

NASDAQ Daily List File Format and Specifications

Introduction

This specifications document outlines the file format for the NASDAQ Equities, Dividends, Mutual Funds and Next Day X-Date Daily Lists. Please note that this specification is for both the NASDAQ Daily List and NASDAQ Daily List with CUSIP¹ data.

The NASDAQ Daily List provides the most recent and archived lists of daily security additions, deletions, name and symbol changes for NASDAQ Equities and announcement of dividends and some corporate actions for NASDAQ, OTCBB, and OTC securities including a next day xdate list of dividends and corporate actions.

Typically the first NASDAQ Daily List files are posted to the site between 1-2 p.m., Eastern Time (ET) but as a reminder, updates can occur starting at approximately 7:00 a.m. and continuing until about 6:35:00 p.m. To have the most up-to-date information during the trading day, subscribers should continue to process each of the updated files for all NASDAQ Daily Lists.

Please note: As noted in [Data News #2011-6](#), NASDAQ OMX recently introduced the MFQS Daily List / MFQS Registration Service. The new MFQS Daily List is delivered via the secured web service call as well as MFQS website. **Effective October 17, 2011**, NASDAQ OMX will cease to populate the legacy MFQS Daily List on the NASDAQ OMX Trader website. NASDAQ Daily List subscribers will continue to have access to historical MFQS corporate action data via the NASDAQ OMX Trader website until further notice.

For more information about this product offering and to ensure no loss of security master information related to Mutual Funds, please visit the [NASDAQ OMX Fund Data product page](#) on the [NASDAQ OMX Trader website](#).

Contact Information

Questions regarding the NASDAQ Daily List specifications listed in this notice should be directed to the [NASDAQ OMX Global Data Products team](#) at +1 301 978 5307, option #4.

Questions regarding the Secure FTP should be directed to [NASDAQ OMX Technical Support Desk](#) at +1 212 231 5180.

¹ CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since NASDAQ neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a daily license in place with CUSIP. Distributors please note: NASDAQ is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.

NASDAQ Equities Daily List - Definitions & Data Fields

File Format without CUSIP Data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyListRV\NASDAQEquities\nqrvmmddyyyy.txt

File Format:

Daily List Date | Effective Date | Issue Event | Symbol | Company Name | New Symbol | New Company Name | Market Category | Listing Center | First Date Traded | NOTES for each Entry | Delisting Reason | Downgrade Reason | Expiration Date | Separation Date | Description | Issue Type | Sub-Issue Type | When Issued Flag | When Distributed Flag | SIC Code | Trade Unit Quantity | Transfer Agent | TSO | TSO Date | Insider Holdings | Float | Index | Old Financial Status | New Financial Status | IPO Flag

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

File Format with CUSIP Data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyList\NASDAQEquities\nqmmddyyyy.txt

File Format:

Daily List Date | Effective Date | Issue Event | Symbol | Company Name | New Symbol | New Company Name | Old CUSIP | CUSIP | Market Category | Listing Center | First Date Traded | NOTES for each Entry | Delisting Reason | Downgrade Reason | Expiration Date | Separation Date | Description | Issue Type | Sub-Issue Type | When Issued Flag | When Distributed Flag | SIC Code | Trade Unit Quantity | Transfer Agent | TSO | TSO Date | Insider Holdings | Float | Index | Old Financial Status | New Financial Status | IPO flag

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

Definitions & Data Fields for Both Formats:

The field size/format field information described in the table below is being provided as a maximum field length to assist distributors on how to set-up databases to process and store the NASDAQ Daily List Equities data.

Data Field	Description	Field Size/Attribute
Daily List Date	The date and time the NASDAQ Daily List was distributed. All times are military time and Eastern Time (ET).	MM/DD/YYYY HH:MM:SS
Effective Date	The date that the event is effective.	MM/DD/YYYY

Data Field	Description	Field Size/Attribute
Issue Event	The category of the change to the affected security. List of all Allowed Values: <ul style="list-style-type: none"> • Security Additions • Anticipated Security Additions • Issue Suspensions • Issue Deletions • Name/Symbol Changes • Market Class Changes • Market Participant Additions • Market Participant Changes • Market Participant Deletions • Financial Status Changes 	Varchar (255)
Symbol	The symbol of the security or market participant that is being affected.	Varchar (14)
Company Name	The name of the issuing company for the security.	Varchar (255)
New Symbol	The new symbol for a security or market participant experiencing a symbol change.	Varchar (14)
New Company Name	The new name for a security or market participant experiencing a name change.	Varchar (255)
Old CUSIP Please note: This field will only be available within the NASDAQ Daily List with CUSIP Data file. The NASDAQ Daily List file will not contain this field.	<p>This represents the CUSIP associated with the original or previous symbol prior to a corporate action requiring the issuer to obtain a new CUSIP.</p> <p>CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since NASDAQ OMX neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: NASDAQ OMX is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.</p>	Varchar (16)
CUSIP Please note: This field will only be available within the NASDAQ Daily List with CUSIP Data file. The NASDAQ Daily List file will not contain this field.	<p>This represents the existing or new CUSIP assigned to the security.</p> <p>See note above in Old CUSIP description related to CUSIP.</p>	Varchar (16)
Mkt Category	The Market Category and Newspaper Category of the NASDAQ Issue.	Varchar (5)

