

091-20088jm

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

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

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

SEC

Part I

Initial Listing Report

Mail Processing  
Section

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

JAN 20 2016

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

Washington DC  
404

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



4. Name of Underlying Instrument:  
See Attached.

16000117

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.

RECEIVED  
JAN 19 11:09  
SEC/TM

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:

SVP, Associate General Counsel

Telephone Number:

913-815-7154

Manual Signature of Official Responsible for Form:

Securities Exchange Act of 1934

Date:

January 19, 2016

Rule 19b-4(e)

Public

Availability: JAN 20 2016

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS Y-EXCHANGE, INC.  
 COMMENCING ON JANUARY 14, 2016

<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>
GNRX	Trust	Investment Company Un	Indxx Global Generics & New Pharma Index	World	Broad
DFND	Trust	Investment Company Un	Reality Shares DIVCON Dividend Defender Index	World	Broad
GARD	Trust	Investment Company Un	Reality Shares DIVCON Dividend Guard Index	World	Broad



January 19, 2016

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

SEC  
Mail Processing  
Section  
JAN 20 2016  
Washington DC  
404

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

Ms. Jackson,

On behalf of BATS Y-Exchange, Inc., enclosed please find one (1) executed Form 19b-4(e) and 9 copies. The enclosed Form 19b-4(e) contains information regarding three (3) derivative securities products that commenced trading on BATS Y-Exchange on January 14, 2016. Please contact me or Tami Schademann (913.815.7113) if you have any questions in connection with this matter.

Sincerely,

Anders Franzon  
SVP, Associate General Counsel  
913.815.7154

RECEIVED  
SECY INT  
JAN 19 2016

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JAN 20 2016