

Supplemental Information Request Form

Application Id:
Record Id:

Form Created By: on ; Form Owned By:

Thank you for submitting an application to list the Company's common stock on The Nasdaq Global Market. If you have questions about the status of this application, please contact your listings analyst, , at or via email at . In connection with such application and in accordance with Marketplace Rule 5205(e), Staff has the following requests:

TRUST INFORMATION

Trust Name

If this form should be shared with any contacts other than the names included in the Listing Application, please provide the information below. Please note, these individuals will have full access to the Company's Comment Letter.

Sponsor *	Outside Legal Counsel	Other Contacts
Contact Name *	Contact Name	Contact Name
	Firm Name	Firm Name
Phone *	Phone	Phone
Email *	Email	Email

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? ▼

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

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

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;*

ADDITIONAL INFORMATION


To facilitate the review process, please submit supporting documentation electronically. You can submit additional documentation for your form at any time during the review process.

Click the icon to upload. 

No files attached

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.

ATTACH SUPPORTING DOCUMENTS

In addition to a completed Listing Application, prior to approval, Nasdaq will require additional information and supporting documentation. Documentation will vary depending on the type of application you are submitting. Please review our [Supporting Documentation Guidelines](#). These guidelines, presented by application type, list the specific documents Nasdaq will require prior to approval for your specific application type. Required documentation must be provided prior to approval, but is not required at the time of original submission.

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.

If this is this Trust's first time listing an issue on the Nasdaq Stock Market, please submit the Listing Agreement and Corporate Governance forms.

Submit an executed Listing Agreement through the Nasdaq Listing Center . 

Submit an executed Corporate Governance Certification Form through the Nasdaq Listing Center . 

Submit a copy of the CUSIP Bureau's confirmation for the securities to be listed.

Click the icon to upload. 

No files attached

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.

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

* Indicates a field required for submission.