agreed to acquire a joint insured policy (the “*Policy*”) issued by ICI Mutual Insurance Company containing broker’s blanket bond coverage (“*Blanket Bond Coverage*”) which shall cover all Parties;

WHEREAS, the total amount of the Blanket Bond Coverage under the Policy will be \$35,000,000 (“*Bond Amount*”) based upon the determination of each Fund’s Board of Trustees that such insured Parties should have an amount of coverage, in the aggregate, of at least \$34,175,000 (“*Basic Bond Coverage*”) as provided in Appendix B;

WHEREAS, the Parties desire to provide herein for an allocation of the premiums for the Blanket Bond Coverage and a manner of allocating any loss proceeds received under the Policy.

The Parties, therefore, agree that:

1. *Allocation of Blanket Bond Coverage Premium.* Each Party shall pay a proportionate share of the Blanket Bond Coverage annual premium based on the allocation as set forth in Appendix C.

2. *Losses.*

(a) *General.* The Policy is a “claims made” insurance policy and a Policy Year is the period from October 9th to the next succeeding October 9th (or any modification of that period as may be agreed by the Parties and the insurer). The insured loss (including all related expenses) of a Party which relates to a claim made by that Party relating to a particular Policy Year under the Blanket Bond Coverage is hereinafter referred to as a “*Blanket Bond Loss.*” Party includes the trustees and officers of an insured Party and other insured agents or employees of such a Party.

(b) *Blanket Bond Loss.* If only one insured Party incurs a Blanket Bond Loss relating to a Policy Year, the proceeds of the Blanket Bond Coverage for that Policy Year will be allocated to that Party. If more than one insured Party incurs a Blanket Bond Loss relating to a particular Policy Year, the proceeds of the Blanket Bond Coverage for that Policy Year will first be allocated among those insured Parties in proportion to their respective premiums paid under Paragraph 1 hereof for Blanket Bond Coverage. If, for that particular Policy Year, after initial allocation, there are remaining proceeds of the Blanket Bond Coverage and there are then insured Parties whose Blanket Bond Losses have not been paid in full, such proceeds shall be further allocated among such insured Parties in proportion to their respective premiums paid for such Coverage (repeating this further allocation procedure as each of such insured Parties is paid in full, until all proceeds have been allocated). If all Blanket Bond Losses relating to a particular Policy Year are not paid at the same time, the insured Parties who claim such Losses for that Policy Year shall make such provisions as they deem suitable to the particular circumstances (taking into account the size of any payment received, the size, nature and expected result of any remaining claims, and all other relevant factors) to permit a later re-allocation of amounts first paid. In no event shall any insured Party that incurs a Blanket Bond Loss relating to a Policy Year which equals or exceeds its Basic Bond Coverage be

allocated proceeds of the Blanket Bond Coverage for that particular Policy Year in an amount less than its Basic Bond Coverage.

3. *Notices.* Each Party agrees to give promptly to the insurer all notices required under the Policy.

4. *Agent.* The Advisor is hereby appointed as the agent for all of the Parties for the purpose of making, adjusting, receiving and enforcing payment of all claims under the Policy and otherwise dealing with the insurer with respect to the Policy. All expenses incurred by the Advisor in its capacity as agent for claims shall be shared by the Parties (including the Advisor) in the same manner as above provided for the sharing of Losses.

5. *Modification and Termination.* This Agreement may be modified or amended from time to time by mutual written agreement among all of the Parties. It may be terminated with respect to any one Party by not less than 60 days' written notice to the other Parties which are still parties to the Agreement. It shall terminate with respect to any Party as of the date that Party ceases to be an insured under the Policy; *provided* that such termination shall not affect that Party's rights and obligations hereunder with respect to any claims on behalf of that Party which are paid under the Policy by the insurer after the date the Party ceases to be an insured under the Policy.

6. *Further Assurances.* Each Party agrees to perform such further acts and execute such further documents as are necessary to effectuate the purposes hereof.

IN WITNESS WHEREOF, the Parties have caused this Agreement to be executed as of the day and year first above written.

First Trust Energy Income and Growth Fund  
First Trust Enhanced Equity Income Fund  
First Trust Senior Floating Rate Income Fund II  
Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund  
First Trust/Aberdeen Global Opportunity Income Fund  
First Trust Mortgage Income Fund  
First Trust/Aberdeen Emerging Opportunity Fund  
First Trust Specialty Finance and Financial Opportunities Fund  
First Trust High Income Long/Short Fund  
First Trust Energy Infrastructure Fund  
First Trust MLP and Energy Income Fund  
First Trust Intermediate Duration Preferred & Income Fund  
First Trust New Opportunities MLP & Energy Fund  
First Trust Dynamic Europe Equity Income Fund  
First Trust Senior Floating Rate 2022 Target Term Fund  
First Trust High Yield Opportunities 2027 Term Fund  
First Trust Exchange-Traded Fund  
First Trust Exchange-Traded Fund II  
First Trust Exchange-Traded Fund III  
First Trust Exchange-Traded Fund IV  
First Trust Exchange-Traded Fund V  
First Trust Exchange-Traded Fund VI  
First Trust Exchange-Traded Fund VII  
First Trust Exchange-Traded Fund VIII  
First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund

First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II  
First Trust Series Fund  
First Trust Variable Insurance Trust

By /s/ Kristi A. Maher

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Kristi A. Maher, Assistant Secretary

First Trust Advisors L.P.  
First Trust Portfolios L.P.

