

091-14922 P.W.



12006617

7

For Internal Use Only
Sec File No. 9-

Submit 1 Original
and 4 copies

OMB Number: 3235-0504

Expires July 31, 2004

Estimated average burden
hours per response . . 2.00

SECURITIES AND EXCHANGE COMMISSION
RECEIVED
OCT 17 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 Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):

Northern Trust Investments, Inc.

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

RAVI: Fixed Income Securities, Bond Securities and Debt Securities

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:

RAVI

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

RAVI: US, Switzerland

(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: Ad General Coun Securities Exchange Act of 1934

Telephone Number: 201-942-8295

Manual Signature of Official Responsible for Form: [Signature]

Date: October 15, 2012

Public Availability: OCT 17 2012