Data Field	Description	Field Size/Attribute
	<p>Allowed Values effective July 3, 2006:</p> <ul style="list-style-type: none"> • Q – NASDAQ Global Select MarketSM • G – NASDAQ Global MarketSM • S – NASDAQ Capital MarketSM 	
Listing Center	<p>The exchange or stock market on which the issue has its primary listing.</p> <p>Allowed Values:</p> <ul style="list-style-type: none"> • A - American Stock Exchange • B - Boston Stock Exchange • C - Cincinnati Stock Exchange • D - Bond Market • E - Amex Emerging Markets Exchange • M - Chicago Stock Exchange • N - New York Stock Exchange • O - Over The Counter Market • P - Pacific Stock Exchange • Q - NASDAQ Stock Market • U - NASDAQ Europe Exchange • Z - BATS BZX Exchange 	Varchar (1)
First Date Traded	For Security Additions, the date that the security began quoting on NASDAQ OMX NASDAQ.	MM/DD/YYYY
Notes for each Entry	<p>Free form text allowing for entry of notes pertaining to the single entry. Information regarding the following fields will now be included within this field:</p> <ul style="list-style-type: none"> • Event Comment • Reinstatement Flag • Redemption Date • Expiration Date fields 	Text (1000)
Delisting Reason	<p>The reason an issue is to be deleted from NASDAQ Listing. Allowed values:</p> <ul style="list-style-type: none"> • Acquisition/Merger • Added to OTCBB • Added to other OTC • ADR Program Termination • Called for Redemption • Company Choice/Corporate Reorganization Pending • Company Choice/Regulatory Matter Pending • Corporate Reorganization (already effective) • Expiration • Form 15 • Liquidation • Listed on NYSE • Listed on NYSE Amex • Listed on NYSE ARCA • Listed on CBOE • Listed on NCM 	Varchar (100)

Data Field	Description	Field Size/Attribute
	<ul style="list-style-type: none"> Listed on NGM Listed on NGS Listed on BATS Other Regulatory/Non-Compliance Removed from Listing & Registration 	
Downgrade Reason	The reason an issue is changing Market Categories. Allowable values: <ul style="list-style-type: none"> Qualification Issue Company Request 	Varchar (60)
From this point on, all data is as of the NASDAQ Daily List Date - not the Effective date. For a future effective NASDAQ Daily List entry, these fields will be the CURRENT Day not the future Effective Date. For instance, for a Symbol Change due to a stock split, the following data fields will be the current information not the next day's resulting information that is based on the stock split.		
Expiration Date	The date that a security (preferred issue, unit, warrant for instance) is expiring.	MM/DD/YYYY
Separation Date	The date that a unit or warrant is separating from the associated common stock.	MM/DD/YYYY
Description	Text describing the characteristics of the Issue.	Varchar (255)
Issue Type	The type of issue: common, preferred, etc. Allowed values: <ul style="list-style-type: none"> A - American Depositary Shares B - Bond C - Common Stock F - Depositary Receipt I - 144A L - Limited Partnership N - Notes O - Ordinary Shares P - Preferred Stock Q - Other Securities R - Right S - Shares of Beneficial Interest T - Convertible Debenture U - Unit V - Units/Benif Int W - Warrant 	Varchar (1)
Issue Sub-Type	Allowed Values: <ul style="list-style-type: none"> A - Preferred Trust Securities B - Index-Based Derivative C - Common Shares CB - Commodity Based Trust Shares CF - Commodity Futures Trust Shares 	Varchar (2)

