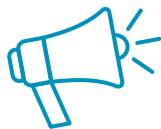


Application Process Guide for ETN and ETC Issuers on the Regulated Market of Nasdaq Stockholm

This guide is provided to assist with the application process for new ETN/ETC issuers on Nasdaq Stockholm. This guide should be read in conjunction with the ["Rulebook for Issuers of Exchange Traded Notes and Exchange Traded Commodities"](#) when preparing for an Issuer Application.

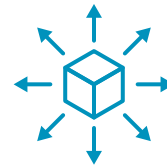
Benefits Of Nasdaq ETN/ETC Listing



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 checklist below and ensure that all documents are submitted. If the underlying for an Exchange Traded Note (ETN) consists of crypto assets Issuers must also ensure compliance with the [Nasdaq Nordic Crypto Guidelines](#), which outline specific requirements regarding asset eligibility, pricing, liquidity, and trading availability. These guidelines should be reviewed and adhered to as part of the listing process.

New Issuer Application

- A signed application, where the company states that it applies to become an issuer of ETN/ETCs on Nasdaq
- Certificate of incorporation
- Copy of market maker agreement
- A signed undertaking to follow the Rulebook
- Sanctions screening form duly completed
- The decision to become an issuer Nasdaq, signed by the members of the board or person(s) authorised to sign for the issuing firm
- Extract from the issuer's relevant register or a similar legally binding document stating the internal delegation of the decision-making concerning issuance of ETN/ETCs as well as the list of people being authorized to apply for issuance of ETN/ETCs

- Information policy and explanation of issuer's financial reporting procedures and capacity for providing information to the market
- Description of post trade arrangements
- Audit report which confirms that the requirements that the collateral is held with an appropriate third party, as per the requirement in Rule 2.3.8(d)

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 ETN/ETC (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 ETN/ETC application)
- Copy of the Final Terms for each ETN/ETC
- Prospectus, information brochures, fact sheet

Useful Links:

[Listing Center](#)

[Nasdaq Rulebooks](#)

[Nasdaq Stockholm ETN/ETC Rulebook](#)

[Listing Forms](#)

[Nasdaq Crypto Index](#)

[Nasdaq Nordic Crypto Guidelines](#)

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