091-07010m

For Internal Use Quber WED Subait 1 Original and 9 Copies Address 2325-960. See File No. 9. REVEWED SECURITIES AND EXCHANCE COMMISSION SECURITIES AND EXCHANCE COMMISSION SEC A TM 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 Name of Self-Regulatory Organization Listing New Derivative Securities Product: See attached. 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: See attached. 3. Class of New Derivative Securities Product: See attached. 3. Class of New Derivative Securities Product: See attached. 3. Ticker Symbol(s) of New Derivative Securities Product: See attached. 3. Ticker Symbol(s) of New Derivative Securities Product: See attached. 4. Mark of Underlying Instrument: See attached. 5. Ticker Symbol(s) of New Derivative Securities Product: See attached. 5. Ticker Symbol(s) of New Derivative Securities Product: See attached. 5. Mark to Markes Upon Which Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product: Trades Locked in at Exchange
2009 DEC - 8 PH 2:45 UNITED STATES 2009 DEC - 8 PH 2:45 Washington, D.C. 20549 SEC / TM 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 Imitial Listing Report 10045605 10045605 Part I Initial Listing Report 10045605 10045605 Other Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Sec attached. 10045605 Class of New Derivative Securities Product: See attached. Attached. Index State Whether it is Broad-Based or Narrow-Based: See attached. Index Symbol(s) of New Derivative Securities Product: See attached. Market or Market Upon Which Securities Product: See attached. Na
SEC / TM Washington, D.C. 20549 FORM 19b-4(e) Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Persuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I Initial Listing Report Information Listing New Derivative Securities Product: BATS Exchange, Inc. Type of Issuer of New Derivative Securities Product (a.g., clearinghouse, broker-dealer, corporation, etc.): See attached. Class of New Derivative Securities Product: See attached. Class of New Derivative Securities Product: See attached. If Underlying Instrument: See attached. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: See attached. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: See attached. Market or Markets Upon Which Securities Product: See attached. Market or Markets Upon Which 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 is approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product to the undersigned for, the listing and trading of the above-referenced and derivative securities product to the undersigned for, the listing and trading of the above-referenced area derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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 Imitial Listing Report 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: BATS Exchange, Inc. Imitial Listing Report 2. Type of Issuer of New Derivative Securities Product (a.g., clearinghouse, broker-dealer, corporation, etc.): See attached. Imitial Listing Report 3. Class of New Derivative Securities Product: See attached. Securities Product: See attached. 4. Name of Underlying Instrument See attached. Securities Product: See attached. 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: See attached. Securities Product: See attached. 6. Ticker Symbol(s) of New Derivative Securities Product: See attached. Securities Product: Trades locked in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product (if applicable): Not applicable. Securities proval to the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated in at Exchange and settled at NSCC. 9. Position Limits of New Derivative Securities Product (if applicable): Not applicable. Part II Executio
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Junc 1 Initial Listing Report 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: BATS Exchange, Inc. Junc 406605 2. Type of Issuer of New Derivative Securities Product (a.g., clearinghouse, broker-dealer, corporation, etc.): See attached. Junc 406605 3. Class of New Derivative Securities Product: See attached. See attached. 4. Name of Underlying Instrument: See attached. See attached. 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: See attached. See attached. 6. Ticker Symbol(s) of New Derivative Securities Product: See attached. See attached. 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: See attached. See attached. 8. Settlement Methodology of New Derivative Securities Product: Trades locked in at Exchange and settled at NSCC. See approved, or has duly delegated its approval to the undersigned for, the listing and trading 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 net derivative securities product according to its relevant trading rules, procedu
Part I Initial Listing Report 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: BATS Exchange, Inc. 10045605 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): See attached. 10045605 3. Class of New Derivative Securities Product: See attached. 10045605 4. Name of Underlying Instrument: See attached. 10045605 5. If Underlying Instrument: See attached. 10045605 6. Ticker Symbol(s) of New Derivative Securities Product: See attached. 10045605 7. Market or Markets Upon Which Securities Product: See attached. 10045605 8. Settement Methodology of New Derivative Securities Product: Trades locked in at Exchange and settled at NSCC. 10045605 9. Position Limits of New Derivative Securities Product (if applicable): Not applicable. 10045605 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 net derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Tami Schademann Tinle: SVP, Chief Compliance Officer Telephone
1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: 10045605 BAT'S Exchange, Inc. 10045605 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): See attached. See attached. 3. Class of New Derivative Securities Product: See attached. See attached. 4. Name of Underlying Instrument: See attached. See attached. 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: See attached. See attached. 6. Ticker Symbol(s) of New Derivative Securities Product: See attached. See attached. 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: See attached. See attached. 8. Settlement Methodology of New Derivative Securities Product: Trades locked in at Exchange and settled at NSCC. 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: Tami Schademann Title: SVP, Chief Compliance Officer
BATS Exchange, Inc. 2. Type of Issuer of New Derivative Securities Product (<u>e.g.</u> , 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. 7. Market or applicable. 7. Part II Execution 7. 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 net derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. 7. Name of Official Responsible for Form: Tami Schademann 7. Title: SVP, Chief Compliance Officer 7. Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tatti Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113 (913) 815-7113
See attached. 6. Tickér 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. 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: Trade: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
 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: Tami Schademann Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
Title: SVP, Chief Compliance Officer Telephone Number: (913) 815-7113
Telephone Number: (913) 815-7113
Manual Signature of Official Responsible for Form
Samara Xahadimann
Date: December, Act ⁰⁹ Securities Exchange Act of 1934
SEC 2449 (6-01) Section 19b-4 Rule 19b-4(e)
Public Availability: DEC - 8 2009

ATTACHMENT TO FORM 19b-4(e) FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EXCHANGE, INC. PURSUANT TO UNLISTED TRADING PRIVILEGES COMMENCING ON DECEMBER 4, 2009

				(7) Market(s) upon	
(6)	(2) Type of			Which Securities	<u>(5) Broad</u>
Ticker	Issuer of		(4) Name of Underlying	Comprising Underlying	<u>or</u>
Symbol	NDSP	(3) Class of NDSP	Instrument	Instrument Trades	<u>Narrow</u>
CHII	Trust	Investment company	S-BOX China Industrials Index	Various world markets	Broad
at the second		units			
сніо	Trust	Investment company	S-BOX China Consumer Index	Various world markets	Broad
		units			
			· · · · · · · · · · · · · · · · · · ·		



RECEIVED 2009 DEC -8 PM 2: 44 SEC / TM

December 7, 2009

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

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

Ms. Jackson,

On behalf of BATS Exchange, Inc., enclosed please find an executed Form 19b-4(e) and 9 copies. The enclosed Form 19b-4(e) contains information regarding two (2) derivative securities products that commenced trading on BATS Exchange on December 4, 2009. Please contact me or Anders Franzon (913.815.7154) if you have any questions in connection with this matter.

Sincerely,

Jamara Schademann

Tami Schademann SVP, Chief Compliance Officer 913.815.7113

Act	Securities Exchange Act of 1934			
Section	<u>19b-4</u>			
Rule	19b-4(e)			
Rule Public Availability:	DEC - 8 2009			

TEL. 913.815.7000 | FAX. 913.815.7119 | 8050 MARSHALL DRIVE, SUITE 120 | LENEXA, KS 66214-1585 | BATSTRADING.COM