Data Field	Description	Field Size/Attribute
	<ul style="list-style-type: none"> • CL - Commodity-Linked Securities • CM - Commodity Index Trust Shares • CT - Currency Trust Shares • CU - Commodity-Currency-Linked Securities • CW - Currency Warrants • D - Global Depositary Shares • E - ETF-Portfolio Depositary Receipt • EG - Equity Gold Shares • EI - ETN-Equity Index-Linked Securities • EN – Exchange-Traded Notes • FI - ETN-Fixed Income-Linked Securities • FL - ETN-Futures-Linked Securities • G - Global Shares • H - Debt-Based Derivative • I - ETF-Index Fund Shares • IX - Index-Linked Exchangeable Notes • K - Callable Common Stock • L - Contingent Litigation Right • LL - Identifies securities of companies that are set up as a Limited Liability Company (LLC) • M - Equity-Based Derivative • MF - Managed Fund Shares • ML - ETN-Multi-Factor Index-Linked Securities • MP - Master Limited Partnership • MT - Managed Trust Securities • N - NY Registry Shares • O - Open Ended Mutual Fund • P - Privately Held Security • PU - Partnership Units • R - Reg-S • RC - Commodity-Redeemable Commodity-Linked Securities • RF - ETN-Redeemable Futures-Linked Securities • RU - Commodity-Redeemable Currency-Linked Securities • S - SEED • T - Tracking Stock • TC - Trust Certificates • TU - Trust Units • U - Portal • V - Contingent Value Right • W - Trust Issued Receipts 	
When Issued Flag	<p>Indicates if the issue is in the When Issued state. Allowed Values:</p> <ul style="list-style-type: none"> • Y – Yes, When Issued • N – No not When-Issued. 	Varchar (1)

Data Field	Description	Field Size/Attribute
When Distributed Flag	Indicates if the issue is in the When Distributed state. Allowed Values: <ul style="list-style-type: none"> Y – Yes, When Distributed N – No, not When-Distributed. 	Varchar (1)
SIC Code	A four character numeric code providing a logical grouping of issues based on type of business.	Varchar (4)
Trade Unit Quantity	The normal, generally accepted unit of trading for a security, also known as a "round lot". The trade unit (round lot) for common stocks is usually 100. Any purchase or sale of less than the trade unit is considered an "odd lot".	Varchar (6)
Transfer Agent	The custodial firm responsible for administrative duties concerning the issue. A semicolon in this field will separate multiple values.	Varchar (64) times 4 = 256
TSO	The number of issued and outstanding shares for the specified security as used by NASDAQ in the calculation of NASDAQ index values. The number of total shares outstanding used by NASDAQ for index calculation reflects the value most recently reported for the security by the issuing corporation, via required SEC filings or other communication with NASDAQ, as adjusted for any corporate actions such as stock dividends. However, use and display of a newly reported value may be briefly delayed pending review for accuracy and/or the facilitation of the management of the indices. Also, values for certain non-U.S. securities may not include all shares globally issued and outstanding.	Varchar (18)
TSO Date	The effective date of the TSO.	MM/DD/YYYY
Insider Holdings	The number of shares held by insiders (directors, executives, etc.) at the firm.	Varchar (15)
Float	The number of shares available for transaction in the secondary market.	Varchar (15)
Index	The index symbol(s) that the issue participates in. Each Index symbol is semicolon separated. For a list of the allowable values, please refer to the following web page: https://indexes.nasdaqomx.com/IndexDirectory.aspx . Please note that this list is created at the start of each trading day. Only those identified with a Market Origin of "Q" and "X" are applicable values for this field.	Varchar (100)

Data Field	Description	Field Size/Attribute
Old Financial Status	<p>The current day's financial status indicator of a NASDAQ-listed issuer. Financial status indicator denotes if a NASDAQ issuer is delinquent in its regulatory filings, below NASDAQ continuing listing requirements, and/or bankrupt. Allowed Values:</p> <ul style="list-style-type: none"> • D-Deficient • E-Delinquent • Q-Bankrupt • N-Normal • G-Deficient and Bankrupt • H-Deficient and Delinquent • J-Delinquent and Bankrupt • K-Deficient, Delinquent, and Bankrupt 	Text (40)
New Financial Status	<p>The new or changed financial status indicator of a NASDAQ-listed issuer. This field will only be populated for records where the issue event field is "Financial Status Changes" Allowed Values:</p> <ul style="list-style-type: none"> • D-Deficient • E-Delinquent • Q-Bankrupt • N-Normal • G-Deficient and Bankrupt • H-Deficient and Delinquent • J-Delinquent and Bankrupt • K-Deficient, Delinquent, and Bankrupt 	Text (40)
Notes for Day	<p>Free form text allowing for the entry of notes pertaining to the entire NASDAQ Daily List for the day. This data can be potentially one row that will be a free form text field allowing for entry of notes pertaining to the NASDAQ Market.</p> <p>Please Note: In the event that there are no updates to the NASDAQ Daily List, at approximately 3:00 p.m., Eastern Time, the text file will be posted containing no data except for the field names and a Note for the Day explaining that there will be no updates for the day. Vendors should be prepared to handle a text file with only field names and a Note for the Day in the absence of any NASDAQ Daily List data.</p>	Text (1000)
IPO Flag	<p>Indicates if the issue is conducting an Initial Public Offering (IPO). Allowed Values:</p> <ul style="list-style-type: none"> • Y – Yes, the security is an IPO • N – No, the security is not an IPO <p>This flag will be set to "Y" for those securities that are conducting an IPO, for the following events:</p> <ul style="list-style-type: none"> • Security Additions • Anticipated Security Additions 	Varchar (1)

