

096-15087 P.W.



12006511

AL 04

For Internal Use Only  
Sec File No. 9-

Submit 1 Original  
and 4 copies

Expires July 31, 2004  
Estimated average burden  
hours per response . 2.00

SECURITIES AND EXCHANGE COMMISSION  
**RECEIVED**  
NOV - 7 2012  
DIVISION OF TRADING & MARKETS

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

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:

EDGA Exchange, Inc.

2. Type of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):

Nuveen Commodities Asset Management, LLC

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

CTF: Morningstar® Long/Short Commodity IndexSM

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 N/A

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

CTF

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

CTF: NYSE MKT

*(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: Jeffrey S. Rosenstock

Title: General Counsel

Telephone Number: 202-412-8295

Manual Signature of Official Responsible for Form: [Signature]

Date: November 5, 2012

Securities Exchange Act of 1934  
Section 19b-4  
November 5, 2012 19b-4(a)

Public Availability: NOV 07 2012

# COPY

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

SECURITIES AND EXCHANGE COMMISSION  
**RECEIVED**  
NOV - 7 2012

DIVISION OF TRADING & MARKETS

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

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.):

**Stone Harbor Investment Partners LP**

3. Class of New Derivative Securities Product:

**Investment Company Unit**

4. Name of Underlying Instrument:

**EDI: Emerging Markets Securities; Fixed Income Securities; Common Stocks, Preferred Stocks**

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 N/A**

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

**EDI**

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

**EDI: NYSE**

*(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:

**Jeffrey S. Rosenstock**

Title:

**General Counsel Securities Exchange Act of 1934**

Telephone Number:

**201-942-8295**

Manual Signature of Official Responsible for Form:

**[Signature]**

Date:

**NOV 5 2012 19b-4(e)**

Public  
Availability: **NOV 07 2012**