

Listing Application - For Listing of Exchange Traded Funds (Rule 6c-11 ETFs)

Record Id:

GENERAL COMPANY INFORMATION

Firm/Trustee Name *

Address of Principal Executive Offices *

Address Line 2

City/Province *

State ▼

Zip/Postal Code *


Country * ▼


Phone *

Website

State of Incorporation ▼

Country of Incorporation * ▼

Date of Incorporation 

Operations Start Date 



SEC File Number

Central Index Key (CIK) Code *

Company Description

Market Choice

If approved, Exchange Traded Funds will be traded on the Nasdaq Global Market.

Application Contacts

Please provide at least one contact for the purposes 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.

Sponsor *

Outside Legal Counsel

Other Contact

Contact Name *

Contact Name

Contact Name

Firm Name

Firm Name

Phone *

Phone

Phone

Email *

Email

Email

Address

Address Line 2

City/Province

State

Postal/Zip Code

Country

Primary Contact *

Nasdaq will conduct all communications with respect to the applicant with the designated primary contact.

Billing Information

Name *

Title/Firm

Phone *

Email *

Invoices will be sent electronically UNLESS you check this box.

Billing Address

Use address of principal executive offices listed above for billing.

Address *

Address2

City *

State

Province

Postal/Zip Code

Country *

Investment Advisor

Sponsor

Investment Advisor

Trustee

Sub-Advisor

Firm Name

Firm Name

Firm Name

Firm Name

Primary Contact

Primary Contact

Primary Contact

Primary Contact

Telephone

Telephone

Telephone

Telephone

Email

Email

Email


Email

Designated Liquidity Provider

Firm Name

Contact Name

Telephone

 Transfer Agent

Firm Name

OFFERING AND SECURITY INFORMATION

Product 1

Product Type

Exchange Traded Fund Shares

Product Symbol *

Product CUSIP *

Fund Type *

Product Name

Product Fiscal Year End *



Anticipated number of shares outstanding prior to trading

Shares per Creation Unit

Anticipated price per share

\$

Expected Date of Initial Trading





Fund Inception Date *



Leverage Factor (%), if any %

Entity that will calculate and disseminate the Intraday Portfolio or Reference Asset Value ▼

Expected Effective Date of the registration statement 

Expected closing date of the initial distribution 

Will the CUSIP be DTC eligible upon the commencement of trading? Yes No

Is the Security Book Entry Only? ▼

I hereby certify that I have consulted with the portfolio manager and chief compliance officer and based on that consultation I further certify that upon listing on Nasdaq, each Fund listed above (check all that apply):

- 1 Will comply with the conditions of Rule 6c-11 under the Investment Company Act of 1940 ("Rule 6c-11") and are eligible to operate in reliance on Rule 6c-11 *
- 2 Will have adopted and implemented written policies and procedures that govern the construction of baskets and the process that will be used for the acceptance of baskets **AND** *
- 2a Such written policies and procedures include: 1) detailed parameters for the construction and acceptance of custom baskets that are in the best interests of the exchange-traded fund and its shareholders, including the process for any revisions to, or deviations from, those parameters and 2) the titles or roles of the employees of the exchange-traded fund's investment adviser who are required to review each custom basket for compliance with the parameters noted above.
- 2b Each Fund does not intend utilize a custom basket. Please note that if the fund(s) decide to utilize a custom basket, the fund(s) must submit an updated certification.
- 3 Will not comply with the conditions of Rule 6c-11 AND will be relying on an SEC exemptive relief order that will not be automatically rescinded in connection with Rule 6c-11.

Broker Dealer Certification

I hereby certify that I have consulted with the portfolio manager and chief compliance officer and based on that consultation I further certify the following for each Fund listed above upon listing on Nasdaq:

Active Funds

The Reporting Authority that provides the Fund's portfolio and personnel who make decisions on the Fund's portfolio composition has implemented and will maintain, or be subject to, procedures designed to prevent the use and dissemination of material non-public information regarding the portfolio. *

If the investment adviser to the Fund(s) is affiliated with a broker-dealer, please certify the following by checking the box below:

The investment adviser to the Fund(s) is affiliated with a broker-dealer, such investment adviser has erected and will maintain a "fire wall" between the investment adviser and the broker-dealer with respect to access to information concerning the composition and/or changes to the underlying portfolio. *

Passive Funds

Any advisory committee, supervisory board, or similar entity that advises a Reporting Authority (as defined in Nasdaq Rule 5704(a)(1)(C)) or that makes decisions on the index composition, methodology and related matters, has implemented and will maintain, or be subject to, procedures designed to prevent the use and dissemination of material non-public information regarding the applicable index. *

If an index underlying the Fund(s) is maintained by a broker-dealer or fund adviser, please certify the following by checking the box below:

The broker-dealer or fund adviser has erected and will maintain a "fire wall" around the personnel who have access to information concerning changes and adjustments to the index and the index shall be calculated by a third party who is not a broker-dealer or fund adviser;*

i BOARD MEMBER INFORMATION

Provide each board member's full legal name (first, middle and last), date of birth or age, and committee assignments, and indicate whether the director is independent, as defined in [Listing Rule 5605](#).

! Incomplete information or inaccurate spelling can delay processing of your application so please ensure that all names entered reflect the person's full legal name and are spelled correctly.

[Add a New Director](#)

Number of Directors on Board: **0**

Number of Independent Directors on Board: **0**

Number of Directors on Audit Committee: **0**

Number of Independent Directors on Audit Committee: **0**

The fact that an applicant may meet Nasdaq's numerical guidelines does not necessarily mean that its application will be approved. In connection with the review of any application, and as set forth in the Nasdaq Listing Rules, Nasdaq reserves the right to request additional information or documentation, public or non-public, deemed necessary to make a determination regarding a security's qualification for initial inclusion, including, but not limited to, any material provided to or received from the Securities and Exchange Commission or other regulatory authority.

i ADDITIONAL REPRESENTATIONS

Fund/Index Provider Representation

I hereby certify that I have consulted with the portfolio manager and chief compliance officer of the fund(s) and based on that consultation I further acknowledge and represent any advisory committee, supervisory board, or similar entity that advises or makes decisions on the index or portfolio composition, methodology and related matters, must implement and maintain, or be subject to, procedures designed to prevent the use and dissemination of material non-public information regarding the applicable index.*

Calculation/Distribution Representation

I hereby certify that I have consulted with the portfolio manager and chief compliance officer of the fund(s) and based on that consultation I further acknowledge and represent that the net asset value (or equivalent value) for the fund(s) or portfolio will be calculated daily and will be made available to all market participants at the same time.*

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.

Applicants have a continuing duty to update responses to each of the questions on this application 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.