By /s/ Kristi A. Maher

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Kristi A. Maher, Deputy General Counsel

#### APPENDIX A

##### **Closed-End Funds**

Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund  
First Trust Energy Income and Growth Fund  
First Trust Enhanced Equity Income Fund  
First Trust/Aberdeen Global Opportunity Income Fund  
First Trust Mortgage Income Fund  
First Trust/Aberdeen Emerging Opportunity Fund  
First Trust Specialty Finance and Financial Opportunities Fund  
First Trust Senior Floating Rate Income Fund II  
First Trust High Income Long/Short Fund  
First Trust Energy Infrastructure Fund  
First Trust MLP and Energy Income Fund  
First Trust New Opportunities MLP & Energy Fund  
First Trust Senior Floating Rate 2022 Target Term Fund  
First Trust Intermediate Duration Preferred & Income Fund  
First Trust Dynamic Europe Equity Income Fund  
First Trust High Yield Opportunities 2027 Term Fund

##### **Exchange-Traded Funds**

First Trust Exchange-Traded Fund  
First Trust Dow Jones Select MicroCap Index Fund  
First Trust Morningstar Dividend Leaders Index Fund  
First Trust US Equity Opportunities ETF  
First Trust NASDAQ-100 Equal Weighted Index Fund  
First Trust NASDAQ-100-Technology Sector Index Fund  
First Trust NYSE Arca Biotechnology Index Fund  
First Trust Dow Jones Internet Index Fund  
First Trust Capital Strength ETF  
First Trust Total US Market AlphaDEX<sup>®</sup> ETF

First Trust Value Line® Dividend Index Fund  
First Trust NASDAQ-100 Ex-Technology Sector Index Fund  
First Trust NASDAQ® Clean Edge® Green Energy Index Fund  
First Trust S&P REIT Index Fund  
First Trust Chindia ETF  
First Trust Natural Gas ETF  
First Trust Water ETF  
First Trust NASDAQ® ABA Community Bank Index Fund  
First Trust Dorsey Wright People's Portfolio ETF  
First Trust Dow 30 Equal Weight ETF  
First Trust Lunt U.S. Factor Rotation ETF  
FT Cboe Vest Gold Strategy Quarterly Buffer ETF  
FT Cboe Vest Gold Strategy Target Income ETF

First Trust Exchange-Traded Fund II

First Trust STOXX® European Select Dividend Index Fund  
First Trust FTSE EPRA/NAREIT Developed Markets Real Estate Index Fund  
First Trust Dow Jones Global Select Dividend Index Fund  
First Trust Global Wind Energy ETF  
First Trust Global Engineering and Construction ETF  
First Trust NASDAQ® Clean Edge® Smart Grid Infrastructure Index Fund  
First Trust Indxx Global Natural Resources Income ETF  
First Trust Indxx Global Agriculture ETF  
First Trust BICK Index Fund  
First Trust Indxx NextG ETF  
First Trust NASDAQ Global Auto Index Fund  
First Trust Cloud Computing ETF  
First Trust International Equity Opportunities ETF  
First Trust Nasdaq Cybersecurity ETF  
First Trust IPOX® Europe Equity Opportunities ETF  
First Trust Dow Jones International Internet ETF

First Trust Exchange-Traded AlphaDEX® Fund

First Trust Large Cap Core AlphaDEX® Fund  
First Trust Mid Cap Core AlphaDEX® Fund  
First Trust Small Cap Core AlphaDEX® Fund  
First Trust Large Cap Value AlphaDEX® Fund  
First Trust Large Cap Growth AlphaDEX® Fund  
First Trust Multi Cap Value AlphaDEX® Fund  
First Trust Multi Cap Growth AlphaDEX® Fund  
First Trust Consumer Discretionary AlphaDEX® Fund  
First Trust Consumer Staples AlphaDEX® Fund  
First Trust Energy AlphaDEX® Fund  
First Trust Financials AlphaDEX® Fund  
First Trust Health Care AlphaDEX® Fund  
First Trust Industrials/Producer Durables AlphaDEX® Fund  
First Trust Materials AlphaDEX® Fund  
First Trust Technology AlphaDEX® Fund  
First Trust Utilities AlphaDEX® Fund  
First Trust Mid Cap Growth AlphaDEX® Fund



First Trust Mid Cap Value AlphaDEX® Fund  
First Trust Small Cap Growth AlphaDEX® Fund  
First Trust Small Cap Value AlphaDEX® Fund

First Trust Exchange-Traded AlphaDEX® Fund II

First Trust Developed Markets ex-US AlphaDEX® Fund  
First Trust Emerging Markets AlphaDEX® Fund  
First Trust Asia Pacific ex-Japan AlphaDEX® Fund  
First Trust Europe AlphaDEX® Fund  
First Trust Latin America AlphaDEX® Fund  
First Trust Brazil AlphaDEX® Fund  
First Trust China AlphaDEX® Fund  
First Trust Japan AlphaDEX® Fund  
First Trust South Korea AlphaDEX® Fund  
First Trust Germany AlphaDEX® Fund  
First Trust Canada AlphaDEX® Fund  
First Trust Australia AlphaDEX® Fund  
First Trust United Kingdom AlphaDEX® Fund  
First Trust India NIFTY 50 Equal Weight ETF  
First Trust Hong Kong AlphaDEX® Fund  
First Trust Switzerland AlphaDEX® Fund  
First Trust Developed Markets ex-US Small Cap AlphaDEX® Fund  
First Trust Emerging Markets Small Cap AlphaDEX® Fund  
First Trust Eurozone AlphaDEX® ETF

