

Transferring an ETF to Nasdaq

Timeline

ASAP	Submit Initial Listings Application form through the Listing Center
Day 1	Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq
At Least 12 Calendar Days Prior to Launch	<p>Issue press release and submit to current listing exchange:</p> <ol style="list-style-type: none"> Notification of intent to withdraw from current exchange Board or Certified Resolution authorizing delisting and transfer to Nasdaq
Prior to Launch	Email dividend distribution schedule for pending transfers to dividends@nasdaq.com (if applicable)
Prior to Launch	<p>Submit forms through the Listing Center:</p> <ol style="list-style-type: none"> Listing Agreement and 2. Corporate Governance
Prior to Launch	Notify service providers of change in primary listing exchange
1-2 Days Prior (10 Days Post Press Release)	File Form 25 - CANNOT be more than 10 calendar days before Transfer date
1 Day Prior to Launch	By 2pm: File the Form 8-A12(b) AFTER the Form 25 is filed
Day of Transfer	File prospectus supplement/sticker indicating the effectiveness of Nasdaq listing

Submitting an Application *Completed forms and supporting documents are stored

- Prepare documentation
 - Email dividend distribution schedule for pending transfers to dividends@nasdaq.com
 - 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 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 Confirm anticipated trade date
- 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
- Submit ETP Dividend Schedule Form and ETP Dividend Rates Form within the Listing Center after your transfer begins trading on Nasdaq
- 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 brand 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](#).