

091-22482 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

SEC  
Mail Processing  
Section  
MAY 16 2017

Part I

Initial Listing Report

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

17002835

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.

Washington DC  
Securities and Exchange  
MAY 16 2017  
RECEIVED

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: May 15, 2017

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	MAY 16 2017

ATTACHMENT TO FORM 19b-4(e)  
 FOR NEW DERIVATIVE SECURITIES PRODUCTS ("NDSPs") TRADED ON BATS BYX EXCHANGE, INC.  
 COMMENCING ON MAY 11, 2017

<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>
LVIN	Trust	Investment Company Units	Hartford Multifactor Low Volatility International Equity Index	Global	Broad
LVUS	Trust	Investment Company Units	Hartford Multifactor Low Volatility US Equity Index	U.S.	Broad
MEXX	Trust	Investment Company Units	MSCI Mexico IMI 25/50 Index	World	Broad
UTSL	Trust	Investment Company Units	S&P Utilities Select Sector Index	U.S.	Broad
DUSL	Trust	Investment Company Units	S&P Industrial Select Sector Index	U.S.	Broad
TPOR	Trust	Investment Company Units	Dow Jones Transportation Average Index	U.S.	Broad
DFEN	Trust	Investment Company Units	Dow Jones US Select Aerospace & Defense Index	U.S.	Broad
CACG	Trust	Investment Company Units	Russell 3000 Growth Index	U.S.	Broad



RECEIVED  
MAY 16 2017  
Securities and Exchange

SEC  
Mail Processing  
Section  
MAY 16 2017  
Washington DC  
412

May 15, 2017

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 eight (8) derivative securities products that commenced trading on Bats BYX Exchange on May 11, 2017. Please contact me 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:	MAY 16 2017