



## MFQS Instrument Change Request Application

*This document should be used to update or delete an existing MFQS instrument. For a list of live instruments, please refer to the [Symbol Directory – Mutual Funds](#) on the NASDAQ OMX Trader website.*

### Application Check List

- 1) Complete the three-page change request form for each MFQS instrument to be modified or deleted.

For multiple instrument requests, please use the [spreadsheet version](#) of this form.

Please refer to the [MFQS support page](#) on NASDAQ OMX Trader for other MFQS forms.

- 2) Execute MFQS signatory page for change request packet. Please note that the MFQS signatory page must be executed by a corporate officer of the issuer (fund family or trust sponsor) on the MFQS listing change request form.
- 3) Send MFQS change request form(s) with supporting financial prospectus documentation and MFQS signatory page to NASDAQ OMX – MFQS Operations via email for processing. Email address is: [mutualfunds@nasdaqomx.com](mailto:mutualfunds@nasdaqomx.com).

Questions about this form may be directed to [NASDAQ OMX – MFQS Operations](#) at +1 877 308 0523 (option 2) or + 1 203 926 3500 (option 2).

For more information on MFQS policies, please refer to the [MFQS FAQ document](#) on the NASDAQ OMX Trader website.

# MFQS Instrument Change Request Form

## Section 1 – Contact Information

<b>Date of Request</b>	
<b>Firm Name</b>	
<b>Contact Name</b>	
<b>Contact Information</b>	<b>Phone:</b> <b>Email:</b>

## Section 2 – Change Request Information

<b>MFQS Change Requested</b>	<b>Instrument Update</b> (Check All That Apply) <input type="checkbox"/> MFQS Symbol <sup>1</sup> (Sections 1-4) <input type="checkbox"/> Instrument Name <sup>2</sup> (Sections 1-4, 8) <input type="checkbox"/> Issuer Name <sup>3</sup> (Sections 1-4, 8) <input type="checkbox"/> CUSIP (Sections 1-4) <input type="checkbox"/> Pricing Agent (Sections 1-4) <input type="checkbox"/> Instrument Tier <sup>4</sup> (Sections 1-3, 5, 8) <input type="checkbox"/> Instrument Type / Code <sup>5</sup> (Sections 1-4, 8) <input type="checkbox"/> Other Attributes (Sections 1-4, 6)
	<b>Instrument Deletion</b> <input type="checkbox"/> Instrument Deletion <sup>6</sup> (Sections 1-3, 7-8)
<b>MFQS Effective Date</b> for Instrument Change	

## Section 3 - Current MFQS Instrument Information

<b>Issuer Name</b> (aka Fund Family/ Sponsor Name)	
<b>Instrument Name</b>	
<b>CUSIP</b>	
<b>MFQS Symbol</b>	

## Section 4 - New MFQS Instrument Information

<b>Instrument Name</b>	
<b>Issuer Name</b>	
<b>CUSIP</b>	
<b>MFQS Symbol</b>	
<b>Pricing Agent</b>	<b>Firm Name:</b> <b>MPID:</b>
<b>Instrument Type / Instrument Code</b> (Select one)	<b>Mutual Fund</b> <input type="checkbox"/> Mutual Fund – Open End <input type="checkbox"/> Mutual Fund – Closed End
	<b>Money Market Fund (MMF)</b> <input type="checkbox"/> MMF – Government Securities <input type="checkbox"/> MMF – Tax Exempt Securities <input type="checkbox"/> MMF – General Purpose
	<b>Unit Investment Trust (UIT)</b> <input type="checkbox"/> UIT – Equity <input type="checkbox"/> UIT – Debt
	<b>Annuity</b> <input type="checkbox"/> Annuity - Variable <input type="checkbox"/> Annuity - Equity Indexed

MFQS Change Request Form (continued)