First Trust Exchange-Traded Fund III

First Trust Preferred Securities and Income ETF  
First Trust Managed Municipal ETF  
First Trust Long/Short Equity ETF  
First Trust Emerging Markets Local Currency Bond ETF  
First Trust RiverFront Dynamic Asia Pacific ETF  
First Trust RiverFront Dynamic Developed International ETF  
First Trust RiverFront Dynamic Europe ETF  
First Trust RiverFront Dynamic Emerging Markets ETF  
First Trust Horizon Managed Volatility Domestic ETF  
First Trust Horizon Managed Volatility Developed International ETF  
First Trust California Municipal High Income ETF  
First Trust Institutional Preferred Securities and Income ETF  
First Trust Municipal High Income ETF  
First Trust Ultra Short Duration Municipal ETF  
First Trust Short Duration Managed Municipal ETF  
First Trust Merger Arbitrage ETF  
First Trust Horizon Managed Volatility Small/Mid ETF

First Trust Exchange-Traded Fund IV

First Trust North American Energy Infrastructure Fund  
First Trust Tactical High Yield ETF  
First Trust Senior Loan Fund  
First Trust Enhanced Short Maturity ETF  
First Trust Strategic Income ETF  
First Trust Low Duration Opportunities ETF  
First Trust SSI Strategic Convertible Securities ETF

First Trust EIP Carbon Impact ETF  
First Trust Long Duration Opportunities ETF

First Trust Exchange-Traded Fund V  
First Trust Managed Futures Strategy Fund

First Trust Exchange-Traded Fund VI  
First Trust NASDAQ Technology Dividend Index Fund  
Multi-Asset Diversified Income Index Fund  
First Trust S&P International Dividend Aristocrats ETF  
First Trust BuyWrite Income ETF  
First Trust Hedged BuyWrite Income ETF  
First Trust Rising Dividend Achievers ETF  
First Trust Dorsey Wright Focus 5 ETF  
First Trust RBA American Industrial Renaissance® ETF  
First Trust Dorsey Wright Momentum & Dividend ETF  
First Trust Dorsey Wright International Focus 5 ETF  
First Trust Dorsey Wright Dynamic Focus 5 ETF  
First Trust SMID Cap Rising Dividend Achievers ETF  
First Trust Indxx Innovative Transaction & Process ETF  
First Trust Nasdaq Artificial Intelligence and Robotics ETF  
First Trust Nasdaq Bank ETF  
First Trust Nasdaq Food & Beverage ETF  
First Trust Nasdaq Oil & Gas ETF  
First Trust Nasdaq Pharmaceuticals ETF  
First Trust Nasdaq Retail ETF  
First Trust Nasdaq Semiconductor ETF  
First Trust Nasdaq Transportation ETF  
Developed International Equity Select ETF  
Emerging Markets Equity Select ETF  
Large Cap US Equity Select ETF  
Mid Cap US Equity Select ETF  
Small Cap US Equity Select ETF  
US Equity Dividend Select ETF  
First Trust Dorsey Wright DALI 1 ETF  
First Trust Dorsey Wright Momentum & Value ETF  
First Trust Dorsey Wright Momentum & Low Volatility ETF  
First Trust International Developed Capital Strength ETF

First Trust Exchange-Traded Fund VII  
First Trust Global Tactical Commodity Strategy Fund  
First Trust Alternative Absolute Return Strategy ETF

First Trust Exchange-Traded Fund VIII  
First Trust CEF Income Opportunity ETF  
First Trust Municipal CEF Income Opportunity ETF  
First Trust TCW Opportunistic Fixed Income ETF  
EquityCompass Risk Manager ETF  
EquityCompass Tactical Risk Manager ETF  
First Trust TCW Unconstrained Plus Bond ETF  
First Trust Low Duration Strategic Focus ETF  
FT Cboe Vest Fund of Buffer ETFs  
FT Cboe Vest U.S. Equity Buffer ETF-August  
FT Cboe Vest U.S. Equity Deep Buffer ETF-August

FT Cboe Vest U.S. Equity Buffer ETF-November  
 FT Cboe Vest U.S. Equity Deep Buffer ETF-November  
 FT Cboe Vest U.S. Equity Buffer ETF-February  
 FT Cboe Vest U.S. Equity Deep Buffer ETF-February  
 FT Cboe Vest U.S. Equity Buffer ETF-May  
 FT Cboe Vest U.S. Equity Deep Buffer ETF-May  
 FT Cboe Vest U.S. Equity Buffer ETF-June  
 FT Cboe Vest U.S. Equity Deep Buffer ETF-June  
 FT Cboe Vest U.S. Equity Buffer ETF – July  
 FT Cboe Vest U.S. Equity Deep Buffer ETF - July  
 FT Cboe Vest U.S. Equity Buffer ETF- September  
 FT Cboe Vest U.S. Equity Deep Buffer ETF- September  
 First Multi-Manager Large Growth ETF  
 First Trust TCW Securitized Plus ETF  
 First Trust Active Factor Large Cap ETF  
 First Trust Active Factor Mid Cap ETF  
 First Trust Active Factor Small Cap ETF  
 FT Cboe Vest U.S. Equity Buffer ETF- October  
 FT Cboe Vest U.S. Equity Deep Buffer ETF- October  
 FT Cboe Vest U.S. Equity Buffer ETF - December  
 FT Cboe Vest U.S. Equity Deep Buffer ETF - December  
 FT Cboe Vest Growth-100 Buffer ETF - December  
 FT Cboe Vest International Equity Buffer ETF - December  
 FT Cboe Vest Fund of Deep Buffer ETFs  
 FT Cboe Vest U.S. Equity Deep Buffer ETF - January  
 FT Cboe Vest U.S. Equity Buffer ETF - January  
 FT TCW Emerging Markets Debt ETF

### Open End Funds

#### First Trust Series Fund

First Trust Preferred Securities and Income Fund  
 First Trust/Confluence Small Cap Value Fund  
 First Trust Short Duration High Income Fund

