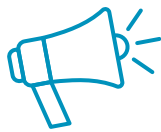


Application Process Guide for ETF Issuers on the Regulated Market of Nasdaq Stockholm

This guide is provided to assist with the application process for new ETF Issuers on Nasdaq Stockholm. This guide should be read in conjunction with the “[Rulebook for Issuers of Exchange Traded Funds](#)” when preparing for an Issuer Application.

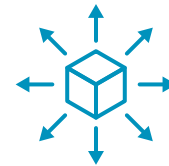
Benefits Of Nasdaq ETF Listing



Brand Visibility



Local Market Expertise



Strong Distribution Channels

The Application Process

The issuer application is submitted and administered via Nasdaq’s Listing Center. Before applying, please review the below checklist and ensure that all documents are submitted.

New Issuer Application

- A signed application, where the company states that it applies to become an issuer of ETFs on Nasdaq
- Certificate of incorporation
- Copy of signed market maker agreement
- A signed undertaking to follow the Rulebook
- Sanctions screening form duly completed
- Permit from the relevant FSA to demonstrate the Issuer possess the necessary authorization(s) from the relevant Financial Supervisory Authority in its home state and be subject to satisfactory supervision by the relevant authority or other authorized body, as defined by Rule 2.3.2 and 2.3.4
- Information brochures, fact sheets, prospectuses or equivalent disclosure documents
- Information policy and explanation of issuer’s financial reporting procedures and capacity for providing information to the market
- Description of post trade arrangements
- Website requirements, inclusion of NAV information and disclosure documents as defined by Rule 3.3.2-3 and 3.7.1-3. If a website is already in place, please provide the name (URL) of the webpage

Instrument Application

As soon as the company is approved as a new issuer, the company will be registered in Nasdaq's Listing Center. The Issuer registers each ETF (all technical information such as ISIN-code, short name etc.) in a listing form (an Excel sheet template). To the listing form should be enclosed for each instrument:

- A signed application from the issuer (please use the form for ETF application)
- Information brochures, fact sheets, prospectuses or equivalent disclosure documents

Useful Links:

[Listing Center](#)

[Nasdaq Rulebooks](#)

[Nasdaq Stockholm ETF Rulebook](#)

[Listing Forms](#)

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