NASDAQ Dividends Daily List - Definitions & Data Fields

File Format without CUSIP Data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyListRV\Dividends\dirvmddyyyy

File Format:

Daily List Date | Market Category | Issue Symbol | Company Name | Declaration Date | Amount | X-Date | Record Date | Payment Date | NOTES for Each Dividend | Dividend Type Id | Stock Amount | Payment Freq | Cash Amount | QualDiv | Index | Rights Basis Notes | Rights Exercise Price Amount | Rights Expiration Date | Net Amount

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

File Format with CUSIP Data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyList\Dividends\dimmdyyyy

File Format:

Daily List Date | Market Category | Issue Symbol | Company Name | Declaration Date | Amount | Payment Freq | X-Date | Record Date | Payment Date | NOTES for Each Dividend | Dividend Type Id | Stock Amount | Cash Amount | CUSIP | QualDiv | Index | Rights Basis Notes | Rights Exercise Price Amount | Rights Expiration Date | Net Amount

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

Definitions & Data Fields for Both Formats:

Data Field	Description
Daily List Date	The date and time the NASDAQ Daily List was distributed. All times are military time and Eastern Time (ET).
Market Category	The Market Category of a security. Allowed Values effective July 3, 2006: <ul style="list-style-type: none">• B - OTCBB• G - NASDAQ Global MarketSM• P - Private Placement Securities• Q - NASDAQ Global Select MarketSM• R - OTC Securities• S - NASDAQ Capital MarketSM• BOND - BOND

Data Field	Description
	<ul style="list-style-type: none"> POR - Portal
Issue Symbol	The symbol of the issue experiencing the dividend.
Company Name	The name of the issuing company for the fund.
Declaration Date	The date the dividend was declared. The date format is MM/DD/YYYY.
Amount	<p>The amount of a dividend. The following codes are used:</p> <ul style="list-style-type: none"> apx = approximate ann = annual cdn = Canadian ext = extra fnl = final inc = Increase SA = semiannual stk = stock div spl = special
Payment Freq	<p>If available, the value indicates the payment frequency of the dividend. The allowed values will be as follows:</p> <ul style="list-style-type: none"> M – Monthly Q – Quarterly S - Semi-Annual A – Annual Null – Data not Available or Applicable.
X-Date	The X-Date of a dividend. The X-date represents the date that the issue will be quoted without ("ex") the value of the dividend. The date format is MM/DD/YYYY.
Record Date	The record date of a dividend. The record date represents the date that all holders of record are entitled to the dividend payment. The date format is MM/DD/YYYY.
Payment Date	The payment date of a dividend. The payment date represents the date that all holders of record receive the dividend. The date format is MM/DD/YYYY.
NOTES for Each Dividend	<p>Free form text allowing for entry of notes pertaining to the single entry. This field contains relevant information regarding the dividend and/or comments pertaining to the following:</p> <ul style="list-style-type: none"> Declaration Date Amount X-Date Record Date Payment Date
Dividend Type Id	<p>This field will contain an indicator to depict the type of Corporate Action occurring to the Issue. The allowed values are as follows:</p> <ul style="list-style-type: none"> XC - Cash Dividend CS - Cash and Stock Dividend or Split XR - Ex-Rights XW - Ex-Warrants RS - Reverse Split SO - Spin Off CP - Stock Div. payable in another Company XS - Stock Dividend or Split XX - Other