#### First Trust Variable Insurance Trust

First Trust/Dow Jones Dividend & Income Allocation Portfolio  
 First Trust Multi Income Allocation Portfolio  
 First Trust Dorsey Wright Tactical Core Portfolio  
 First Trust Capital Strength Portfolio  
 First Trust International Developed Capital Strength Portfolio

## APPENDIX B

### First Trust Closed-End Funds

First Trust Senior Floating Rate Income Fund II	\$900,000
First Trust Energy Income and Growth Fund	\$750,000
First Trust Enhanced Equity Income Fund	\$750,000
Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund	\$525,000
First Trust/Aberdeen Global Opportunity Income Fund	\$600,000
First Trust Mortgage Income Fund	\$400,000
First Trust/Aberdeen Emerging Opportunity Fund	\$450,000

First Trust Specialty Finance and Financial Opportunities Fund	\$400,000
First Trust High Income Long/Short Fund	\$900,000
First Trust Energy Infrastructure Fund	\$750,000
First Trust MLP and Energy Income Fund	\$750,000
First Trust Intermediate Duration Preferred & Income Fund	\$1,250,000
First Trust New Opportunities MLP & Energy Fund	\$600,000
First Trust Dynamic Europe Equity Income Fund	\$600,000
First Trust Senior Floating Rate 2022 Target Term Fund	\$900,000
First Trust High Yield Opportunities 2027 Term Fund	\$1,250,000
<b>Sub-Total</b>	<b>\$11,775,000</b>
<b>First Trust Exchange-Traded Fund</b>	
First Trust Dow Jones Select MicroCap Index Fund	N/A
First Trust Morningstar Dividend Leaders Index Fund	N/A
First Trust US Equity Opportunities ETF	N/A
First Trust NASDAQ-100 Equal Weighted Index Fund	N/A
First Trust NASDAQ-100-Technology Sector Index Fund	N/A
First Trust NYSE Arca Biotechnology Index Fund	N/A
First Trust Dow Jones Internet Index Fund	N/A
First Trust Capital Strength ETF	N/A
First Trust Total US Market AlphaDEX <sup>®</sup> ETF	N/A
First Trust Value Line <sup>®</sup> Dividend Index Fund	N/A
First Trust NASDAQ-100 Ex-Technology Sector Index Fund	N/A
First Trust NASDAQ <sup>®</sup> Clean Edge <sup>®</sup> Green Energy Index Fund	N/A
First Trust S&P REIT Index Fund	N/A
First Trust Water ETF	N/A
First Trust Natural Gas ETF	N/A
First Trust Chindia ETF	N/A
First Trust NASDAQ <sup>®</sup> ABA Community Bank Index Fund	N/A
First Trust Dorsey Wright People's Portfolio ETF	N/A
First Trust Dow 30 Equal Weight ETF	N/A
First Trust Lunt U.S. Factor Rotation ETF	N/A
First Trust Cboe Vest Gold Strategy Quarterly Buffer ETF	N/A
First Trust Cboe Vest Gold Strategy Target Income ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund</b>	
First Trust Consumer Discretionary AlphaDEX <sup>®</sup> Fund	N/A
First Trust Consumer Staples AlphaDEX <sup>®</sup> Fund	N/A
First Trust Energy AlphaDEX <sup>®</sup> Fund	N/A
First Trust Financials AlphaDEX <sup>®</sup> Fund	N/A
First Trust Health Care AlphaDEX <sup>®</sup> Fund	N/A
First Trust Industrials/Producer Durables AlphaDEX <sup>®</sup> Fund	N/A
First Trust Materials AlphaDEX <sup>®</sup> Fund	N/A
First Trust Technology AlphaDEX <sup>®</sup> Fund	N/A
First Trust Utilities AlphaDEX <sup>®</sup> Fund	N/A
First Trust Large Cap Core AlphaDEX <sup>®</sup> Fund	N/A

First Trust Mid Cap Core AlphaDEX <sup>®</sup> Fund	N/A
First Trust Mid Cap Growth AlphaDEX <sup>®</sup> Fund	N/A
First Trust Mid Cap Value AlphaDEX <sup>®</sup> Fund	N/A
First Trust Small Cap Core AlphaDEX <sup>®</sup> Fund	N/A
First Trust Small Cap Value AlphaDEX <sup>®</sup> Fund	N/A
First Trust Small Cap Growth AlphaDEX <sup>®</sup> Fund	N/A
First Trust Large Cap Growth AlphaDEX <sup>®</sup> Fund	N/A
First Trust Multi Cap Value AlphaDEX <sup>®</sup> Fund	N/A
First Trust Multi Cap Growth AlphaDEX <sup>®</sup> Fund	N/A
First Trust Large Cap Value AlphaDEX <sup>®</sup> Fund	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund II</b>	
First Trust FTSE EPRA/NAREIT Developed Markets Real Estate Index Fund	N/A
First Trust STOXX <sup>®</sup> European Select Dividend Index Fund	N/A
First Trust Dow Jones Global Select Dividend Index Fund	N/A
First Trust Global Wind Energy ETF	N/A
First Trust Global Engineering and Construction ETF	N/A
First Trust NASDAQ <sup>®</sup> Clean Edge <sup>®</sup> Smart Grid Infrastructure Index Fund	N/A
First Trust Indxx Global Natural Resources Income ETF	N/A
First Trust Indxx Global Agriculture ETF	N/A
First Trust BICK Index Fund	N/A
First Trust Cloud Computing ETF	N/A
First Trust Indxx NextG ETF	N/A
First Trust NASDAQ Global Auto Index Fund	N/A
First Trust International Equity Opportunities ETF	N/A
First Trust Nasdaq Cybersecurity ETF	N/A
First Trust IPOX <sup>®</sup> Europe Equity Opportunities ETF	N/A
First Trust Dow Jones International Internet ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded AlphaDEX<sup>®</sup> Fund II</b>	
First Trust Developed Markets ex-US AlphaDEX <sup>®</sup> Fund	N/A
First Trust Emerging Markets AlphaDEX <sup>®</sup> Fund	N/A
First Trust Asia Pacific ex-Japan AlphaDEX <sup>®</sup> Fund	N/A
First Trust Europe AlphaDEX <sup>®</sup> Fund	N/A
First Trust Latin America AlphaDEX <sup>®</sup> Fund	N/A
First Trust Brazil AlphaDEX <sup>®</sup> Fund	N/A
First Trust China AlphaDEX <sup>®</sup> Fund	N/A
First Trust Japan AlphaDEX <sup>®</sup> Fund	N/A
First Trust South Korea AlphaDEX <sup>®</sup> Fund	N/A
First Trust Germany AlphaDEX <sup>®</sup> Fund	N/A
First Trust Canada AlphaDEX <sup>®</sup> Fund	N/A
First Trust Australia AlphaDEX <sup>®</sup> Fund	N/A

