

For Internal Use Only  
Sec File No  
2014 JAN 9 5 PM 3:38  
RECEIVED  
SEC / MR

SEC

091-167308

Mail Processing Section

JAN 14 2011

Washington DC 404

Submit 1 Original and 9 Copies

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0504  
Expires: August 31, 2010  
Estimated average burden hours per response.....3.60

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM



14010004

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges)**
2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**
3. Class of New Derivative Securities Product:  
**Exchange Traded Fund**
4. Name of Underlying Instrument:  
**Actively managed portfolio of securities**
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Not Applicable**
6. Ticker Symbol(s) of New Derivative Securities Product:  
**USDU**
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: CME Group, Interbank Market**
8. Position Limits of New Derivative Securities Product (if applicable):  
**Regular way trades settle on T + 3 (cash settled)**
9. Position Limits of New Derivative Securities Product (if applicable):  
**N/A**

Part II Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:  
**Joan Conley**

Title:  
**Secretary**

Telephone Number:  
**301-978-8735**

Manual Signature of Official Responsible for Form:

Date: **December 18, 2013**

ACT Securities Exchange Act of 1934

Rule 19b-4(c)

Public Availability: **JAN 14 2011**