

09-17157-1

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2014 MAY 8 PM 12:42  
UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

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SEC / MR  
FORM 19b-4(e)

MAY 8 2014

Washington DC

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



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Part I

Initial Listing Report

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
EDGX Exchange, Inc.
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
See attached.
- Class of New Derivative Securities Product:  
See attached.
- Name of Underlying Instrument:  
See attached.
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
See attached.
- Ticker Symbol(s) of New Derivative Securities Product:  
See attached.
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
See attached.
- Settlement Methodology of New Derivative 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 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: May 7, 2014

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public	
Availability:	MAY 08 2014

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON EDGX EXCHANGE, INC.  
 COMMENCING ON MAY 2, 2014

<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>
QAT	Trust	Investment Company Units	MSCI All Qatar Capped Index	Various World Markets	Broad
UAE	Trust	Investment Company Units	MSCI All UAE Capped Index	Various World Markets	Broad
SUBD	Trust	Investment Company Units	Solactive Subordinated Bond Index	Various U.S. Markets	Broad
VRP	Trust	Investment Company Units	Wells Fargo Hybrid and Preferred Securities Floating and Variable Rate Index	Various World Markets	Broad



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May 7, 2014

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

SEC  
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Section  
MAY 8 2014  
Washington DC  
404

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

Ms. Jackson,

On behalf of EDGX Exchange, Inc., enclosed please find two (2) executed Forms 19b-4(e) and 9 copies. The enclosed Forms 19b-4(e) contain information regarding one (1) derivative securities product that commenced trading on EDGX Exchange on May 1, 2014 and four (4) derivative securities products that commenced trading on EDGX Exchange on May 2, 2014. 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:	MAY 08 2014