

091-22907

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
SEP 19 2017

Part I

Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

Bats EDGX Exchange, Inc.

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.

Washington DC
412

RECEIVED
2017 SEP 25 PM 5:09
SEC / TM



17003477

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:

Date: September 18, 2017

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	SEP 19 2017

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EDGX EXCHANGE, INC.
 COMMENCING ON SEPTEMBER 12, 2017

<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>
MFEM	Trust	Investment Company Units	RAFI Dynamic Multi-Factor Emerging Markets Index.	World	Broad
MFDX	Trust	Investment Company Units	RAFI Dynamic Multi-Factor Developed Ex-U.S. Index.	World	Broad
MFUS	Trust	Investment Company Units	RAFI Dynamic Multi-Factor U.S. Index.	U.S.	Broad
GHYB	Trust	Investment Company Units	Citi Goldman Sachs High Yield Corporate Bond Index	World	Broad