

## Required Supporting Documents by Application Type

	IPO*	Distribution/Spin-Off	Switching from Amex, OTCBB or OTC	Dual Listing	Switching from NYSE	ETF and Other Structured Products**	Additional Class of Securities
Listing Agreement	X	X	X	X	X	X	
Logo Submission Form	X	X	X	X	X		
Corporate Governance Certification Form	X	X	X	X	X	X	
Regulatory Correspondence over the past 12 months	X	X	X	X			
Shareholder Confirmation Documents		X	X	X			X
Letters from 3 Market Makers		X	X	X	X		X
ETF Data Template						X	

### NOTE:

\* If the company has submitted a confidential draft registration statement to the SEC in connection with its proposed IPO, please also attach the most recent copy of this draft registration statement and all related SEC correspondence.

For ETFs and Other Structured Products, the Listing Agreement and Corporate Governance Certification Form are only

\*\*required for issuers who do not currently have products listed on Nasdaq.