Creating the Listing Application

**Step 1:** Create a user account by clicking **Create new user account.**

If you already have an account, please proceed to Step 2.

Enter the email to be associated with the account, review the terms and conditions and click **CREATE USER**

The system will send an email requesting that the email address be validated. Please click the link and follow the steps to complete the registration. A second email will be sent once registration is complete.
**Step 2:** Once logged into your account, click **CREATE NEW FORM**

**Step 3:** Select **Listing Center** [U.S. Market: NASDAQ]

**Step 4:** I am completing a form on behalf of a company
- Currently listed on Nasdaq
- Applying to list on Nasdaq

**Step 5:** I would like to complete:
- Company Logo Submission Form
- Hearing Request Form
- Listing Application
- Rule Interpretation Request Form

**Step 6:** I would like to complete a listing application for:
- Seasoned Company, Company Switching from Another U.S. Market, OR Company Seeking to List Securities Already Trading on a Foreign Market without a Public Offering
- Company Conducting an Initial Public Offering or Distribution Spinoff
- Company Seeking Dual Listing on NASDAQ and another U.S. Exchange
- Company Seeking to List an Exchange-Traded Fund or Other Structured Product

**Step 7:** Is this the first product to be listed on Nasdaq by your organization or trust? *
- Yes
- No

Choose “Yes” if the trust does not have any products currently listed on Nasdaq. If “Yes” is chosen, the following will appear:

Please note that a Corporate Governance Certification Form and Listing Agreement must be submitted in the name of the trust.

Issuers registered under the Investment Company Act of 1940 (the “40 Act”) are not required to submit a Corporate Governance Certification.
Step 8: How many products will be included in this application?*

Multiple products issued by the same trust may be included regardless of launch date.

Step 9: Central Index Key (CIK) 1*

If you do not know the trust's CIK, you can look it up here.

Step 10: Enter the following LETTER code.*

Generate New Image

Step 11: Click ENTER
Completing the Listing Application

Fields that contain a (\(^{*}\)) indicate that it is required for submission.

Section 1: GENERAL COMPANY INFORMATION

Enter as much information as possible. If this is not the issuers first Nasdaq listing, certain information will be pre-populated. Please check this information for accuracy.

Any information not provided upon the initial submission can be provided directly to the assigned Nasdaq analyst during the application process.

Section 2: OFFERING AND SECURITY INFORMATION

Enter as much information as possible. The following fields are necessary to begin processing the application:

- **Product Type**  
  Product types are consistent with the Nasdaq listing rules.

<table>
<thead>
<tr>
<th>Nasdaq Rule Product Type</th>
<th>Industry Equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Index Fund Shares</td>
<td>ETF (Passive)</td>
</tr>
<tr>
<td>Managed Fund Shares</td>
<td>ETF (Active)</td>
</tr>
<tr>
<td>Linked Securities</td>
<td>ETN</td>
</tr>
</tbody>
</table>

- **Product Symbol**  
  If a symbol has not been reserved, please contact Nasdaq staff to complete a reservation. If a symbol has not been chosen, please enter “XXXX” and notify Nasdaq staff once a symbol has been chosen.

- **Product CUSIP**  
  If the CUSIP is not yet available, please enter any 9 alpha-numeric characters (e.g. 999999999)
Investment Objective

Check the box if the product is subject to SEC approval of a 19b4 rule proposal.

Section 3: BOARD MEMBER INFORMATION

Enter Board Member Information

Note: Issuers registered under the Investment Company Act of 1940 (the “40 Act”) are not required to submit this information.

Section 4: REGULATORY PROCEEDINGS/LITIGATION

Complete Parts 1 & 2

Note: Issuers registered under the Investment Company Act of 1940 (the “40 Act”) are not required to submit this information.

Section 5: ATTACH SUPPORTING DOCUMENTS AND FEE PAYMENT INFORMATION

Index Data Template

Click [DOWNLOAD INDEX DATA TEMPLATE] and once you have selected the document click [UPLOAD]

Click [Browse] and once you have selected the document click [UPLOAD]

Note: For passive ETFs and ETNs, if the issuer is not the index provider, please send the component file directly to the analyst after submitting the application. All other product types should complete and submit the template with the application.

Fund/Index Provider Representation

Click [Browse] and once you have selected the document click [UPLOAD]

Calculation/ Distribution Representation

Click [Browse] and once you have selected the document click [UPLOAD]
Fee Payment Information

Enter the requested information regarding payment of the application fee. If this is not available at the time of submission, leave this section blank and notify Nasdaq staff.

Section 6: AFFIRMATION

Sign the application

Click SUBMIT FORM NOW and your application is complete!

If you want to save the application and submit it later click SAVE FOR LATER

Once the application has been submitted and logged by Nasdaq, the issuer will receive an email confirming submission and including contact information for the assigned analyst. Please note that once submitted, the application may not be updated. Any updates after submission should be sent directly to the assigned analyst.