

091-17097 fm

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

COPY

RECEIVED
2014 MAR 28 PM 2:29
SEC / MR

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

SEC
Mail Processing
Section
MAR 28 2014
Washington DC
404

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.):

SSgA Funds Management, Inc

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

SYE: S&P 500® Index
SYG: Russell 1000® Growth Index
SYV: Russell 1000® Value 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:

SYE; SYG; SYV

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

SYE: Various World Markets
SYG: Various World Markets
SYV: 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
Title: Executive Vice President & General Counsel
Telephone Number: 212-378-8523 (NY) / 201-418-3410 (NJ)
Manual Signature of Official Responsible for Form: [Signature]
Date: March 24, 2014

Availability: MAR 28 2014