



# COMPANY EVENT NOTIFICATION

## PART I: CORPORATE INFORMATION

### GENERAL INFORMATION

Date:

Company Name:

### PRIMARY CONTACT

Name:

Title:

Phone:

Email:

U.S. Business Hours Contact (if company is located outside of the U.S.):

### ALTERNATE CONTACT

Name:

Title:

Phone:

Email:

U.S. Business Hours Contact (if company is located outside of the U.S.):

### OUTSIDE LEGAL COUNSEL

Firm Name:

Contact Name:

Phone:

Email:

U.S. Business Hours Contact (if company is located outside of the U.S.):



# PART II: TYPE OF CHANGE

The information required by the exchange varies depending on the type of event being reported. Multiple events may be reported in one form provided that the effective date for these changes is the same. Complete applicable sections only.

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

## SECTION 1. Change in Company Name

Current Company Name:

New Company Name:

*Note: A new Listing Agreement reflecting the company's new name must also be completed when submitting a name change.*

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

	CURRENT	NEW
Issue Name:		
Symbol:*		
CUSIP:		
Security Type:		
Par Value:		
Par Value Currency:		
Underlying Index/ Portfolio/Reference Asset		

*\* For a change in trading symbol, if a symbol reservation request has not already been submitted, IEX recommends that the company complete and submit a Symbol Reservation Request prior to submission of this form.*

## SECTION 3. Change in Place of Incorporation or Organization

	CURRENT	NEW
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State:		
Country:		

Has the company filed new articles of incorporation with the applicable state or country regulatory body?  
 Yes  No

#### 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 effective date.*

Issue Symbol:

Issue Description:

Stock Split Ratio:

Pre-Split TSO:

Post-Split TSO (maximum):

Pre-Split par value:

Post-Split par value:

Method of settling fractional shares:

Post-Split number of publicly held shares:

Post-Split number of total/public shareholders:

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

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

#### SECTION 5. Other Type of Substitution Listing Event



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

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

Issue Name:

Symbol:

CUSIP:

Security Type:

Fiscal Year End Date:

Component List Provided as of:



**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 IEX and/or (b) regained compliance within the applicable cure or compliance period.

**SECTION 8. Quarterly ETP Data Uploads**

Issue Name:

Symbol:

CUSIP:

Security Type:

Fiscal Year End Date:

Quarterly Update Due Date:

List Provided as of:

**CUSIP Information**

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

Yes  No  Do Not Know

If you answered "NO" above, please provide confirmation that the company has advised the CUSIP Service Bureau of the pending change(s) and has confirmed that a new CUSIP is not necessary.

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 additional information that may help Staff process this form.

## PART III: EVENT-SPECIFIC INFORMATION

Please provide the following dates, as applicable.

Effective Date:	
Date all legal filings were or are anticipated to be effective:	
Date of approval for the event(s) by the Board of Directors:	
Date of approval for the event(s) by shareholders:	
Anticipated date of closing:	
Effective date of charter amendment:	

## PART IV: SUPPORTING DOCUMENTATION

To facilitate the review process, please provide the following information and attach any supporting documentation, as applicable.

If the event resulted in the company receiving a new SEC File Number, please provide:

If the event 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 Service Bureau of this change and confirmed that a new CUSIP was not necessary. A confirmation is required for all changes, except trading symbol changes.*



# PART V: AFFIRMATION

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 the company will promptly notify IEX of any material changes.

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Signature of Duly Authorized Representative

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Title

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Date