First Trust United Kingdom AlphaDEX <sup>®</sup> Fund	N/A
First Trust India NIFTY 50 Equal Weight ETF	N/A
First Trust Hong Kong AlphaDEX <sup>®</sup> Fund	N/A
First Trust Switzerland AlphaDEX <sup>®</sup> Fund	N/A
First Trust Emerging Markets Small Cap AlphaDEX <sup>®</sup> Fund	N/A
First Trust Developed Markets ex-US Small Cap AlphaDEX <sup>®</sup> Fund	N/A
First Trust Eurozone AlphaDEX <sup>®</sup> ETF	N/A
<b>Sub-Total</b>	<b>\$1,500,000</b>
<b>First Trust Exchange-Traded Fund III</b>	
First Trust Preferred Securities and Income ETF	N/A
First Trust Managed Municipal ETF	N/A
First Trust Long/Short Equity ETF	N/A
First Trust Emerging Markets Local Currency Bond ETF	N/A
First Trust Horizon Managed Volatility Domestic ETF	N/A
First Trust Horizon Managed Volatility Developed International ETF	N/A
First Trust RiverFront Dynamic Asia Pacific ETF	N/A
First Trust RiverFront Dynamic Developed International ETF	N/A
First Trust RiverFront Dynamic Europe ETF	N/A
First Trust RiverFront Dynamic Emerging Markets ETF	N/A
First Trust California Municipal High Income ETF	N/A
First Trust Institutional Preferred Securities and Income ETF	N/A
First Trust Municipal High Income ETF	N/A
First Trust Ultra Short Duration Municipal ETF	N/A
First Trust Short Duration Managed Municipal ETF	N/A
First Trust Horizon Managed Volatility Small/Mid ETF	N/A
First Trust Merger Arbitrage ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund IV</b>	
First Trust North American Energy Infrastructure Fund	N/A
First Trust Tactical High Yield ETF	N/A
First Trust Senior Loan Fund	N/A
First Trust Enhanced Short Maturity ETF	N/A
First Trust Strategic Income ETF	N/A
First Trust Low Duration Opportunities ETF	N/A
First Trust SSI Strategic Convertible Securities ETF	N/A
First Trust EIP Carbon Impact ETF	N/A
First Trust Long Duration Opportunities ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund V</b>	
First Trust Managed Futures Strategy Fund	N/A
<b>Sub-Total</b>	<b>\$300,000</b>
<b>First Trust Exchange-Traded Fund VI</b>	
Multi-Asset Diversified Income Index Fund	N/A
First Trust NASDAQ Technology Dividend Index Fund	N/A
First Trust S&P International Dividend Aristocrats ETF	N/A

First Trust BuyWrite Income ETF	N/A
First Trust Hedged BuyWrite Income ETF	N/A
First Trust Rising Dividend Achievers ETF	N/A
First Trust Dorsey Wright Focus 5 ETF	N/A
First Trust RBA American Industrial Renaissance <sup>®</sup> ETF	N/A
First Trust Dorsey Wright Momentum & Dividend ETF	N/A
First Trust Dorsey Wright International Focus 5 ETF	N/A
First Trust Dorsey Wright Dynamic Focus 5 ETF	N/A
First Trust Nasdaq Bank ETF	N/A
First Trust Nasdaq Food & Beverage ETF	N/A
First Trust Nasdaq Oil & Gas ETF	N/A
First Trust Nasdaq Pharmaceuticals ETF	N/A
First Trust Nasdaq Retail ETF	N/A
First Trust Nasdaq Semiconductor ETF	N/A
First Trust Nasdaq Transportation ETF	N/A
Developed International Equity Select ETF	N/A
Emerging Markets Equity Select ETF	N/A
Large Cap US Equity Select ETF	N/A
Mid Cap US Equity Select ETF	N/A
Small Cap US Equity Select ETF	N/A
US Equity Dividend Select ETF	N/A
First Trust Indxx Innovative Transaction & Process ETF	N/A
First Trust SMID Cap Rising Dividend Achievers ETF	N/A
First Trust Nasdaq Artificial Intelligence and Robotics ETF	N/A
First Trust Dorsey Wright DALI 1 ETF	N/A
First Trust Dorsey Wright Momentum & Low Volatility ETF	N/A
First Trust Dorsey Wright Momentum & Value ETF	N/A
First Trust International Developed Capital Strength ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Exchange-Traded Fund VII</b>	
First Trust Global Tactical Commodity Strategy Fund	N/A
First Trust Alternative Absolute Return Strategy ETF	N/A
<b>Sub-Total</b>	<b>\$900,000</b>
<b>First Trust Exchange-Traded Fund VIII</b>	
First Trust CEF Income Opportunity ETF	N/A
First Trust Municipal CEF Income Opportunity ETF	N/A
First Trust TCW Opportunistic Fixed Income ETF	N/A
EquityCompass Risk Manager ETF	N/A
EquityCompass Tactical Risk Manager ETF	N/A
First Trust TCW Unconstrained Plus Bond ETF	N/A
First Trust Low Duration Strategic Focus ETF	N/A
FT Cboe Vest Fund of Buffer ETFs	N/A
FT Cboe Vest U.S. Equity Buffer ETF - August	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – August	N/A
FT Cboe Vest U.S. Equity Buffer ETF – November	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – November	N/A
FT Cboe Vest U.S. Equity Buffer ETF - February	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – February	N/A

