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DIVISION OF TRADING & MARKETS

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

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Washington DC

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.):

Guggenheim Funds Investment Advisors, LLC

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

GGM: Common Stocks, Credit Securities, Mortgage-Backed Securities and Junk Bonds; :

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:

GGM

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

GGM: OTC US

(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:

201-943-8795

Manual Signature of Official Responsible for Form:

Act 8/11/13 Securities Exchange Act of 1934
November 19, 2013

Date:

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

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