<b>Instrument Type / Instrument Code</b> (Continued)	<b>Alternative Investment Product (AIP)</b> <input type="checkbox"/> AIP - Non-Traded Real Estate Investment Trust (REIT) <input type="checkbox"/> AIP - Hedge Fund <input type="checkbox"/> AIP - Managed Future Fund <input type="checkbox"/> AIP - Private Equity Offering		<input type="checkbox"/> AIP - Commodity Pool Fund <input type="checkbox"/> AIP - Fund of Hedge Funds <input type="checkbox"/> AIP - Registered / Non-Traditional Hedge Funds	
	<b>Structured Product / Structured Note (SP)</b> <input type="checkbox"/> SP - Buffer/Barrier Enhanced Upside <input type="checkbox"/> SP - Hybrid <input type="checkbox"/> SP - Rates Enhanced <input type="checkbox"/> SP - Other			
<b>Instrument Registration</b> (Regulatory Oversight Agency)	<input type="checkbox"/> Securities & Exchange Commission (SEC)	<input type="checkbox"/> Municipal Securities Rulemaking Board (MSRB)		
<b>Issuer Corporate Action Date</b>	Official date for the listing action			
<b>Exchange Information</b>	Listing Exchange:			
	Listed Exchange Symbol:			

**Section 5 – New Listing Tier Information** (Mutual Funds and Money Market Funds only)

<b>Action Requested</b>	<input type="checkbox"/> Upgrade From Supplemental List to News Media List	<input type="checkbox"/> Downgrade From News Media List to Supplemental List
<b>Number of Shareholders</b>	<b>As of Date</b>	
<b>Total Net Assets</b>	<b>As of Date</b>	
<b>Newspaper Category / Heading</b>	For newspapers, this heading is displayed for fund families with at least three new media funds. Maximum length 20 characters (inclusive of spaces).	
<b>Newspaper Abbreviation / Symbol</b>	For newspapers, this symbol is used in place of fund name and fund symbol. Maximum length 16 characters (inclusive of spaces).	

**Section 6 – New Instrument Attributes**

<b>Pricing Interval</b>	<input type="checkbox"/> Daily (Default) <input type="checkbox"/> Weekly	<input type="checkbox"/> Monthly <input type="checkbox"/> Other (Specify: _____)
<b>Number of Shareholders</b>	<b>As of Date</b>	
<b>Total Shares Outstanding</b>	<b>As of Date</b>	
<b>Open for New Investors</b>	<input type="checkbox"/> Yes (Default)	<input type="checkbox"/> No
<b>NSCC Clearing Eligible</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

MFQS Change Request Form (continued)

<b>Inception Date</b>		
<b>Inception Date NAV</b>		
<b>Inception Date Total Net Assets</b>		
<b>Minimum Initial Subscription</b>	Amount in U.S. dollars	
<b>Minimum Incremental Subscription</b>	Amount in U.S. dollars	
<b>Deposit Date</b> (Limited Life instruments)		
<b>Termination Date</b> (Limited Life instruments)		
<b>Distribution Type</b>	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest <input type="checkbox"/> Wrap	<input type="checkbox"/> Reinvest Cash <input type="checkbox"/> Reinvest Wrap
<b>Distribution Frequency</b>	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually <input type="checkbox"/> Other (Specify: _____)

**Section 7 – Instrument Deletion**

<b>Reason For Deletion</b>	<input type="checkbox"/> Liquidated <input type="checkbox"/> Terminated / Expired <input type="checkbox"/> Merger / Acquisition	<input type="checkbox"/> Issuance Postponed <input type="checkbox"/> Issuance Cancelled <input type="checkbox"/> Other (Specify: _____)
<b>MFQS Last Price Date</b>		
<b>Issuer Corporate Action Date</b>	Official date for the listing action	
<b>MFQS Symbol for Merger / Acquisition</b>		
<b>CUSIP for Merger / Acquisition</b>		

**Section 8 - Supporting Documentation**

<b>Document Name</b>		
<b>Documentation Release Type</b>	<input type="checkbox"/> <b>Public (Default)</b> All supporting documentation may be posted to MFQS Daily List Service for market data community	<input type="checkbox"/> <b>Confidential / Non-Public</b> All supporting documentation should be considered to be confidential to MFQS issuer / administrator.

