

Company Event Notification Form

Record Id:

The user may elect to complete this online form all at once or in stages, entering and updating information over a period of time. The program will permit users to update the form and upload additional documents as long as the Form Status is "Open" (i.e., pending review by Nasdaq Staff).

Questions concerning this form should be directed to Corporate Data Operations at 1 877 308 0523.

GENERAL COMPANY INFORMATION

Company Name *

Contacts

Please provide information for both a primary and an alternative contact for the purpose of processing this form. In addition, Nasdaq recommends that you share access to this form with at least one other company or legal representative by entering their email address on our Share Your Form page.

**Note that the system will immediately send an email to any contacts with whom you have shared this form, even if the form has not yet been submitted.

Company Contact *

Additional Contact *

Name *

Title/Firm

Phone *

Email *

Primary Contact *

☐☐

Type of Change

The information required by the Exchange varies depending on the type of event being reported.

Is the Company reporting a change on this form in conjunction with a Listing Application for a Company Conducting a Business Combination that Results in a Change of Control? *

☒ Yes ☐ No

If yes, please note that this Company Event Form is not required to be submitted. Only the Listing Application for a Change of Control transaction is required. Please contact Listing Qualifications at +1 301 978 8008 if you have any questions about which form to complete.

Multiple events may be reported in one form provided that the effective date for these changes is the same. With this in mind, select all events that apply:

☒ Section 1. Change in Company Name

A new Listing Agreement reflecting the company's NEW name must also be completed when submitting a name change. This form can be completed using the button at the top of this page.

Current

New *

Company Name

☒ Section 2. Change in Trading Symbol, CUSIP, Security Type, Par Value and/or Underlying Index/Portfolio/Reference Asset

☒ Change in Trading Symbol

If a symbol reservation request has not already been submitted, Nasdaq recommends that a user complete a [Symbol Reservation Request](#) prior to submission of this form.

☒ Change in Security Type and/or Par Value

☒ Change in CUSIP

☒ Change in Underlying Index/Portfolio/Reference Asset

Current	New
Issue #1- Name	
Symbol	
CUSIP	
Security Type	
Par Value	
Par Value Currency	United States Dollars
Underlying Index/ Portfolio/ Reference Asset	

☒ Section 3. Change in Place of Incorporation or Organization

Current	New *
State	
Country	
Has the Company filed new articles of incorporation with the applicable state or country regulatory body? * <input checked="" type="radio"/> Yes <input type="radio"/> No	
Name of Regulatory Body	Filing Date
When will filing be made?	

☒ Section 4. Reverse Split

The form and all supporting documentation must be received by 12:00 ET five business days prior to the proposed market effective date.

Please refer to Nasdaq Rule 5250(e)(7) regarding requirements for effecting a reverse split.

A Company conducting a reverse split is required to notify Nasdaq of the reverse split no later than 12 p.m. ET at least five (5) business days prior to the proposed market effective date of the split, in accordance with Rule 5250(e)(7). The Company is also required to provide Nasdaq with a copy of their draft public disclosure within the same time frame. Further, the Company must provide, in accordance with Rule 5250(b)(4), public disclosure of the reverse split no later than 12 p.m. ET at least two (2) business days prior to the proposed market effective date of the reverse split, and notice of such disclosure to Nasdaq's MarketWatch Department, at least 10 minutes prior to public announcement if the public release of the material information is made between 7:00 a.m. to 8:00 p.m. ET. If the public release of this information is made outside the hours of 7:00 a.m. to 8:00 p.m. ET, the company must notify MarketWatch of the material information prior to 6:50 a.m. ET. The prior notice of this disclosure must be made to the MarketWatch Department through the electronic disclosure submission system available at www.nasdaq.net, except in emergency situations, as described in IM-5250-1, when notification may instead be provided by telephone or facsimile. Nasdaq will not process the reverse split until the above requirements have been satisfied, and will halt trading in the security of any issuer that effects a reverse split without meeting the requirements set forth in Rules 5250(b)(4) and (e)(7).

NOTE: A new CUSIP number is required for a reverse split. The new CUSIP number must be made eligible at The Depository Trust Company (DTC). The issuer's transfer agent should reach out to DTC directly to ensure this is secured in a timely manner prior to the anticipated effective date. Evidence of eligibility confirmation from DTC must be uploaded with submission of this form. Please consult with DTC directly (mandatoryreorgannouncements@dtcc.com) regarding timing of eligibility to ensure confirmation can be provided in advance of the market effective date and submitted no later than 12:00 p.m. ET at least five (5) business days prior to the proposed market effective date, as outlined in the rule.

Under Nasdaq Rules 4120(a)(14) and 4753(b), Nasdaq will halt trading at approximately 7:50 p.m. ET on the day immediately before the market effective date of a reverse stock split, and generally will re-open the security for trading at approximately 9:00 a.m. ET on the effective day of a reverse split.

Issue Symbol: *

Issue Description: *

Current CUSIP: * New CUSIP: *

Is Board Approval Required to Effect this Reverse Split? * ☒ Yes ☐ No

Date of Board Approval: *

Is Shareholder Approval Required to Effect this Reverse Split? *

☒ Yes ☐ No

Date Shareholder approval was obtained : *

Definitive Split Ratio Approved by Board/Shareholders: *

1-for-

Method of Settling Fractional Shares: *

Date DTC Made New CUSIP Eligible: *

Current Shares Outstanding (TSO): *

Post Split Shares Outstanding (TSO): *

Current Par value: *

Is there a Par Value change associated with this Reverse Split? *

☒ Yes ☐ No

Post split Par Value : *

Post Split Insider Holding Amount: *

Post Split number of publicly held shares: *

Does the Reverse Split impact any other related securities that are publicly traded? *

☒ Yes ☐ No

Transfer Agent Contacts:

Firm Name:

Contact Name/Title:

Phone:

Email:

Explain any conditions that must be met for the reverse split to be effective:

What is required to be filed to complete the split (amendment to articles of incorporation, etc)?

