

091-13255 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

2011 SEP 29 PM 5:21

SEC / MR

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



11032605

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.):

Guggenheim Funds Investment Advisors, LLC

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

RMB: AlphaShares China Yuan Bond 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:

RMB

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

RMB: US, China

(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:

Thomas N. McManus

Title: Act Securities Exchange Act of 1934

Chief Regulatory Officer

Telephone Number:

201-418-3471

Manual Signature of Official Responsible for Form:

Date: Rule 19b-4(e)

26-Sep-11

Public Availability: SEP 29 2011