

**Company Event Notification Form**

Record Id:

The user may elect to complete this online form all at once or in stages, entering and updating information over a period of time. The program will permit users to update the form and upload additional documents as long as the Form Status is "Open" (i.e., pending review by Nasdaq Staff).

Questions concerning this form should be directed to Corporate Data Operations at 1 877 308 0523.

**GENERAL COMPANY INFORMATION**

Company Name \*

**Contacts**

Please provide information for both a primary and an alternative contact for the purpose 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.

	Company Contact *	Additional Contact *
Name *	<input type="text"/>	<input type="text"/>
Title/Firm	<input type="text"/>	<input type="text"/>
Phone *	<input type="text"/>	<input type="text"/>
Email *	<input type="text"/>	<input type="text"/>
Primary Contact *	<input type="checkbox"/>	<input type="checkbox"/>

**Type of Change**

The information required by the Exchange varies depending on the type of event being reported.

Is the Company reporting a change on this form in conjunction with a Listing Application for a Company Conducting a Business Combination that Results in a Change of Control? \*  Yes  No

Multiple events may be reported in one form provided that the effective date for these changes is the same. With this in mind, select all events that apply:

**Section 1. Change in Company Name**

A new Listing Agreement reflecting the company's NEW name must also be completed when submitting a name change. This form can be completed using the button at the top of this page.

	Current	New *
Company Name	<input type="text"/>	<input type="text"/>

**Section 2. Change in Trading Symbol, CUSIP, Security Type, Par Value and/or Underlying Index/Portfolio/Reference Asset**

**Change in Trading Symbol**

If a symbol reservation request has not already been submitted, Nasdaq recommends that a user complete a [Symbol Reservation Request](#) prior to submission of this form.

**Change in Security Type and/or Par Value**

- Change in CUSIP
- Change in Underlying Index/Portfolio/Reference Asset

	Current	New
Issue #1- Name		
Symbol		<input type="text"/>
CUSIP		<input type="text"/>
Security Type		
Par Value	<input type="text"/>	<input type="text"/>
Par Value Currency	United States Dollars <input type="checkbox"/>	United States Dollars <input type="checkbox"/>
Underlying Index/ Portfolio/ Reference Asset		

Section 3. Change in Place of Incorporation or Organization

Section 4. Reverse Stock Split

The information provided below shall be deemed subject to immediate public disclosure unless clearly noted otherwise.

NOTE: A new CUSIP number is required for a reverse stock split prior to the Marketplace Effective Date. This information can be provided by selecting the box for section 2 above.

Issue Symbol *	<input type="checkbox"/>	CUSIP *	
Issue Description *	<input type="text"/>		
Stock Split Ratio *	<input type="text"/>		
Pre-Split TSO *	<input type="text"/>	Post-Split TSO (maximum) *	<input type="text"/>
Pre-Split par value *	<input type="text"/>	Post-Split par value *	<input type="text"/>
Method of settling fractional shares *	<input type="checkbox"/>		
Post-Split number of publicly held shares	<input type="text"/>	Post-Split number of total/public shareholders	<input type="text"/>

Does the reverse stock split impact any other related securities that are publicly traded? \*  Yes  No

Is there a cash out associated with this reverse stock split?  Yes  No

Explain any conditions which must be met for the transaction to become effective. \*

Section 5. Other Type of Substitution Listing Event i

Describe the type of issuance/reason for change and the expected effective date. \*

Explain any conditions which must be met for the transaction(s) to become effective. \*

Specify the details pre and post transaction. \*

Are there any changes to the voting rights or equity participation rights associated with this transaction? \*  Yes  No

**Section 6. Event Requiring an Updated Corporate Governance Certification or Listing Agreement**

A new Certification Form or Listing Agreement can be completed using the buttons at the top of this page.

Briefly describe the reason for the update (e.g., ceased being a controlled company, no longer a foreign private issuer). \*

**Section 7. Annual ETP Certification** [\(Show\)](#)

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

---

**Section 8. Quarterly ETP Data Uploads** [\(Show\)](#)

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

Quarterly Upload Due Date

---

**Section 9: Annual Certification for Exchange Traded Fund Shares** [\(Show\)](#)

Issue #1 - Name

Symbol

CUSIP

Security Type

Fiscal Year End Date

---

CUSIP Information

Has the company obtained a new CUSIP number as a result of the change(s) being reported?

This information can be provided by selecting the box for Section 2 above.

If you answered "No"  above, please provide confirmation that the Company has advised the CUSIP Bureau of the pending change(s) and has confirmed that a new CUSIP is not necessary. This information can be uploaded under the Supporting Documents section of this form.

If you answered "Do Not Know"  above, please contact the CUSIP Service Bureau at 212-438-6500 to advise them of the pending change and determine if a new number is necessary.

For more information, please contact the CUSIP Service Bureau at 212-438-6500.

#### Comments

Please provide any explanatory comments that may help Staff process this form.

#### Annual Certification \*

- By selecting this box, I hereby certify that for the fiscal year ended that the company has discovered no instances of material non-compliance with the description of the fund's portfolio and limitations on fund portfolio holdings described in the fund's 19b-4 application, other than those instances for which the fund has (a) previously notified Nasdaq and/or (b) regained compliance within the applicable cure or compliance period.

#### Annual Certification \*

- By selecting this box, I hereby certify that as of the fiscal year end above, each Fund included in this form (as indicated by the checking of the "Complete Certification for this Issue" box) complies with the conditions of Rule 6c-11 under the Investment Company Act of 1940 ("Rule 6c-11") and has discovered no instances of material non-compliance with the conditions of Rule 6c-11, other than those instances for which each fund has (a) previously notified Nasdaq and/or (b) regained compliance within the applicable cure or compliance period.

#### Upload Component Template

Component List Provided as of \*  

[Download Component Template](#)

#### ATTACH SUPPORTING DOCUMENTS

To facilitate the review process, please provide the following information and attach any supporting documents electronically, as applicable. The Listing Center will allow you to provide this information and submit it to Nasdaq at any time during the process.

If the action resulted in the Company receiving a new SEC File Number, please provide.

If the action resulted in the Company receiving a new Central Index Key (CIK) code, please provide.

If a new CUSIP was not required in this instance, please provide confirmation that the Company has advised the CUSIP Bureau of this change and confirmed that a new CUSIP was not necessary. A confirmation is required for all changes, except trading symbol changes. \*

New Uploading documents for submission is easy:

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, JPEG or PDF.**

## 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.

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

\* Indicates a field required for submission.