**Notes to NASDAQ OMX**

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## Field Level Information

<sup>1</sup> **MFQS Symbol:** NASDAQ OMX assigns 5 to 6 character symbols for MFQS instruments in the following manner:

Asset Class	MFQS Symbolology Standard
Mutual Fund – Open End	5 characters ending in X. First and fourth characters should not be X. Example: ABCDX
Mutual Fund – Closed End	5 characters starting and ending with X. Middle 3 characters to reflect exchange symbol, if applicable. Example XABCDX
Money Market Fund	5 characters ending with XX. Example: ABCXX
Unit Investment Trust (UIT)	6 characters starting with any character except Q, X or Z and ending with X. Example: ABCDEX
Annuity	6 characters beginning with Q and ending with X. Example: QABCDX
Structured Product	6 characters starting and ending with X Example: XABCDX
Alternative Investment Product (AIP)	6 characters beginning with Z and ending with X. Example ZABCDX

The MFQS symbol directory is available on the [NASDAQ OMX Trader website](#) if needed.

<sup>2</sup> **Instrument Name / Issuer Name:** NASDAQ OMX requires that firms provide appropriate supporting document (such as an updated prospectus document, resolution of name change, or resolution of merger / acquisition) with application.

Issuers are required to notify S&P CUSIP Bureau of instrument name changes. For details, refer to the CGS website at <https://www.cusip.com/cusip/request-an-identifier.htm>.

<sup>3</sup> **Issuer Name:** Firms are also expected to update *MFQS Access Agreement(s)* for issuer name changes. Please contact MFQS Operations at [mutualfunds@nasdaqomx.com](mailto:mutualfunds@nasdaqomx.com) for details.

<sup>4</sup> **Instrument Tier:** The MFQS News Media List is open only to SEC-registered mutual funds and money market funds that meet or exceed the financial criteria below at the instrument level:

- Mutual Fund - Open End: \$25 million in total net assets OR 1,000 shareholder accounts
- Money Market Fund: \$25 million in total net assets OR 1,000 shareholder accounts
- Mutual Fund – Closed End / ETFs: \$60 million in total net assets

<sup>5</sup> **Instrument Type / Instrument Code:** As noted above, MFQS symbolology differs by asset class. If the MFQS symbolology is different for the new instrument type / instrument code than the current instrument type/instrument code, the issuer will be required to change its MFQS symbol.

<sup>6</sup> **Instrument Deletion:** NASDAQ OMX requests that issuers provide supporting documentation (such as a press release) for liquidations and mergers/acquisitions. For mergers / acquisitions, NASDAQ OMX requires firms provide the target instrument's symbol and/or CUSIP.

## MFQS Application Signatory Page

Application Summary Information	
Date of Application	
Issuer Name	
# of MFQS Change Requests	
Confirmation of MFQS Eligibility	
Please initial in the spaces next to each of the following statements	
	I certify that the sponsor / fund family indicated on this form meets the MFQS eligibility requirements as outlined in <a href="#">Attachment A</a> of the <i>Mutual Fund Quotation Service (MFQS) Access Agreement</i> .
	I certify that all instruments to be listed on MFQS are registered with the U.S. Securities and Exchange Commission (SEC) and the Standard & Poor's CUSIP Bureau.
Sponsor/Fund Family Corporate Officer Information	
Name	
Title	
Address	
Phone Number	
Certification Statement	
<p>I, acting as a Corporate Officer of the Sponsor/Fund Family listed above, hereby certify that the information contained in this MFQS Listing Application and associated MFQS instrument spreadsheet is accurate and true. I certify that the fund qualifies under the current MFQS eligibility standards as posted on the NASDAQ OMX Trader website. I further certify that the sponsor / fund family agrees to the MFQS terms and conditions as defined in the <a href="#">MFQS Access Agreement</a> for the listings covered by this application.</p>	
Corporate Officer Signature	Date