

091-21429

For Internal Use Only

Submit 1 Original
and 9 Copies

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

Sec File No. 9- **RECEIVED**

UNITED STATES

2016 OCT 19 PM 5:55

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

SEC / TM

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

Part I

Initial Listing Report

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

Bats EDGX Exchange, Inc.

OCT 19 2016

2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
See Attached.

Washington DC
412

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.

16019547

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 18, 2016

Act	
Securities Exchange Act of 1934	
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 19 2016

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EDGX EXCHANGE, INC.
 COMMENCING ON OCTOBER 17, 2016

<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>
RORE	Trust	Investment Company Units	Lattice Risk-Optimized Real Estate Strategy Index	U.S.	Broad
FLCO	Trust	Investment Company Units	U.S. Dollar Denominated Corporate Debt Securities	World	Broad
WSKY	Trust	Investment Company Units	Spirited Funds/ETFMG Whiskey & Spirits Index	Global	Broad



RECEIVED

2016 OCT 19 PM 5: 55

SEC / TM

SEC
Mail Processing
Section

OCT 19 2016

Washington DC
412

October 18, 2016

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

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

Ms. Ransom,

On behalf of Bats 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 three (3) derivative securities products that commenced trading on Bats EDGX Exchange on October 17, 2016. Please contact me or Tami Schademann (913.815.7113) if you have any questions in connection with this matter.

Sincerely,

Anders Franzon
SVP, Associate General Counsel
913.815.7154

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	OCT 19 2016