

091-15195

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OMB APPROVAL  
OMB Number: 3235-0504  
Expires July 31, 2004  
Estimated average burden  
hours per response . 2.00

2013 JAN -4 PM 1:49  
JES/TM

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549  
AMENDED FORM 19b-4(e)



13005049

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

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

EDGX 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.

5. 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:

QDF: NYSE Arca;  
QDEF: NYSE Arca;  
QDYN: 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

9. 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.

Name of Official Responsible for Form:

Jeffrey S. Rosenstock

Title:

General Counsel

Telephone Number:

202-412-5295 Securities Exchange Act of 1934

Manual Signature of Official Responsible for Form:

JES/PC

Date:

January 3, 2013 19b-4

Rule 19b-4(e)

Public Availability: JAN 04 2013