Data Field	Description
Stock Amount	<p>When applicable, a numeric factor relating the ratio of the stock dividend. For Example:</p> <ul style="list-style-type: none"> • The factor for a 2/1 stock split would be 2 • The factor for a 2/1 reverse split would be .5 • The factor for a 3/2 stock split would be 1.5 • The factor for a stock dividend of 10% would be 1.10. <p>The factors reflect the amount that NASDAQ adjusted the stock price by on the X-Date. In cases where the Factor values differ from the Amount values, the factor will always take precedence. This occurs frequently with ADS and ADR issues types; where NASDAQ is occasionally obligated to adjust on X-Date based on an approximate value. Other cases can result from truncation or rounding, but the factor will always reflect the field the stock price is adjusted by. Also, please note that entries without an X-Date do not get adjusted, even though a factor may be provided.</p>
Cash Amount	<p>When applicable, this field will contain a numeric factor relating the ratio of the cash dividend. For example, the factor for an 8-cent dividend would be .08.</p> <p>Please note: In instances where a NASDAQ-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the GROSS amount.</p>
CUSIP Please note: This field will only be available within the Daily List with CUSIP Data file. The Daily List file will not contain this field.	<p>Represents the CUSIP effective on the date the NASDAQ Dividend Daily List is published.</p> <p>CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since NASDAQ OMX neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: NASDAQ OMX is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.</p>
QualDiv	<p>Indicator used to reflect information provided by an Issuer about the dividend with regard to the taxation of the dividend under the provisions of The Jobs and Growth Tax Relief Reconciliation Act of 2003 (the "2003 Act"). This dividend status may reduce the tax on dividends, subject to all other eligibility requirements contained in the 2003 Act. Allowed Values:</p> <ul style="list-style-type: none"> • Y = Issuer has affirmed that dividend is Qualified under the 2003 Act. • N = Issuer has affirmed that dividend is Not Qualified under the 2003 Act. • U = Issuer has made no affirmation regarding the Qualified vs. Non-Qualified status of the dividend. • NULL = Data not Available

Data Field	Description
Index	<p>The index symbol(s) that the issue participates in. Each Index symbol is semicolon separated.</p> <p>For a list of the allowable values, please refer to the following web page: https://indexes.nasdaqomx.com/IndexDirectory.aspx. Please note that this list is created at the start of each trading day. Only those identified with a Market Origin of "Q" and "X" are applicable values for this field.</p>
Notes for Day	<p>Free form text allowing for the entry of notes pertaining to the entire NASDAQ Daily List for the day. This data can be potentially one row that will be a free form text field allowing for entry of notes pertaining to the NASDAQ Market.</p> <p>Please Note: In the event that there are no updates to the NASDAQ Daily List, at approximately 3:00 p.m., Eastern Time, the text file will be posted containing no data except for the field names and a Note for the Day explaining that there will be no updates for the day. Vendors should be prepared to handle a text file with only field names and a Note for the Day in the absence of any NASDAQ Daily List data.</p>
Rights Basis Notes	Free form text allowing for the entry of the proportionate number of shares of an issue which the owner can purchase at the exercise price for each right owned.
Rights Exercise Price Amount	The exercise price of the rights.
Rights Expiration Date	The date on which the rights associated with the dividend expire.
Net Amount	<p>In instances where a NASDAQ-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the Net amount.</p> <p>If there is only a GROSS amount, this field will be blank.</p>

Next Day X-Dates Daily List - Definitions & Data Fields

File Format without CUSIP data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyListRV\NextDayXDate\sec46_rvmddyyyy

File Format:

X-Date | Market Category | Issue Symbol | Company Name | Dividend Type Id | Amount | Payment Freq | NOTES for each Dividend | CancelOrder | Stock Amount | Cash Amount | New TSO | QualDiv | Index | Rights Basis Notes | Rights Exercise Price Amount | Rights Expiration Date | Net Amount

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

File Format with CUSIP data

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyList\NextDayXDate\sec46_mmdyyyy

File Format:

X-Date | Market Category | Issue Symbol | Company Name | Dividend Type Id | Amount | Payment Freq | NOTES for each Dividend | CancelOrder | Stock Amount | Cash Amount | CUSIP | New TSO | QualDiv | Index | Rights Basis Notes | Rights Exercise Price Amount | Rights Expiration Date | Net Amount

The data at the bottom of the file can potentially contain a row representing the Note for the Day. The field heading will appear as: Notes for Day |||||

Definitions & Data Fields for Both Formats:

Data Field	Description
X-Date	The date and time the NASDAQ Daily List was distributed. All times are military time and Eastern Time (ET). The date format is MM/DD/YYYY. The time format is HH:MM:SS.
Market Category	The Market Category of a security. Allowed Values effective July 3, 2006: <ul style="list-style-type: none">• B - OTCBB• G - NASDAQ Global MarketSM• P - Private Placement Securities• Q - NASDAQ Global Select MarketSM• R - OTC Securities• S - NASDAQ Capital MarketSM

