

Listing an ETF on Nasdaq

Timeline

2 Weeks Prior: Issuer submits application for listing and Nasdaq Listing Qualifications Staff begins its review

1 Week Prior: Staff completes its preliminary review and prepares comment letter

When all outstanding items have been submitted:

1 Week Prior: Nasdaq approves application for listing

Week of Listing: Nasdaq approves application for listing

Submitting an Application

- Reserve a symbol with Nasdaq – email ETFs@nasdaq.com
- Reserve a CUSIP and ISIN via www.cusip.com
- Complete required SEC filings
 - Preliminary Registration Statement
 - Final Effective Registration Statement
 - Form 8-A12(b)
- Create a Nasdaq Listing Center Account
- Submit your Nasdaq listing application within the Nasdaq Listing Center* ([Preview 6c-11](#) || [Preview non-6c11](#)) – any information not included in your initial listing application can be submitted to your assigned Nasdaq Listing analyst at a later time, prior to approval
 - Provide [Central Index Key \(CIK\)](#) code, current or reserved trading symbol and [CUSIP](#) so the application pre-populates any existing data
 - Confirm that the fund will be 6c-11 compliant
 - Submit a copy of the CUSIP Bureau's confirmation
 - Provide anticipated number of shares outstanding and price per share
 - Confirm anticipated trade date
 - Provide effectiveness date of the registration statement
 - Confirm whether security is book entry only
 - Provide representation that the NAV for the fund or portfolio will be calculated daily and made available to all market participants at the same time

- Provide confirmation as to whether an IOPV will be calculated for the fund
- Confirm the Designated Liquidity Provider
- Make sure to “save for later” if you plan to complete your application at another time
- Respond to comment letter received from Nasdaq Team highlighting any missing items from your initial application

*Completed forms and supporting documents are stored

Getting the Most Out of Listing with Nasdaq

- Reach out to alison.doyle@nasdaq.com to learn more about Nasdaq’s holistic offering
- Submit your Marketing Materials to ETFMarketing@nasdaq.com or submit them [here](#)
 - Company bio
 - High quality company logo (transparent background)
 - Social Handles (LinkedIn, Twitter, Facebook, Instagram, etc.)
 - Brand guidelines (including color palette)
 - ETF name
 - ETF ticker
 - ETF Description
 - Investment objective, Is it passive or active, if passive which index, etc.
 - Marketing contact
 - Reviewer / Approver of marketing materials
 - Legal counterparty contact
 - PR Contact
 - Speaker headshot
 - Speaker bio
- Sign up for Nasdaq reporting [here](#)
 - [Instructions on SFTP Delivery](#)

Useful Links

[Nasdaq Listing Center](#): Portal for completing listing applications and forms. Also includes information relating to listing on Nasdaq, associated fees, and other useful material.

[Nasdaq Listing Rules](#): Complete rule book regarding Nasdaq listing.

[Nasdaq Electronic Disclosure Submittal Form](#): Form for submitting press releases to Nasdaq’s MarketWatch department.

[Nasdaq Trader](#): Complete information relating to trading on Nasdaq’s markets.

[Nasdaq Governance Center](#): Forum to promote dialogue and exchange ideas across a variety of topics of interest to listed companies.

[Nasdaq ETP Regulation](#): Complete information about the initial and continued listing of ETPs on Nasdaq.

For additional information on Listing Applications, please see our list of [FREQUENTLY ASKED QUESTIONS](#).

