

091-19340-2

For Internal Use Only  
Sec File No. 9-

Submit 1 Original  
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	July 31, 2016
Estimated average burden hours per response. . . .	3.60

RECEIVED  
OCT 15 2015  
SEC / MR

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

**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

SEC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Mail Processing

Section

**Part I**

**Initial Listing Report**

OCT 15 2015

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
EDGX Exchange, Inc.

Washington DC  
404

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
See Attached.

3. Class of New Derivative Securities Product:  
See Attached.

4. Name of Underlying Instrument:  
See Attached.



5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based.  
See Attached.

6. Ticker Symbol(s) of New Derivative Securities Product:  
See Attached.

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

8. Settlement Methodology of New Derivative Securities Product:  
Trades Locked in at Exchange and settled at NSCC.

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: Anders Franzon

Title: VP, Associate General Counsel

Telephone Number: 913-815-7154

Manual Signature of Official Responsible for Form:

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 15 2015

Date: October 14, 2015

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON EDGX EXCHANGE, INC.  
 COMMENCING ON OCTOBER 12, 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>
FXEP	Trust	Investment Company Units	S&P EPAC Ex. Korea Low Volatility USD Hedged Index	World	Broad
FXJP	Trust	Investment Company Units	S&P Japan 500 Low Volatility USD Hedged Index	World	Broad
SPMO	Trust	Investment Company Units	S&P 500 Momentum Index	U.S.	Broad
SPVU	Trust	Investment Company Units	S&P 500 Enhanced Value Index	U.S.	Broad
AMUB	Corporation	Index Linked Notes	Alerian MLP Index	U.S.	Broad
MLPB	Corporation	Index Linked Notes	Alerian MLP Infrastructure Index	U.S.	Broad
DWTR	Trust	Investment Company Units	Dorsey Wright Sector 4 Index	U.S.	Broad
BDCZ	Corporation	Index Linked Notes	Wells Fargo Business Development Company Index	U.S.	Broad
LDBC	Corporation	Index Linked Notes	Wells Fargo Business Development Company Index	U.S.	Broad
MRRL	Corporation	Index Linked Notes	Market Vectors Global Mortgage REITs Index	World	Broad
UCIB	Corporation	Index Linked Notes	UBS Bloomberg Constant Maturity Commodity Index	U.S.	Broad



2015 OCT 15 PM 1:46

SEC / MR

SEC  
Mail Processing  
Section  
OCT 15 2015  
Washington DC  
404

October 14, 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 eleven (11) derivative securities products that commenced trading on EDGX Exchange on October 12, 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:	OCT 15 2015