

091-16324 gm

For Internal Use Only
Sec File No. 9.

RECEIVED
2013 SEP 24 AM 8:32
SEC / COPY

Submit 1 Original
and 4 copies

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

SEC
Mail Processing
Section

SEP 23 2013

Washington DC
404

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.):

UBS AG

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

DVHI: NYSE Diversified High Income Index



13035314

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:

DVHI

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

DVHI: ARCA, AMEX, NASDAQ, 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

Telephone Number:

201-942-8295

Manual Signature of Official Responsible for Form:

JSR

Date:

September 20, 2013

SEP 23 2013