

091-067858m

For Internal Use Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL
OMB Number: 3235-0504
Expires: August 31, 2010
Estimated average burden
hours per response: 10

SECURITIES AND EXCHANGE COMMISSION

RECEIVED

NOV 10 2009

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
DIVISION OF TRADING & MARKETS

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM



10045398

Part I

Initial Listing Report

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:
BATS Exchange, Inc.
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
See attached.
- Class of New Derivative Securities Product:
See attached.
- Name of Underlying Instrument:
See attached.
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
See attached.
- Ticker Symbol(s) of New Derivative Securities Product:
See attached.
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
See attached.
- Settlement Methodology of New Derivative Securities Product:
Trades locked in at Exchange and settled at NSCC.
- 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: Tami Schademann

Title: SVP, Chief Regulatory Officer

Telephone Number: (913) 815-7113

Manual Signature of Official Responsible for Form:

Tami Schademann

Date: November 9, 2009

Act	Securities Exchange Act of 1934
Section	6-01 19b-4
Rule	19b-4(e)
Public Availability:	NOV 10 2009

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EXCHANGE, INC.
 PURSUANT TO UNLISTED TRADING PRIVILEGES COMMENCING ON NOVEMBER 5, 2009

<u>(6) Ticker Symbol</u>	<u>(2) Type of Issuer of NDSP</u>	<u>(3) Class of NDSP</u>	<u>(4) Name of Underlying Instrument</u>	<u>(7) Market(s) upon Which Securities Comprising Underlying Instrument Trades</u>	<u>(5) Broad or Narrow</u>
SCHA	Trust	Investment company units	Dow Jones U.S. Small-Cap Total Stock	Various U.S. markets	Broad
SCHB	Trust	Investment company units	Dow Jones U.S. Broad Stock Market Index	Various U.S. markets	Broad
SCHF	Trust	Investment company units	FTSE Developed ex-US Index	Various world markets	Broad
SCHX	Trust	Investment company units	Dow Jones U.S. Large-Cap Total Stock Market Index	Various U.S. markets	Broad



SECURITIES AND EXCHANGE COMMISSION
RECEIVED
NOV 10 2009
DIVISION OF TRADING & MARKETS

November 9, 2009

Ms. Gail Jackson
Mail Stop 6628
Securities and Exchange Commission
100 F Street, N.E.
Washington, DC 20549

RE: Form 19b-4(e) – BATS Exchange, Inc.

Ms. Jackson,

On behalf of BATS Exchange, Inc., enclosed please find an executed Form 19b-4(e) and 9 copies. The enclosed Form 19b-4(e) contains information regarding four (4) derivative securities products that commenced trading on BATS Exchange on November 5, 2009. Please contact me or Anders Franzon (913.815.7154) if you have any questions in connection with this matter.

Sincerely,

Tami Schademann
SVP, Chief Regulatory Officer
913.815.7113

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	NOV 10 2009