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JUL 21 2010

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

DIVISION OF TRADING & MARKETS

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.):

Gladstone Investment Corporation

3. Class of New Derivative Securities Product:

Closed-End Fund

4. Name of Underlying Instrument:

GAIN: Subordinated Loans, Mezzanine Debt, & Preferred Stocks

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-based:

N/A

6. Ticker Symbol(s) of New Derivative Securities Product:

GAIN

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

GAIN: AMEX, ARCA, NASDAQ, NYSE, OTC US

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 W Hess

Title:

General Counsel

Telephone Number:

201-942-8239

Manual Signature of Official Responsible for Form:

Date:

19-Jul-10

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JUL 21 2010