

091-18454

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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

SEC  
Mail Processing  
Section

FORM 19b-4(e)

MAR 7 02015

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  
Washington DC  
404

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report



15000650

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
EDGX 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: Anders Franzon

Title: VP, Associate General Counsel

Telephone Number: 913-815-7154

Manual Signature of Official Responsible for Form:

Date: March 4, 2015

Act	Securities Exchange Act of 1934
Section	19b-4
Title	19b-4(e)
Public Availability:	MAR 11 2015

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON EDGX EXCHANGE, INC.  
 COMMENCING ON FEBRUARY 26, 2015

<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>
INC	Trust	Investment Company Units	U.S. Fixed Income Securities	U.S.	Broad
ROAM	Trust	Investment Company Units	Lattice Risk-Optimized Advancing Markets Strategy Index	World	Broad
RODM	Trust	Investment Company Units	Lattice Risk-Optimized Developed Markets Strategy Index	U.S.	Broad
ROUS	Trust	Investment Company Units	Lattice Risk-Optimized U.S. Equity Strategy Index	U.S.	Broad



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March 4, 2015

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

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

Ms. Jackson,

On behalf of EDGX Exchange, Inc., enclosed please find one (1) 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 EDGX Exchange on February 26, 2015. Please contact me or Tami Schademann (913.815.7113) if you have any questions in connection with this matter.

Sincerely,

Anders Franzon  
VP, Associate General Counsel  
913.815.7154

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	MAR 11 2015