

091-21883 fm

For Internal Use Only ,
Sec File No. 9-

Submit 1 Original
and 9 Copies

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

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

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

Mail Processing
Section

DEC 21 2016

Part I

Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
Bats BYX Exchange, Inc.

Washington DC
412

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.



16019700

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: SVP, Associate General Counsel

Telephone Number: 913-815-7154

Manual Signature of Official Responsible for Form:

Date: December 20, 2016

Act _____ Securities Exchange Act of 1934

Section 19b-4

Rule 19b-4(f)

Public Availability: DEC 21 2016

RECEIVED
2016 DEC 21 PM 12:43
SEC / TM

ATTACHMENT TO FORM 19b-4(e)
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS BYX EXCHANGE, INC.
 COMMENCING ON DECEMBER 14, 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>
NULG	Trust	Investment Company Units	TIAA ESG USA Large-Cap Growth Index	U.S.	Broad
NULV	Trust	Investment Company Units	TIAA ESG USA Large-Cap Value Index	U.S.	Broad
NUMG	Trust	Investment Company Units	TIAA ESG USA Mid-Cap Growth Index	U.S.	Broad
NUMV	Trust	Investment Company Units	TIAA ESG USA Mid-Cap Value Index	U.S.	Broad
NUSC	Trust	Investment Company Units	TIAA ESG USA Small-Cap Index	U.S.	Broad
DIVO	Trust	Investment Company Units	Prime 5 US Dividend ETF Index	U.S.	Broad
SGQI	Trust	Investment Company Units	SGI Global Quality Income Index	Global	Broad
UWT	Corp	Index Linked Notes	S&P GSCI Crude Oil Index ER	U.S.	Narrow
DWT	Corp	Index Linked Notes	S&P GSCI Crude Oil Index ER	U.S.	Narrow



RECEIVED

2016 DEC 21 PM 12:41

SEC SEC / TM
Mail Processing
Section

DEC 21 2016

Washington DC
412

December 20, 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 BYX Exchange, Inc.

Ms. Ransom,

On behalf of Bats BYX Exchange, Inc., enclosed please find one (1) executed Form 19b-4(e) and 9 copies. The enclosed Form 19b-4(e) contains information regarding nine (9) derivative securities products that commenced trading on Bats BYX Exchange on December 14, 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:	DEC 21 2016