FT Cboe Vest U.S. Equity Buffer ETF - May	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – May	N/A
FT Cboe Vest U.S. Equity Buffer ETF - June	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – June	N/A
FT Cboe Vest U.S. Equity Buffer ETF – July	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF - July	N/A
FT Cboe Vest U.S. Equity Buffer ETF- September	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF- September	N/A
First Multi-Manager Large Growth ETF	N/A
First Trust TCW Securitized Plus ETF	N/A
First Trust Active Factor Large Cap ETF	N/A
First Trust Active Factor Mid Cap ETF	N/A
First Trust Active Factor Small Cap ETF	N/A
FT Cboe Vest U.S. Equity Buffer ETF – October	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – October	N/A
FT Cboe Vest U.S. Equity Buffer ETF – December	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – December	N/A
FT Cboe Vest Growth- 100 Buffer ETF – December	N/A
FT Cboe Vest International Equity Buffer ETF - December	N/A
FT Cboe Vest Fund of Deep Buffer ETFs	N/A
FT Cboe Vest U.S. Equity Deep Buffer ETF – January	N/A
FT Cboe Vest U.S. Equity Buffer ETF – January	N/A
First Trust TCW Emerging Markets Debt ETF	N/A
<b>Sub-Total</b>	<b>\$2,500,000</b>
<b>First Trust Series Fund</b>	
First Trust Preferred Securities and Income Fund	N/A
First Trust/Confluence Small Cap Value Fund	N/A
First Trust Short Duration High Income Fund	N/A
<b>Sub-Total</b>	<b>\$900,000</b>
<b>First Trust Variable Insurance Trust</b>	
First Trust/Dow Jones Dividend & Income Allocation Portfolio	N/A
First Trust Multi Income Allocation Portfolio	N/A
First Trust Dorsey Wright Tactical Core Portfolio	N/A
First Trust Capital Strength Portfolio	N/A
First Trust International Developed Capital Strength Portfolio	N/A
<b>Sub-Total</b>	<b>\$1,250,000</b>
<b>GRAND TOTAL</b>	<b>\$34,175,000</b>

**APPENDIX C**

First Trust Variable Insurance Trust		
	First Trust/Dow Jones Dividend & Income Allocation Portfolio	\$730
	First Trust Multi Income Allocation Portfolio	\$24
	First Trust Dorsey Wright Tactical Core Portfolio	\$36



	First Trust Capital Strength Portfolio	\$7
	First Trust International Developed Capital Strength Portfolio	\$1
	Total	\$798
First Trust Exchange-Traded Fund		
	First Trust Dow Jones Select MicroCap Index Fund	\$79
	First Trust Morningstar Dividend Leaders Index Fund	\$1004
	First Trust US Equity Opportunities ETF	\$1,208
	First Trust NASDAQ-100 Equal Weighted Index Fund	\$738
	First Trust NASDAQ-100-Technology Sector Index Fund	\$2,212
	First Trust NYSE Arca Biotechnology Index Fund	\$1,556
	First Trust Dow Jones Internet Index Fund	\$8,020
	First Trust Capital Strength ETF	\$4,852
	First Trust Total US Market AlphaDEX® ETF	\$10
	First Trust Value Line® Dividend Index Fund	\$7,070
	First Trust NASDAQ-100 Ex-Technology Sector Index Fund	\$95
	First Trust NASDAQ® Clean Edge® Green Energy Index Fund	\$458
	First Trust S&P REIT Index Fund	\$61
	First Trust Chindia ETF	\$138
	First Trust Natural Gas ETF	\$53
	First Trust Water ETF	\$425
	First Trust Value Line® 100 Exchange-Traded Fund	\$28
	First Trust NASDAQ® ABA Community Bank Index Fund	\$46
	First Trust Dorsey Wright People's Portfolio ETF	\$11
	First Trust Dow 30 Equal Weight ETF	\$33
	First Trust Lunt U.S. Factor Rotation ETF	\$82
	FT Cboe Vest Gold Strategy Quarterly Buffer ETF	\$0
	FT Cboe Vest Gold Strategy Target Income ETF	\$0
	Total	\$28,179
First Trust Exchange-Traded Fund II		
	First Trust STOXX® European Select Dividend Index Fund	\$144
	First Trust FTSE EPRA/NAREIT Developed Markets Real Estate Index Fund	\$26
	First Trust Dow Jones Global Select Dividend Index Fund	\$275
	First Trust Global Wind Energy ETF	\$165
	First Trust Global Engineering and Construction ETF	\$5
	First Trust NASDAQ® Clean Edge® Smart Grid Infrastructure Index Fund	\$46
	First Trust Indxx Global Natural Resources Income ETF	\$5
	First Trust Indxx Global Agriculture ETF	\$2
	First Trust BICK Index Fund	\$49
	First Trust Indxx NextG ETF	\$473
	First Trust NASDAQ Global Auto Index Fund	\$24
	First Trust Cloud Computing ETF	\$3,960
	First Trust International Equity Opportunities ETF	\$290
	First Trust Nasdaq Cybersecurity ETF	\$1,744
	First Trust IPOX® Europe Equity Opportunities ETF	\$2
	First Trust Dow Jones International Internet ETF	\$39
	Total	\$7,249

