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For Internal Use Only Submit 1 Original Sec File No. 9-OMB Number: 3235-0504 and 4 copies Expires July 31, 2004 Estimated average burden hours per esponse. . 2.00 Mail Processing UNITED STATES Section SECURITIES AND EXCHANGE COMMISSION MAR 282014 WASHINGTON, D.C. 20549 Washington DC 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** 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.): Van Eck Associates Corporation 3. Class of New Derivative Securities Product: Investment Company Unit 4. Name of Underlying Instrument: SHYD: Barclays Municipal High Yield Short Duration Index 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: SHYD 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: SHYD: Various World Markets (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: Eric Swanson Securities Bechnoise Act of Title: Executive Vice President & General Counsel Telephone Number: 212-378-8523.(NY).201-418-3410 (NJ) Manual Signature of Official Responsible for Form: March-25, 2014

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