

091-14003jm

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

SECURITIES AND EXCHANGE COMMISSION  
**RECEIVED**

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

APR 30 2012

**READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM**

**Part I**

**Initial Listing Report**

**DIVISION OF TRADING & MARKETS**

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.):

**Nuveen Fund Advisors, Inc.**

3. Class of New Derivative Securities Product:

**Investment Company Unit**

4. Name of Underlying Instrument:

**JRI: Common Stock, Preferred Securities & Debt Securities**



**12005668**

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:

**JRI**

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

**JRI: NYSE, AMEX, ARCA NASDAQ**

*(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:

**Chief Regulatory Officer**

Telephone Number:

**201-418-3471**

Manual Signature of Official Responsible for Form:

**Securities Exchange Act of 1934**

Date:

**26-Apr-12**

**Section 19b-4  
Rule 19b-4(e)**

**Public Availability: APR 30 2012**