Data Field	Description
	<ul style="list-style-type: none"> • BOND – BOND • POR - Portal
Issue Symbol	The symbol of the issue experiencing the dividend.
Company Name	The name of the issuing company for the fund.
Dividend Type Id	<p>The following is a list of the Dividend Type Id's codes/values including a description of each code/value. Only the two-letter character will be included in the field.</p> <ul style="list-style-type: none"> • XC - Cash Dividend • CS - Cash and Stock Dividend or Split • XR - Ex-Rights • XW - Ex-Warrants • RS - Reverse Split • SO - Spin Off • CP - Stock Div. payable in another Company • XS - Stock Dividend or Split • XX - Other
Amount	<p>The amount of a dividend. The following codes are used:</p> <ul style="list-style-type: none"> • apx = approximate • ann = annual • cdn = Canadian • ext = extra • fnl = final • inc = Increase • SA = semiannual • stk = stock div • spl = special
Payment Freq	<p>If available, the value indicates the payment frequency of the dividend. The allowed values will be as follows:</p> <ul style="list-style-type: none"> • M – Monthly • Q – Quarterly • S - Semi-Annual • A – Annual • Null – Data not Available or Applicable.
NOTES for each Dividend	Free form text allowing for entry of notes pertaining to the single entry.
CancelOrder	<p>This field will indicate if open orders should be cancelled. Allowed Values:</p> <ul style="list-style-type: none"> • Y – Yes • N – No
Stock Amount	<p>When applicable, a numeric factor relating the ratio of the stock dividend. For Example:</p> <ul style="list-style-type: none"> • The factor for a 2/1 stock split would be 2 • The factor for a 2/1 reverse split would be .5 • The factor for a 3/2 stock split would be 1.5 • The factor for a stock dividend of 10% would be 1.10. <p>The factors reflect the amount that NASDAQ adjusted the stock price by on the X-Date. In cases where the Factor values differ from the Amount values, the factor will always take precedence. This occurs frequently with ADS and ADR issues types; where NASDAQ is occasionally obligated to adjust on X-Date based on an approximate value. Other</p>

Data Field	Description
	cases can result from truncation or rounding, but the factor will always reflect the field the stock price is adjusted by. Also, please note that entries without an X-Date do not get adjusted, even though a factor may be provided.
Cash Amount	<p>When applicable, this field will contain a numeric factor relating the ratio of the cash dividend. For example, the factor for an 8-cent dividend would be .08.</p> <p>Please note: In instances where a NASDAQ-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the GROSS amount.</p>
CUSIP Please note: This field will only be available within the Daily List with CUSIP Data file. The Daily List file will not contain this field.	<p>Represents the CUSIP effective on the date the NASDAQ Next Day Ex-Date List is published.</p> <p>CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since NASDAQ OMX neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: NASDAQ OMX is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.</p>
New TSO	The resulting Total Shares Outstanding (TSO) value due to the Stock Dividend or Stock Split occurring for this issue.
QualDiv	<p>Indicator used to reflect information provided by an Issuer about the dividend with regard to the taxation of the dividend under the provisions of The Jobs and Growth Tax Relief Reconciliation Act of 2003 (the "2003 Act"). This dividend status may reduce the tax on dividends, subject to all other eligibility requirements contained in the 2003 Act. Allowed Values:</p> <ul style="list-style-type: none"> • Y = Issuer has affirmed that dividend is Qualified under the 2003 Act. • N = Issuer has affirmed that dividend is Not Qualified under the 2003 Act. • U = Issuer has made no affirmation regarding the Qualified vs. Non-Qualified status of the dividend. • NULL = Data not Available
Index	<p>The index symbol(s) that the issue participates in. Each Index symbol is semicolon separated.</p> <p>For a list of the allowable values, please refer to the following web page: https://indexes.nasdaqomx.com/IndexDirectory.aspx. Please note that this list is created at the start of each trading day. Only those identified with a Market Origin of "Q" and "X" are applicable values for this field.</p>
Notes for Day	Free form text allowing for the entry of notes pertaining to the entire NASDAQ Daily List for the day. This data can be potentially one row that will be a free form text field allowing for entry of notes pertaining to

Data Field	Description
	<p>the NASDAQ Market.</p> <p>Please Note: In the event that there are no updates to the NASDAQ Daily List, at approximately 3:00 p.m., Eastern Time, the text file will be posted containing no data except for the field names and a Note for the Day explaining that there will be no updates for the day. Vendors should be prepared to handle a text file with only field names and a Note for the Day in the absence of any NASDAQ Daily List data.</p>
Rights Basis Notes	Free form text allowing for the entry of the proportionate number of shares of an issue which the owner can purchase at the exercise price for each right owned.
Rights Exercise Price Amount	The exercise price of the rights.
Rights Expiration Date	The date on which the rights associated with the dividend expire.
Net Amount	<p>In instances where a NASDAQ-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the Net amount.</p> <p>If there is only a GROSS amount, this field will be blank.</p>

