

091-17678jm

For Internal Use Only
Sec File No. 9-

RECEIVED

Submit 1 Original
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	August 31, 2010
Estimated average burden hours per response.....	3.60

2014 OCT - 8 PM 12:25
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

SEC / MR

SEC
Mail Processing
Section

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

OCT 7 2014
Washington DC
404

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report



14011029

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:
EDGA 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: October 6, 2014

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 07 2014

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON EDGA EXCHANGE, INC.
 COMMENCING ON OCTOBER 1, 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>
ARKQ	Trust	Investment Company Units	Domestic Equity Securities and U.S. Exchange Traded Foreign Equity Securities	World	Broad
ARKW	Trust	Investment Company Units	Domestic Equity Securities and U.S. Exchange Traded Foreign Equity Securities	World	Broad



RECEIVED

2014 OCT -8 PM 12:34

SEC / MR

October 6, 2014

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

SEC
Mail Processing
Section
OCT 7 2014
Washington DC
404

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

Ms. Jackson,

On behalf of EDGA Exchange, Inc., enclosed please find one (1) 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 EDGA Exchange on October 1, 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(c)
Public Availability:	OCT 07 2014