

## Listing Application - For Listing Structured Products

Record Id:

### GENERAL COMPANY INFORMATION

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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 or Structured Products 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

Trustee

Sub-Advisor

Firm Name

Firm Name

Firm Name

Primary Contact

Primary Contact

Primary Contact

Telephone

Telephone

Telephone

Email

Email

Email

 Transfer Agent

Firm Name

## OFFERING AND SECURITY INFORMATION

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### Product 1

Product Type \*



Product Symbol \*

Product CUSIP \*

Product Name

Product Fiscal Year End



Anticipated number of shares outstanding prior to trading

Shares per Creation Unit

Anticipated price per share

\$

Anticipated Beneficial Shareholders (after the offering)

Expected Date of Initial Trading



Fund Inception Date



Is the security traded in \$1,000 denominations?  Yes  No

Is the security non-convertible debt?  Yes  No

Is the security redeemable at the option of the holders on at least a weekly basis?  Yes  No

Market of issuer's primary security



Symbol of issuer's primary security

What is the term (in years) of the security?

Expiration Date \*



Is the security exchangeable?  Yes  No

Symbol of Underlying Security

CUSIP of Underlying Security

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

Will the stock certificates contain any restrictive legends?  Yes  No

If yes, please describe.

Is the investment adviser a registered broker-dealer or affiliated with a broker-dealer?

Is the Security Book Entry Only?

Is the index maintained by a broker-dealer?  Yes  No

For actively managed funds, is the investment adviser affiliated with a broker-dealer?  Yes  No

### Investment Objective

Description of Investment Objective and asset allocation

### Underlying Index or Reference Asset Information

Type of Underlying Instrument

Name of Underlying Index or Reference Asset

Index Symbol

Index Provider

Number of Components

Types of Securities Included in Index:

- Domestic (U.S.) Equity Only
- International or Global Equity
- Global & Domestic Equity
- Fixed Income
- Other


Please describe

Please check this box only if you are listing this product following the approval of a 19b-4 rule proposal.

By selecting this box, I hereby certify that I have consulted with the portfolio manager and chief compliance officer and based on that consultation I further certify that as of the launch date of this product, the product will be in compliance with the description of the portfolio and limitations on portfolio holdings described in the product's 19b-4 application and to the extent practicable during the product's initial investment period.

## BOARD MEMBER INFORMATION

Provide each board member's name (first and last), committee assignments and indicate whether each director member 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.

## ATTACH SUPPORTING DOCUMENTS


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### **Index Data Template**

Following submission of the Listing Application, applicants that are seeking to list an index-based (passive) product must have the index provider submit the data requested in the Index Data Template directly to the analyst assigned to review the application.

[Download Index Data Template](#)

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 or PDF.**


Click the icon to upload. 

**No files attached**

### **Fund/Index Provider Representation**

Attach a representation from the fund or index provider (as applicable) that "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".

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 or PDF.**


Click the icon to upload. 

**No files attached**

### **Calculation/Distribution Representation**

Attach a representation 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.

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 or PDF.**

Click the icon to upload. 

**No files attached**

## AFFIRMATION

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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.