Mutual Funds Daily List - Definitions & Data Fields

File Format with CUSIP data for fund name and symbol only (Restricted)

Please note: As noted in [Data News #2011-6](#), NASDAQ OMX recently introduced the MFQS Daily List / MFQS Registration Service. The new MFQS Daily List is delivered via the secured web service call as well as MFQS website. **Effective October 17, 2011**, NASDAQ OMX will cease to populate the legacy MFQS Daily List on the NASDAQ OMX Trader website. NASDAQ Daily List subscribers will continue to have access to historical MFQS corporate action data via the NASDAQ OMX Trader website until further notice.

For more information about this product offering and to ensure no loss of security master information related to Mutual Funds, please visit the [NASDAQ OMX Fund Data product page](#) on the [NASDAQ OMX Trader website](#).

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyListRV\MutualFunds\mfrvmmdyyyyy

File Format:

Daily List Date | Effective Day | Fund Event | Fund Type | Fund Code | Fund Symbol | Company Name | Exchange Traded Symbol | Exchange | New Symbol | New Company Name | CUSIP | NOTES for each Entry | Notes for Day | Pricing Agent | Dep Date | Term Date | Dist Freq | Dist Type | Corporate Action Date | Fund Family | Newspaper Heading | Newspaper Symbol

File Format with CUSIP data for all entries (Non-Restricted)

Secure FTP Directory Path/File Name

The actual IP Address is only provided when the requisite documents have been completed and the user ID/password has been assigned.

IPAddress\Trader\DailyList\MutualFunds\mfmmddyyyyy

File Format:

Daily List Date | Effective Day | Fund Event | Fund Type | Fund Code | Fund Symbol | Company Name | Exchange Traded Symbol | Exchange | New Symbol | New Company Name | CUSIP | NOTES for each Entry | Notes for Day | Pricing Agent | Dep Date | Term Date | Dist Freq | Dist Type | Corporate Action Date | Fund Family | Newspaper Heading | Newspaper Symbol

Definitions & Data Fields for Both Formats:

Data Field	Description
Daily List Date	The date and time the Daily List was distributed. All times are military time and Eastern Time (ET). The date format is MM/DD/YYYY. The time format is HH:MM:SS.
Effective Day	The date that the event is effective.

Data Field	Description
Fund Event	<p>The category of the change to the affected security.</p> <p>Allowed Values:</p> <ul style="list-style-type: none"> • Additions • Corrections - Additions/Deletions • Corrections - Name/Symbol Changes • Corrections - Newspaper Changes • Corrections - Transfers • Corrections - UIT Replacements • Deletions • Name/Symbol Change • Newspaper Change • Fund Family Change • Transfers • UIT Replacement
Fund Type	<p>The type of fund that is affected.</p> <p>Allowed Values:</p> <ul style="list-style-type: none"> • Mutual Funds • Mutual Funds Supplemental List • Money Market • Money Market Supplemental List • UIT Supplemental List • UIT News Media List • Structured Products • Annuities
Fund Code	<p>Depicts if the subcategory of security.</p> <p>Allowed Values:</p> <p>For Mutual Funds:</p> <ul style="list-style-type: none"> • Open End • Closed End <p>For Unit Investment Trusts:</p> <ul style="list-style-type: none"> • Equity • Fixed Income <p>For Money Market Funds:</p> <ul style="list-style-type: none"> • General Purpose • Government Securities • Tax Exempt Securities <p>For Structured Products:</p> <ul style="list-style-type: none"> • Access Transactions • Tax Driven Structure • Buffered Note • Principal Protected Note • Levered Note • Enhanced Income Note <p>For Annuities:</p> <ul style="list-style-type: none"> • Equity Indexed • Variable

