

091-17552 fn

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 AUG -7 PM 2:09

SEC / MR

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

SEC  
Mail Processing  
Section

AUG 07 2014

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a  
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934  
Washington DC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM



14010949

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
BATS Y-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.
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: August 6, 2014

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS Y-EXCHANGE, INC.  
 COMMENCING ON JULY 31, 2014

<u>(6)</u> <u>Ticker</u> <u>Symbol</u>	<u>(2) Type of</u> <u>Issuer of</u> <u>NDSP</u>	<u>(3) Class of NDSP</u>	<u>(4) Name of Underlying</u> <u>Instrument</u>	<u>(7) Market(s) upon</u> <u>Which Securities</u> <u>Comprising Underlying</u> <u>Instrument Trades</u>	<u>(5) Broad</u> <u>or</u> <u>Narrow</u>
DIVI	Corporation	Index Linked Notes	Yorkville MLP Distribution Growth Leaders Liquid PR Index	World	Broad



RECEIVED

2014 AUG -7 PM 2:54

SEC / MR

SEC  
Mail Processing  
Section

AUG 07 2014

Washington DC  
404

August 6, 2014

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

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

Ms. Jackson,

On behalf of BATS Y-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 BATS Y-Exchange on July 31, 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:	AUG 07 2014