

091-09314-m

For Internal Use Only
Sec File No. 9-

RECEIVED

Submit 1 Original
and 4 copies

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

2010 JUL 27 PM 4:29

SEC / TM

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



10047948

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.):
Duff & Phelps Investment Mgmt Co

3. Class of New Derivative Securities Product:
Closed-End Fund

4. Name of Underlying Instrument:

DNP: Common & Preferred Stocks; DTF: Tax-Exempt Utility Bonds; DUC: Utility & Corporate Income Securities

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:
DNP, DTF, DUC

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
DNP: AMEX, ARCA, NASDAQ, NYSE; DTF: OTC US; DUC: 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: [Signature]
Date: 26-Jul-10

Act Securities Exchange Act of 1934
Section 19b-4
Rule 19b-4(e)
Public
Availability: JUL 27 2010

RECEIVED

2010 JUL 27 PM 4: 25

SEC / TM



July 26, 2010

Ms. Gail S. Jackson
Paralegal Specialist
U.S. Securities and Exchange Commission
Division of Trading and Markets
100 F Street, NE – Room 6628
Washington, DC 20549

Dear Ms. Jackson:

Enclosed please find 19-b4(e) filings for EDGX Exchange, Inc. and four copies, as requested. Should you have any questions about the documents enclosed, please contact Rebecca Taveirne at 201-942-8284.

Thank you very much.

Edgar Ortega
Legal Assistant

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JUL 27 2010