

# Listing an ETF on Nasdaq

## Timeline

**2 Weeks Prior:** Issuer submits application for listing and Nasdaq Listing Qualifications Staff begins its review

**1 Week Prior:** Staff completes its preliminary review and prepares comment letter

**When all outstanding items have been submitted:**

**1 Week Prior:** Nasdaq approves application for listing

**Week of Listing:** Nasdaq approves application for listing

## Submitting an Application

- Reserve a symbol with Nasdaq – email [ETFs@nasdaq.com](mailto:ETFs@nasdaq.com)
- Reserve a CUSIP and ISIN via [www.cusip.com](http://www.cusip.com)
- Complete required SEC filings
  - Preliminary Registration Statement
  - Final Effective Registration Statement
  - Form 8-A12
- Create a Nasdaq Listing Center Account
- Submit your Nasdaq listing application within the Nasdaq Listing Center\* ([Preview 6c-11](#) || [Preview non-6c11](#)) – any information not included in your initial listing application can be submitted to your assigned Nasdaq Listing analyst at a later time, prior to approval
  - Provide [Central Index Key \(CIK\)](#) code, current or reserved trading symbol and [CUSIP](#) so the application pre-populates any existing data
  - Confirm that the fund will be 6c-11 compliant
  - Submit a copy of the CUSIP Bureau's confirmation
  - Provide anticipated number of shares outstanding and price per share
  - Confirm anticipated trade date
  - Provide effectiveness date of the registration statement
  - Confirm whether security is book entry only
  - Provide representation that the NAV for the fund or portfolio will be calculated daily and made available to all market participants at the same time

- Provide confirmation as to whether an IOPV will be calculated for the fund
- Confirm the Designated Liquidity Provider
- Make sure to “save for later” if you plan to complete your application at another time
- Respond to comment letter received from Nasdaq Team highlighting any missing items from your initial application

\*Completed forms and supporting documents are stored

## Getting the Most Out of Listing with Nasdaq

- Reach out to [alison.doyle@nasdaq.com](mailto:alison.doyle@nasdaq.com) to learn more about Nasdaq’s holistic offering
- Submit your Marketing Materials to [ETFMarketing@nasdaq.com](mailto:ETFMarketing@nasdaq.com) or submit them [here](#)
  - Company bio
  - High quality company logo (transparent background)
  - Social Handles (LinkedIn, Twitter, Facebook, Instagram, etc.)
  - Brand guidelines (including color palette)
  - ETF name
  - ETF ticker
  - ETF Description
    - Investment objective, Is it passive or active, if passive which index, etc.
  - Marketing contact
  - Reviewer / Approver of marketing materials
  - Legal counterparty contact
  - PR Contact
- Sign up for Nasdaq data and reporting [here](#)
  - Rule 6c11website data [here](#)
  - Schedule a demo [here](#)

## Useful Links

[Nasdaq Listing Center](#): Portal for completing listing applications and forms. Also includes information relating to listing on Nasdaq, associated fees, and other useful material.

[Nasdaq Listing Rules](#): Complete rule book regarding Nasdaq listing.

[Nasdaq Electronic Disclosure Submittal Form](#): Form for submitting press releases to Nasdaq’s MarketWatch department.

[Nasdaq Trader](#): Complete information relating to trading on Nasdaq’s markets.

[Nasdaq Governance Center](#): Forum to promote dialogue and exchange ideas across a variety of topics of interest to listed companies.

[Nasdaq ETP Regulation](#): Complete information about the initial and continued listing of ETPs on Nasdaq.

For additional information on Listing Applications, please see our list of [FREQUENTLY ASKED QUESTIONS](#).

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