

# Transferring an ETF to Nasdaq

## Timeline

**Day 1:** Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq

**3 Weeks Prior:** Submit Initial Listings Application & Prepare Additional Documentations

**2 Weeks Prior:** Submit notification of intent to withdraw, and Board or Certified Resolution authorizing delisting and transfer to Nasdaq to current primary listing exchange

**2 Weeks Prior:** Issue Press Release (must be released at least 12 calendar days prior to date of transfer)

**1 Week Prior:** Notify service providers of change in primary listing exchange

**1 Day Prior:** File Form 25, followed by Form 8-A12(b) via EDGAR

**Day of Transfer:** File supplement indicating the effectiveness of Nasdaq listing

## Submitting an Application

- Prepare application documentation
  - NAV Calculation / Distribution Representation
  - Index Provider Representation (if applicable)
  - Dividend distribution schedule for pending transfers
  - Obtain board or Certified Resolution to authorize delisting from current exchange and authorize listing on Nasdaq
  - Draft Form 25, 8-A12(b), transfer press release, and Notification of Intent to Withdraw from Current exchange (name of the new listing exchange should be "The Nasdaq Stock Market, LLC")
- 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
  - 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 NAV Calculation / Distribution Representation
- Index Provider Representation (if applicable)
- Dividend distribution schedule for pending transfers
- 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.