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For Internal Use Only Submit 1 Original OMB APPROVAL Sec File No. 9and 4 copies OMB Number: 3235-0504 SECURITIES AND EXCHANGE COMMISSION Expires July 31, 2004 Estimated average burden RECEIVED hours per response. MAR 7 2013 UNITED STATES ECURITIES AND EXCHANGE COMMISSION DIVISION OF TRADING & MARKE WASHINGTON, D.C. 20549 AMENDED 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 **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.): Apollo Credit Management, LLC 3. Class of New Derivative Securities Product: **Investment Company Unit** 4. Name of Underlying Instrument: AIF: Senior Secured Loans and High Yield Corporate Bonds 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-based: The 1 index referred to in item 4 above is Broad-Based 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: AIF: AMEX, ARCA, NASDAQ, NYSE (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. Rosenstrock General Counsel Telephone Number: Securities Exchange Act of 1934 Manual Signature of Official Responsible for Form:

Rule

Public

Availability:

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Date: