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For Internal Use SECURITIES AND EXCHANGE COMMISSION Submit 1 Original OMB APPROVAL Only and 9 Copies OMB Number: 3235-0504 Sec File No. 9-July 31, 2016 Expires: Esched average burden **UNITED STATES** UEC - 3 2013 SECURITIES AND EXCHANGE COMMISSION hours per response.....3.60 DIVISION OF TRADING & MARKETS Washington, D.C. 20549 Section FORM 19b-4(e) DEC 3-2013 Information Required of a Self-Regulatory Organization Listing and Typical Company of the Securities Explanation Company of the Company of th Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM **Initial Listing Report** Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The NASDAQ Stock Market LLC 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Corporation 3. Class of New Derivative Securities Product: **Exchange Traded Note** 4. Name of Underlying Instrument: S&P GSCI Gold Index ER 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Narrow-Based 6. Ticker Symbol(s) of New Derivative Securities Product: DGLD 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: COMEX 8. Settlement Methodology of New Derivatives Product: Regular way trades settle on T + 3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A Execution Part II 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: William Slattery Title: **Vice President** Telephone Number: 1-301-978-8088 Manual Signature of Official Responsible for Form: Act Securities Exchange Act of 1934 Date: December 2, 2013 Public DEC 03 2013 Availability: