

Listing an ETF on Nasdaq

Timeline

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

2 Week Prior: Staff completes its preliminary review and listings qualifications analyst send Supplemental Form

When all outstanding items have been submitted:

Week of Listing: Nasdaq approves application for listing

Submitting an Application *Completed forms and supporting documents are stored

- ☐ 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 by 12pm trading day prior to launch
- ☐ 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 under MY FORMS in the Supplemental Form, 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 trade date, number of shares outstanding, and price per share
 - ☐ Provide effectiveness date of the registration statement
 - ☐ All ETFs are 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
- ☐ Make sure to “save for later” if you plan to complete your application at another time
- ☐ Complete the supplemental form within your MY FORMS tab in the Listing Center with any missing items from your initial application
- ☐ Submit Designated Liquidity Provider (DLP) [here](#)

Getting the Most Out of Listing with Nasdaq

- ☐ Reach out to ETFs@nasdaq.com to learn more about Nasdaq's holistic offering
- ☐ Submit your Marketing Materials to ETFMarketing@nasdaq.com or submit them [here](#)
- ☐ Sign up for Nasdaq data and reporting [here](#)
 - ☐ Rule 6c11website data [here](#)
 - ☐ Schedule a demo [here](#)

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](#).