When will all legal filings be filed to effect the split ? Please note that time reflects EST. *

DATE: TIME:

What is the expected market effective date of the Reverse Split (as of the opening of business)? *

DATE:

When will the final details of the reverse split be disclosed via a Regulation FD compliant method? Please note that time reflects EST. *

DATE: TIME:

The following documents will need to be uploaded with the submission of this form:

Legal filings which will be filed to effect the reverse split (if applicable) (MS Word and PDF) *


No files attached

A copy of draft public disclosure (MS Word and PDF) *

No files attached

DTC email confirmation for new CUSIP (PDF only) *

No files attached

☒ Section 5. Other Type of Substitution Listing Event 

Describe the type of issuance/reason for change and the expected effective date. *

Explain any conditions which must be met for the transaction(s) to become effective. *

Specify the details pre and post transaction. *

Are there any changes to the voting rights or equity participation rights associated with this transaction? * ☒ Yes ☐ No

Please contact Listing Qualifications at +1 877 536 2737 or +1 301 978 8008 to discuss this issue BEFORE submitting this form.

☒ Section 6. Event Requiring an Updated Corporate Governance Certification or Listing Agreement

A new Certification Form or Listing Agreement can be completed using the buttons at the top of this page.

Briefly describe the reason for the update (e.g., ceased being a controlled company, no longer a foreign private issuer). *

☒ Section 7. Annual ETP Certification ([Show](#))

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

☒ Section 8. Quarterly ETP Data Uploads ([Show](#))

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

Quarterly Upload Due Date

☒ Section 9: Annual Certification for Exchange Traded Fund Shares ([Show](#))

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

☒ **Section 10. Board Diversity Disclosure**

Companies may provide the Board Diversity Matrix on their website, in their proxy statement or information statement, or, if the Company does not file a proxy, in its Form 10-K or 20-F. Companies electing to provide this disclosure on their website must also provide a URL link.

The first year a company is required to disclose board diversity statistics, the company is required to publish board diversity statistics for the current year only.

Disclosure Date *

URL Location of Board Diversity
Matrix *

Each subsequent year, the company is required to publish its data for the current year and prior year. If the immediately prior year data is publicly disclosed elsewhere (i.e., a proxy statement, information statement or company website), then the company can choose to disclose the current year data only.

Matrix Location for the Prior Year *

URL Location of Board Diversity
Matrix for the Prior Year

CUSIP Information

Has the company obtained a new CUSIP number as a result of the change(s) being reported?

This information can be provided by selecting the box for Section 2 above.

If you answered "No" above, please provide confirmation that the Company has advised the CUSIP Bureau of the pending change(s) and has confirmed that a new CUSIP is not necessary. This information can be uploaded under the Supporting Documents section of this form.

If you answered "Do Not Know" above, please contact the CUSIP Service Bureau at 212-438-6500 to advise them of the pending change and determine if a new number is necessary.

For more information, please contact the CUSIP Service Bureau at 212-438-6500.

Comments

Please provide any explanatory comments that may help Staff process this form.

Annual Certification *

- ☐ By selecting this box, I hereby certify that for the fiscal year ended that the company has discovered no instances of material non-compliance with the description of the fund's portfolio and limitations on fund portfolio holdings described in the fund's 19b-4 application, other than those instances for which the fund has (a) previously notified Nasdaq and/or (b) regained compliance within the applicable cure or compliance period.

Annual Certification *

- ☐ By selecting this box, I hereby certify that as of the fiscal year end above, each Fund included in this form (as indicated by the checking of the "Complete Certification for this Issue" box) complies with the conditions of Rule 6c-11 under the Investment Company Act of 1940 ("Rule 6c-11") and has discovered no instances of material non-compliance with the conditions of Rule 6c-11, other than those instances for which each fund has (a) previously notified Nasdaq and/or (b) regained compliance within the applicable cure or compliance period.

Component List Provided as of * [Download Component Template](#)

ATTACH SUPPORTING DOCUMENTS

To facilitate the review process, please provide the following information and attach any supporting documents electronically, as applicable. The Listing Center will allow you to provide this information and submit it to Nasdaq at any time during the process.

If the action resulted in the Company receiving a new SEC File Number, please provide.

If the action resulted in the Company receiving a new Central Index Key (CIK) code, please provide.

If a new CUSIP was not required in this instance, please provide confirmation that the Company has advised the CUSIP Bureau of this change and confirmed that a new CUSIP was not necessary. A confirmation is required for all changes, except trading symbol changes. *

Uploading documents for submission is easy:

Select documents using the "Browse" button. To attach multiple documents, hold CTRL key while making the selection. Documents should be provided using one of the following formats: **MS Word, MS Excel, JPEG or PDF**.

AFFIRMATION

User Id

Name *

Title/Firm *

Date *

Initials *

I have been authorized by the Company and have the legal authority to provide information on the Company's behalf; to the best of my knowledge and belief, the information provided is true and correct as of this date; and I will promptly notify Nasdaq of any material changes. I understand that the Company has a continuing duty to update Nasdaq whenever there is an addition to or change in information previously furnished.

Form Created By: on ; Form Last Updated By on , Form Owned By:

* Indicates a field required for submission.