



## MFQS Instrument Replacement Application

*This application may be used by issuers seeking to replace an existing instrument in the MFQS system. With a replacement action, there can be no overlap in pricing of the two instruments. The new instrument will be added to the MFQS system on the same date that the old instrument is deleted.*

### Application Check List

- 1) Complete the two-page listing MFQS Instrument Replacement Application form.

For multiple instruments, firms should use the [spreadsheet version](#) of the MFQS application form.

- 2) Execute MFQS signatory page for the Instrument Replacement. Please note that the MFQS signatory page must be executed by a corporate officer of the issuer or trust sponsor listed on the instrument replacement form.
- 3) Send MFQS – Instrument Replacement Application form(s) with supporting financial prospectus documentation, MFQS signatory page and MFQS payment information form to NASDAQ OMX – MFQS Operations for processing. Email is the preferred submission method. Contact information is:

NASDAQ OMX – MFQS Operations  
805 King Farm Boulevard, Suite 200  
Rockville, MD 20850  
Phone: +1 877 308 0523 or + 1 203 926 3500  
Fax: +1 866 601 9862  
**Email:** [mutualfunds@nasdaqomx.com](mailto:mutualfunds@nasdaqomx.com)

For more information on MFQS eligibility standards and administrative policies, please refer to [MFQS FAQ document](#) on NASDAQ OMX Trader.

# MFQS Instrument Replacement Application

Red fields are required.

## Section 1 – Contact Information

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

## Section 2 – Issuer Information

<b>Issuer Name</b>	
<b>MFQS Effective Date<sup>i</sup></b>	
<b>Pricing Agent</b>	Firm Name: MPID:

## Section 3 – Outgoing Instrument Information

<b>Instrument Name</b>	
<b>CUSIP</b>	
<b>MFQS Symbol</b>	

## Section 4 – Incoming Instrument Information

<b>Instrument Name</b>	
<b>CUSIP</b>	
<b>MFQS Symbol Requested<sup>ii</sup></b>	
<b>Instrument Type / Instrument Code</b>	<b>Unit Investment Trust (UIT)</b> <input type="checkbox"/> UIT – Equity <input type="checkbox"/> UIT – Debt
	<b>Structured Product / Structured Note (SP)</b> <input type="checkbox"/> SP - Buffer/Barrier Enhanced Upside <input type="checkbox"/> SP - Commodity / FX <input type="checkbox"/> SP – Hybrid <input type="checkbox"/> SP - Principal Protected <input type="checkbox"/> SP - Rates Enhanced <input type="checkbox"/> SP - Single Stock <input type="checkbox"/> SP – Other
<b>Pricing Frequency</b>	<input type="checkbox"/> Daily (Default) <input type="checkbox"/> Monthly <input type="checkbox"/> Weekly <input type="checkbox"/> Other (Specify: _____)
<b>Distribution Type</b>	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest Cash <input type="checkbox"/> Reinvest <input type="checkbox"/> Reinvest Wrap <input type="checkbox"/> 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: _____)
<b>Instrument Registration</b> (Regulatory Oversight Agency)	<input type="checkbox"/> Securities & Exchange Commission (SEC) (Default)	<input type="checkbox"/> Municipal Securities Rulemaking Board (MSRB)
<b>Open To 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
<b>Minimum Initial Subscription</b>	Amount in dollars	
<b>Minimum Incremental Subscription</b>	Amount in dollars	

### Section 5- Supporting Documentation<sup>iii</sup>

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

### Notes to NASDAQ OMX

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## MFQS Application Signatory Page

Application Summary Information	
Date of Application	
Issuer Name	
Type of Application	
# of Instrument Replacements	
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 for the MFQS Access Agreement</a> .
	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.
Trust Sponsor 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

## Field Level Information

<sup>i</sup> **MFQS Effective Date:** This is the date that the new instrument will begin pricing and the old instrument will be deleted from the MFQS system. This date must be a future U.S. trading date. Please note that MFQS replacement actions cannot easily be reversed, so firms need to keep NASDAQ OMX informed of any effective date changes.

<sup>ii</sup> **MFQS Symbol:** NASDAQ OMX assigns 6 character symbols for limited life securities in the MFQS system. The assignment rules are:

Asset Class	MFQS Symbology Standard
Unit Investment Trust (UIT)	6 characters starting with any character except Q, X or Z and ending with X. Example: ABCDEX
Structured Product	6 characters starting and ending with X Example: XABCDX

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

<sup>iii</sup> **Supporting Documentation:** MFQS requires that issuers include prospectus (or similar offering document) for incoming instrument in PDF format with application. Issuers may also provide marketing fact sheet and statements of additional information (SAI) documents to be posted on MFQS Daily List web service for the market data community if they so wish.