New Launch Checklist

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 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.