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**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**

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

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

3. Class of New Derivative Securities Product:  
See Attachment A

4. Name of Underlying Instrument:  
See Attachment A



17002298

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
See Attachment A

6. Ticker Symbol(s) of New Derivative Securities Product:  
See Attachment A

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
See Attachment A

8. Settlement Methodology of New Derivative Securities Product:  
Regular way trades settle on T+3 (cash settled)

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:  
Claudia Crowley

COPY

Title:  
Chief Regulatory Officer

Telephone Number:  
646-343-2041

Manual Signature of Official Responsible for Form:

*Claudia Crowley* (m)

Date:  
1/13/17

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	JAN 17 2017

## Attachment A to Form 19b-4(e)

<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>
DIVO	Fund	Index Fund Shares	Prime 5 US Dividend ETF Index	US	Broad
BMLP	Corporation	ETN	DWA MLP Select Index	US	Broad
SPLZ	Fund	Index Fund Shares	Consumer Staples Select Sector Index	US	Broad
UTLZ	Fund	Index Fund Shares	Utilities Select Sector Index	US	Broad
XD	Fund	Index Fund Shares	S&P MidCap 400 Capped Consumer Discretionary Index	US	Broad
XE	Fund	Index Fund Shares	S&P MidCap 400 Capped Energy Index	US	Broad
XF	Fund	Index Fund Shares	S&P MidCap 400 Capped Financials Index	US	Broad
XH	Fund	Index Fund Shares	S&P MidCap 400 Capped Health Care Index	US	Broad
XI	Fund	Index Fund Shares	S&P MidCap 400 Capped Industrials Index	US	Broad
XK	Fund	Index Fund Shares	S&P MidCap 400 Capped Information Technology Index	US	Broad
XM	Fund	Index Fund Shares	S&P MidCap 400 Capped Materials Index	US	Broad
XS	Fund	Index Fund Shares	S&P MidCap 400 Capped Consumer Staples Index	US	Broad
XU	Fund	Index Fund Shares	S&P MidCap 400 Capped Utilities Index	US	Broad
JHMD	Fund	Index Fund Shares	John Hancock Dimensional Developed International Index	Global	Broad
INFR	Fund	Index Fund Shares	RARE Global Infrastructure Index	Global	Broad

## Attachment A to Form 19b-4(e)

NULG	Fund	Index Fund Shares	TIAA ESG USA Large-Cap Growth Index	US	Broad
NULV	Fund	Index Fund Shares	TIAA ESG USA Large-Cap Value Index	US	Broad
NUMG	Fund	Index Fund Shares	TIAA ESG USA Mid-Cap Growth Index	US	Broad
NUMV	Fund	Index Fund Shares	TIAA ESG USA Mid-Cap Value Index	US	Broad
NUSC	Fund	Index Fund Shares	TIAA ESG USA Small-Cap Index	US	Broad
NURE	Fund	Index Fund Shares	Dow Jones U.S. Select Short-Term REIT Index	US	Broad
OUSM	Fund	Index Fund Shares	FTSE USA Small Cap Qual/Vol/Yield 3% Capped Factor Index	US	Broad
COWZ	Fund	Index Fund Shares	US Cash Cows 100 Index	US	Broad
WTIU	Corporation	ETN	Bloomberg WTI Crude Oil Subindex ER	US	Narrow
WTID	Corporation	ETN	Bloomberg WTI Crude Oil Subindex ER	US	Narrow
WBIY	Fund	Index Fund Shares	Solactive Power Factor High Dividend Index	US	Broad