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SECURITIES AND EXCHANGE COMMISSION  
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DIVISION OF TRADING & MARKETS

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

SEC  
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Section

NOV 21 2013

Washington DC  
404

Information Required of a Self-Regulatory Organization Listing and Trading  
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.):

Ivy Investment Management Company

3. Class of New Derivative Securities Product:

Investment Company Unit

4. Name of Underlying Instrument:

IVH: Corporate Bonds, Revenue Bonds and Secured Loans

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:

IVH

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

IVH: AMEX, ARCA, 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:

201-942-6775

Manual Signature of Official Responsible for Form:

Securities Exchange Act of 1934

Date:

November 19, 2013

Rule 19b-4

Public Availability: NOV 22 2013