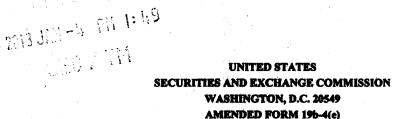
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Expires July 31, 2004
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hours per response. . 2.00





Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 194-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Initial Listing Report Part I 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: EDGA Exchange, Inc. 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Northern Trust Investments, Inc. 3. Class of New Derivative Securities Product: Investment Company Unit 4. Name of Underlying Instrument: QDF: Northern Trust Quality Dividend Index; QDEF: Northern Trust Quality Dividend Defensive Index; QDYN: Northern Trust Quality Dividend Dynamic Index. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-based: The 3 indexes referred to in item 4 above are Broad-Based 6. Ticker Symbol(s) of New Derivative Securities Product: QDF, QDEF, QDYN 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: ODF: NYSE Arca; **ODEF: NYSE Arca; ODYN: NYSE Arca** (Please note, underlying components may trade on additional exchanges in countries / regions not mentioned here.) 8. Settlement Methodology of New Derivative Securities Product: T+3, Physical Settlement Position Limits of New Derivative Securities Product (if applicable): Not Applicable 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. Jeffrey S. Rosenstrock Name of Official Responsible for Form: Title: General Spinish Securities Exchange Act of 1934 Telephone Number: 70 70 42% Manual Signature of Official Responsible for Form: Selent 1874 OF

> Public Availability:

CHARLE TOTAL CHECK

JAN 04 2013