First Trust Exchange-Traded AlphaDEX® Fund		
	First Trust Large Cap Core AlphaDEX® Fund	\$723
	First Trust Mid Cap Core AlphaDEX® Fund	\$466
	First Trust Small Cap Core AlphaDEX® Fund	\$326
	First Trust Large Cap Value AlphaDEX® Fund	\$490
	First Trust Large Cap Growth AlphaDEX® Fund	\$798
	First Trust Multi Cap Value AlphaDEX® Fund	\$41
	First Trust Multi Cap Growth AlphaDEX® Fund	\$141
	First Trust Consumer Discretionary AlphaDEX® Fund	\$871
	First Trust Consumer Staples AlphaDEX® Fund	\$202
	First Trust Energy AlphaDEX® Fund	\$90
	First Trust Financials AlphaDEX® Fund	\$381
	First Trust Health Care AlphaDEX® Fund	\$1,019
	First Trust Industrials/Producer Durables AlphaDEX® Fund	\$174
	First Trust Materials AlphaDEX® Fund	\$84
	First Trust Technology AlphaDEX® Fund	\$1,728
	First Trust Utilities AlphaDEX® Fund	\$162
	First Trust Mid Cap Growth AlphaDEX® Fund	\$297
	First Trust Mid Cap Value AlphaDEX® Fund	\$26
	First Trust Small Cap Growth AlphaDEX® Fund	\$123
	First Trust Small Cap Value AlphaDEX® Fund	\$47
	First Trust Mega Cap AlphaDEX® Fund	\$18
	Total	\$8,207
First Trust Exchange-Traded AlphaDEX® Fund II		
	First Trust Developed Markets ex-US AlphaDEX® Fund	\$316
	First Trust Emerging Markets AlphaDEX® Fund	\$317
	First Trust Asia Pacific ex-Japan AlphaDEX® Fund	\$12
	First Trust Europe AlphaDEX® Fund	\$279
	First Trust Latin America AlphaDEX® Fund	\$8
	First Trust Brazil AlphaDEX® Fund	\$6
	First Trust China AlphaDEX® Fund	\$40
	First Trust Japan AlphaDEX® Fund	\$33
	First Trust South Korea AlphaDEX® Fund	\$2
	First Trust Germany AlphaDEX® Fund	\$62
	First Trust Canada AlphaDEX® Fund	\$2
	First Trust Australia AlphaDEX® Fund	\$2
	First Trust United Kingdom AlphaDEX® Fund	\$12
	First Trust India NIFTY 50 Equal Weight ETF	\$2
	First Trust Hong Kong AlphaDEX® Fund	\$3
	First Trust Switzerland AlphaDEX® Fund	\$58
	First Trust Developed Markets ex-US Small Cap AlphaDEX® Fund	\$6
	First Trust Emerging Markets Small Cap AlphaDEX® Fund	\$108
	First Trust Eurozone AlphaDEX® ETF	\$21
	Total	\$1,289
First Trust Open-End Funds		
	First Trust Preferred Securities and Income Fund	\$224

	First Trust/Confluence Small Cap Value Fund	\$27
	First Trust Short Duration High Income Fund	\$137
	Total	\$388
First Trust Exchange-Traded Fund III		
	First Trust Preferred Securities and Income ETF	\$4,226
	First Trust Managed Municipal ETF	\$1,337
	First Trust Long/Short Equity ETF	\$229
	First Trust Emerging Markets Local Currency Bond ETF	\$141
	First Trust RiverFront Dynamic Asia Pacific ETF	\$8
	First Trust RiverFront Dynamic Developed International ETF	\$108
	First Trust RiverFront Dynamic Europe ETF	\$14
	First Trust RiverFront Dynamic Emerging Markets ETF	\$37
	First Trust Horizon Managed Volatility Domestic ETF	\$158
	First Trust Horizon Managed Volatility Developed International ETF	\$87
	First Trust California Municipal High Income ETF	\$70
	First Trust Institutional Preferred Securities and Income ETF	\$241
	First Trust Municipal High Income ETF	\$94
	First Trust Ultra Short Duration Municipal ETF	\$74
	First Trust Short Duration Managed Municipal ETF	\$50
	First Trust Merger Arbitrage ETF	\$12
	First Trust Horizon Managed Volatility Small/Mid ETF	\$10
	Total	\$6,896
First Trust Exchange-Traded Fund IV		
	First Trust North American Energy Infrastructure Fund	\$1,342
	First Trust Tactical High Yield ETF	\$1,574
	First Trust Senior Loan Fund	\$1,048
	First Trust Enhanced Short Maturity ETF	\$4,054
	First Trust Strategic Income ETF	\$40
	First Trust Low Duration Opportunities ETF	\$4,904
	First Trust SSI Strategic Convertible Securities ETF	\$194
	First Trust EIP Carbon Impact ETF	\$2
	First Trust Long Duration Opportunities ETF	\$15
	Total	\$13,173
First Trust Exchange-Traded Fund V		
	First Trust Managed Futures Strategy Fund	\$26
	Total	\$26
First Trust Exchange-Traded Fund VI		
	First Trust NASDAQ Technology Dividend Index Fund	\$992
	Multi-Asset Diversified Income Index Fund	\$350
	First Trust S&P International Dividend Aristocrats ETF	\$14
	First Trust BuyWrite Income ETF	\$43
	First Trust Hedged BuyWrite Income ETF	\$4
	First Trust Rising Dividend Achievers ETF	\$1,038
	First Trust Dorsey Wright Focus 5 ETF	\$1,632
	First Trust RBA American Industrial Renaissance® ETF	\$37
	First Trust Dorsey Wright Momentum & Dividend ETF	\$23
	First Trust Dorsey Wright International Focus 5 ETF	\$175

