

# Transferring an ETF to Nasdaq

## Timeline

<b>ASAP</b>	Submit Initial Listings Application form through the <a href="#">Listing Center</a>
<b>Day 1</b>	Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq
<b>At Least 12 Calendar Days Prior to Launch</b>	Issue press release and submit to current listing exchange: 1. Notification of intent to withdraw from current exchange 2. Board or Certified Resolution authorizing delisting and transfer to Nasdaq
<b>Prior to Launch</b>	Email dividend distribution schedule for pending transfers to <a href="mailto:dividends@nasdaq.com">dividends@nasdaq.com</a> (if applicable)
<b>Prior to Launch</b>	Submit forms through the <a href="#">Listing Center</a> : 1. Listing Agreement and 2. Corporate Governance
<b>Prior to Launch</b>	Notify service providers of change in primary listing exchange
<b>1-2 Days Prior (10 Days Post Press Release)</b>	File Form 25 - CANNOT be more than 10 calendar days before Transfer date
<b>1 Day Prior to Launch</b>	By 2pm: File the Form 8-A12(b) AFTER the Form 25 is filed
<b>Day of Transfer</b>	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](mailto: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](mailto:ETFS@nasdaq.com) to learn more about Nasdaq's holistic offering
- ☐ Submit your brand materials to [ETFMarketing@nasdaq.com](mailto: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](#).