091-1552

Sec File No. 9-

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Manual Signature of Official Responsible for Form:

**Submit 1 Original** and 4 copies

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

## **UNITED STATES** SECURITIES AND EXCHANGE COMMISSION **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 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.): Brookfield Investment Management Inc. 3. Class of New Derivative Securities Product: **Investment Company Unit** 4. Name of Underlying Instrument: **BOI: Mortgage-Related Instruments** 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 N/A 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: BOI: 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: 9. Position Limits of New Derivative Securities Product (if applicable): Not Applicable 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. Securities Exchange Act of 1934 Name of Official Responsible for Form: ffrey S. Rosenstrock GHO Counsel 19b-4

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