

COPY

091-154748

For Internal Use Only
Sec File No. 9-

Submit 1 Original
and 4 copies

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

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

RECEIVED
APR 23 2013

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

DIVISION OF TRADING & MARKETS

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I Initial Listing Report

- 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:

IQDF: Northern Trust International Quality Dividend Index
IQDE: Northern Trust International Quality Dividend Defensive Index
IQDY: Northern Trust International Quality Dividend Dynamic Index



13005305

- 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:
IQDF, IQDE, IQDY
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

IQDF: Amex, Arca, NYSE, Nasdaq
IQDE: Amex, Arca, NYSE, Nasdaq
IQDY: Amex, Arca, NYSE, Nasdaq

(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: Jeffery S. Rosenstr... Securities Exchange Act of 1934
 Title: General Counsel
 Telephone Number: 202-343-1025
 Manual Signature of Official Responsible for Form: [Signature]
 Date: April 16, 2013

SECURITIES AND EXCHANGE COMMISSION
 RECEIVED
 APR 16 2013
 Availability: APR 23 2013