

091-078601

For Internal Use Only  
Sec File No. 9-

Submit 1 Original  
and 9 Copies

OMB APPROVAL	
OMB Number:	3235-0504
Expires:	August 31, 2010
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

Part I

Initial Listing Report



10046487

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
BATS 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: February 23, 2010

RECEIVED  
2010 FEB 25 PM 11:40  
SEC 7

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	FEB 25 2010

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS EXCHANGE, INC.  
 PURSUANT TO UNLISTED TRADING PRIVILEGES COMMENCING ON FEBRUARY 19, 2010

<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>
GMMB	Trust	Investment company units	Actively managed fund	Various U.S. markets	Broad
GMTB	Trust	Investment company units	Actively managed fund	Various U.S. markets	Broad
MUAA	Trust	Investment company units	S&P AMT-Free Municipal Series 2012 Index	Over-the-counter municipal bond market	Broad
MUAB	Trust	Investment company units	S&P AMT-Free Municipal Series 2013 Index	Over-the-counter municipal bond market	Broad
MUAC	Trust	Investment company units	S&P AMT-Free Municipal Series 2014 Index	Over-the-counter municipal bond market	Broad
MUAD	Trust	Investment company units	S&P AMT-Free Municipal Series 2015 Index	Over-the-counter municipal bond market	Broad
MUAE	Trust	Investment company units	S&P AMT-Free Municipal Series 2016 Index	Over-the-counter municipal bond market	Broad
MUAF	Trust	Investment company units	S&P AMT-Free Municipal Series 2017 Index	Over-the-counter municipal bond market	Broad
SDOW	Trust	Investment company units	Dow Jones Industrial Average	Various U.S. markets	Broad
SMDD	Trust	Investment company units	S&P MidCap 400 Index	Various U.S. markets	Broad
SMMU	Trust	Investment company units	Actively managed fund	Over-the-counter municipal bond market	Broad
SRTY	Trust	Investment company units	Russell 2000 Index	Various U.S. markets	Broad
TIPZ	Trust	Investment company units	Merrill Lynch U.S. Inflation-Linked Treasury Index	Various U.S. markets	Broad
UDOW	Trust	Investment company units	Dow Jones Industrial Average	Various U.S. markets	Broad
UMDD	Trust	Investment company units	S&P MidCap 400 Index	Various U.S. markets	Broad
URTY	Trust	Investment company units	Russell 2000 Index	Various U.S. markets	Broad



RECEIVED  
2010 FEB 25 PM 4:40  
SEC / TM

February 23, 2010

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

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

Ms. Jackson,

On behalf of BATS Exchange, Inc., enclosed please find an executed Form 19b-4(e) and 9 copies. The enclosed Form 19b-4(e) contains information regarding sixteen (16) derivative securities products that commenced trading on BATS Exchange on February 19, 2010. 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

<b>Act</b>	<b>Securities Exchange Act of 1934</b>
<b>Section</b>	<b>19b-4</b>
<b>Rule</b>	<b>19b-4(e)</b>
<b>Public</b>	
<b>Availability: FEB 25 2010</b>	