First Trust Dorsey Wright Dynamic Focus 5 ETF	\$178	
First Trust SMID Cap Rising Dividend Achievers ETF	\$8	
First Trust Indxx Innovative Transaction & Process ETF	\$34	
First Trust Nasdaq Artificial Intelligence and Robotics ETF	\$97	
First Trust Nasdaq Bank ETF	\$51	
First Trust Nasdaq Food & Beverage ETF	\$2	
First Trust Nasdaq Oil & Gas ETF	\$12	
First Trust Nasdaq Pharmaceuticals ETF	\$13	
First Trust Nasdaq Retail ETF	\$5	
First Trust Nasdaq Semiconductor ETF	\$40	
First Trust Nasdaq Transportation ETF	\$500	
Developed International Equity Select ETF	\$19	
Emerging Markets Equity Select ETF	\$5	
Large Cap US Equity Select ETF	\$15	
Mid Cap US Equity Select ETF	\$10	
Small Cap US Equity Select ETF	\$6	
US Equity Dividend Select ETF	\$3	
First Trust Dorsey Wright DALI 1 ETF	\$10	
First Trust Dorsey Wright Momentum & Value ETF	\$11	
First Trust Dorsey Wright Momentum & Low Volatility ETF	\$98	
First Trust International Developed Capital Strength ETF	\$0	
	Total	\$5,425
First Trust Exchange-Traded Fund VII		
First Trust Global Tactical Commodity Strategy Fund	\$132	
First Trust Alternative Absolute Return Strategy ETF	\$38	
	Total	\$170
First Trust Exchange-Traded Fund VIII		
First Trust CEF Income Opportunity ETF	\$25	
First Trust Municipal CEF Income Opportunity ETF	\$7	
First Trust TCW Opportunistic Fixed Income ETF	\$3,152	
EquityCompass Risk Manager ETF	\$8	
EquityCompass Tactical Risk Manager ETF	\$10	
First Trust TCW Unconstrained Plus Bond ETF	\$173	
First Trust Low Duration Strategic Focus ETF	\$105	
FT Cboe Vest U.S. Equity Buffer ETF - August	\$57	
FT Cboe Vest U.S. Equity Deep Buffer ETF - August	\$110	
FT Cboe Vest U.S. Equity Buffer ETF - November	\$105	
FT Cboe Vest U.S. Equity Deep Buffer ETF - November	\$111	
First Trust Active Factor Large Cap ETF	\$2	
First Trust Active Factor Mid Cap ETF	\$1	
First Trust Active Factor Small Cap ETF	\$1	
FT Cboe Vest U.S. Equity Buffer ETF - February	\$187	
FT Cboe Vest U.S. Equity Deep Buffer ETF - February	\$421	
FT Cboe Vest U.S. Equity Buffer ETF - May	\$42	
FT Cboe Vest U.S. Equity Deep Buffer ETF - May	\$10	
FT Cboe Vest U.S. Equity Buffer ETF - June	\$41	
FT Cboe Vest U.S. Equity Deep Buffer ETF -June	\$17	

FT Cboe Vest U.S. Equity Buffer ETF - July	\$28
FT Cboe Vest U.S. Equity Deep Buffer ETF -July	\$13
First Trust TCW Securitized Plus ETF	\$20
First Trust Multi-Manager Large Growth ETF	\$2
FT Cboe Vest Fund of Buffer ETFs	\$13
FT Cboe Vest U.S. Equity Deep Buffer ETF - September	\$19
FT Cboe Vest U.S. Equity Buffer ETF - September	\$6
FT Cboe Vest U.S. Equity Buffer ETF- October	\$1
FT Cboe Vest U.S. Equity Deep Buffer ETF- October	\$0
FT Cboe Vest U.S. Equity Buffer ETF - December	\$1
FT Cboe Vest U.S. Equity Deep Buffer ETF - December	\$1
FT Cboe Vest Growth-100 Buffer ETF - December	\$1
FT Cboe Vest International Equity Buffer ETF - December	\$0
FT Cboe Vest Fund of Deep Buffer ETFs	\$0
FT Cboe Vest U.S. Equity Deep Buffer ETF - January	\$1
FT Cboe Vest U.S. Equity Buffer ETF - January	\$1
FT TCW Emerging Markets Debt ETF	\$0
Total	\$4,692

First Trust Closed-End Funds	
Macquarie/First Trust Global Infrastructure/Utilities Dividend & Income Fund	\$83
First Trust Energy Income and Growth Fund	\$234
First Trust Enhanced Equity Income Fund	\$263
First Trust/Aberdeen Global Opportunity Income Fund	\$151
First Trust Mortgage Income Fund	\$50
First Trust/Aberdeen Emerging Opportunity Fund	\$62
First Trust Specialty Finance and Financial Opportunities Fund	\$39
First Trust Senior Floating Rate Income Fund II	\$369
First Trust High Income Long/Short Fund	\$421
First Trust Energy Infrastructure Fund	\$195
First Trust MLP and Energy Income Fund	\$286
First Trust New Opportunities MLP & Energy Fund	\$121
First Trust Senior Floating Rate 2022 Target Term Fund	\$371
First Trust Intermediate Duration Preferred & Income Fund	\$1,564
First Trust Dynamic Europe Equity Income Fund	\$216
First Trust High Yield Opportunities 2027 Term Fund	\$841
Total	\$5,266
First Trust Advisors L.P.	\$47,692
First Trust Portfolios L.P.	\$6,813
Total	\$136,263