

091-18307 fm

For Internal Use Only
Sec File No RECEIVED

Submit 1 Original
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	July 31, 2016
Estimated average burden hours per response.	3.60

2014 DEC 29 PM 12:31
SEC / TM

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

FORM 19b-4(e)

SEC
Mail Processing
Section

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

DEC 29 2014
Washington DC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

404

Part I

Initial Listing Report

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



14011908

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: Anders Franzon

Title: VP, Associate General Counsel

Telephone Number: 913-815-7154

Manual Signature of Official Responsible for Form:

Date: December 24, 2014

Act	Securities Exchange Act of 1934
Availability:	DEC 29 2014



RECEIVED

2014 DEC 29 PM 12:31

SEC / TM

SEC
Mail Processing
Section

DEC 29 2014

Washington DC
404

December 24, 2014.

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

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

Ms. Jackson,

On behalf of 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 one (1) derivative securities product that commenced trading on EDGX Exchange on December 24, 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