Data Field	Description
Fund Symbol	The symbol of the fund that is being affected.
Company Name	The name of the issuing company for the fund.
Exchange Traded Symbol	The symbol that a closed end fund trades under on the listed exchange (See next field).
Exchange	The exchange that a closed end fund trades on. <ul style="list-style-type: none"> • American Stock Exchange • New York Stock Exchange • NASDAQ • US Regional Stock Exchange • Other Listed Market • Does not trade on an exchange
New Symbol	The new symbol of the fund experiencing a symbol change.
New Company Name	The new name of the fund experiencing a name change.
CUSIP	The CUSIP number of the Fund undergoing the Name/Symbol Change Only. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Both files will contain CUSIP data, however; the restricted file will only contain CUSIP data for name and symbol entries.
Notes for each Entry	Free form text allowing for entry of notes pertaining to the single entry.
Notes for Day	Free form text allowing for entry of notes pertaining to the overall list or entries on a previous day's list.
Pricing Agent	The firm responsible for the pricing of the fund.
Dep Date	Date the Unit Investment Trust terminates. The date format is MM/DD/YYYY.
Term Date	Date the Unit Investment Trust is deposited. The date format is MM/DD/YYYY.
Dist Frequency	The distribution frequency for the Unit Investment Trust. <p>Allowed Values:</p> <ul style="list-style-type: none"> • M-Monthly • Q-Quarterly • S-Semi-annually • A-Annually • O-Other
Dist Type	The type of distribution the Unit Investment Trust makes. <p>Allowed Values:</p> <ul style="list-style-type: none"> • C - Cash • R - Reinvest • W - Wrap • A - Wrap Cash • P - Wrap Reinvest

Data Field	Description
Corporate Action Date	<p>The date on which the daily list event for the fund has reported to have actually taken place. The field is intended to provide the ability to determine when a corporate action took place and not simply when the action was reported to NASDAQ. The date format is MM/DD/YYYY.</p> <p>The corresponding event and the meaning of the Corporate Action date field are:</p> <ul style="list-style-type: none"> • Addition: the inception date of the fund; • Deletion: date the fund was terminated, liquidated or merged; • Name/Symbol Change: the date the fund name change actually took place.
Fund Family	<p>The name of the group or fund complex to which a particular fund belongs. For example, the Spartan 500 Index Fund belongs to the Fidelity Investments fund family. For unit investment trusts (UITs) the field will contain the name of the Sponsor firm.</p>
Newspaper Heading	<p>The title under which the fund will appear in print newspapers.</p>
Newspaper Symbol	<p>The set of characters that will be used to denote the fund in print Newspapers.</p>

Document Revision Log

May 30, 2012

NASDAQ OMX added one new field to the Dividend and Next Day Ex-Date file formats (with and without CUSIP) — Issue Sub-Type.

November 1, 2011

NASDAQ OMX updated the document to reflect changes to the following allowable values:

- Listing Center:
 - Z - BATS BZX Exchange
- Delisting Reason:
 - Added Listed on Amex with Listed on BATS

August 30, 2011

NASDAQ OMX made the following changes to support the September 30, 2011 release:

- Added one new field to the NASDAQ Equities file formats (with and without CUSIP) – IPO Flag.
- Included a note in the Mutual Funds Daily List section indicating the retirement of the availability of this information via the Daily List Entitlement.

July 30, 2010

NASDAQ OMX added one new field to the Dividend and Next Day Ex-Date file formats (with and without CUSIP) – Net Amount. In addition, the Cash Amount field description was updated to indicate the value that will be provided in certain instances when a NASDAQ-listed issue declares a dividend with both Gross and Net amount or only with Gross amount.

March 26, 2010

NASDAQ OMX updated the Index Participation description to indicate that the allowable values have been expanded to be consistent with NASDAQ OMX's global index service offerings, Global Index Data ServiceSM (GIDSSM) and Global Index Watch (GIW). This modification provides subscribing customers the most accurate and complete list of NASDAQ OMX indexes in which a NASDAQ equity security participates.

October 20, 2009

NASDAQ OMX updated the CUSIP description to indicate that this field will represent the CUSIP as of the date the following lists are published:

- NASDAQ Dividend Daily List
- NASDAQ Next Day Ex-Date List

August 25, 2009

NASDAQ OMX updated the document to reflect changes to the following allowable values:

- Delisting Reason:
 - Replaced Listed on Amex with Listed on NYSE Amex
 - Added Listed on NYSE ARCA, CBOE, NCM, NGM and NGS
- Issue Type:
 - Removed the following as they are no longer applicable: D, E, G, X, Y, Z
- Updated the description of Notes for Day to reflect how this field is being used currently in production
- Updated the description of the Index field to direct customers to the list of allowable index values updated at the start of each trading day.

In addition, NASDAQ OMX updated the Mutual Fund Daily List to reflect the changes that occurred with the March 2, 2009 release.

Finally, NASDAQ OMX added the following new fields to coincide with the October 30, 2009 release:

- NASDAQ Equities Daily List with CUSIP: Added Old CUSIP
- NASDAQ Dividends and Next Day Ex-Date:

- Rights Basis Notes
- Rights Exercise Price Amount
- Rights Expiration Date