

091-20900

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

Mail Processing
Section

Part I Initial Listing Report

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

JUN 24 2016

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

Washington, DC
412

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:
See Attached.

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



16018896

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:

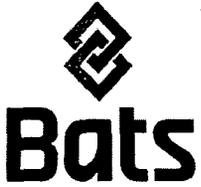
Date: June 23, 2016

| | |
|---------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public | |
| Availability: | JUN 24 2016 |

2016 JUN 23 11:31 AM
SEC
RECEIVED

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EDGX EXCHANGE, INC.
 COMMENCING ON JUNE 17, 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> |
|--------------------------|-----------------------------------|--------------------------|---|--|----------------------------|
| HYDD | Trust | Investment Company Units | Barclays U.S. High Yield Very Liquid Index | U.S. | Broad |
| HYXE | Trust | Investment Company Units | Barclays US High Yield Fallen Angel 3% Capped Index | U.S. | Broad |
| FALN | Trust | Investment Company Units | Markit iBoxx USD Liquid High Yield ex-Oil and Gas Index | U.S. | Broad |



SEC
Mail Processing
Section

JUN 24 2016

Washington DC
412

June 23, 2016

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

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

Ms. Jackson,

On behalf of Bats 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 three (3) derivative securities products that commenced trading on Bats EDGX Exchange on June 17, 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

| | |
|----------------------|---------------------------------|
| Act | Securities Exchange Act of 1934 |
| Section | 19b-4 |
| Rule | 19b-4(e) |
| Public Availability: | JUN 24 2016 |

RECEIVED
JUN 23 2016 PM 3:17