

Transferring an ETF to Nasdaq

Timeline

Day 1: Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq

3 Weeks Prior: Submit Initial Listings Application & Prepare Additional Documentations

2 Weeks Prior: Submit notification of intent to withdraw, and Board or Certified Resolution authorizing delisting and transfer to Nasdaq to current primary listing exchange

2 Weeks Prior: Issue Press Release (must be released at least 12 calendar days prior to date of transfer)

1 Week Prior: Notify service providers of change in primary listing exchange

1 Day Prior: File Form 25, followed by Form 8-A12(b) via EDGAR

Day of Transfer: File supplement indicating the effectiveness of Nasdaq listing

Submitting an Application

- Prepare application documentation
 - NAV Calculation / Distribution Representation
 - Index Provider Representation (if applicable)
 - Dividend distribution schedule for pending transfers
 - Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq
 - Draft Form 25, 8-A12(b), transfer press release, and Notification of Intent to Withdraw from Current exchange (name of the new listing exchange should be "The Nasdaq Stock Market, LLC")
- 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
 - 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 NAV Calculation / Distribution Representation
- Index Provider Representation (if applicable)
- Dividend distribution schedule for pending transfers
- 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 (for TradeTalks)
 - Speaker bio (for TradeTalks)
- 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](#).

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