



MFQS WEBSITE USER GUIDE (VERSION 2017-2)

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INTRODUCTION

Overview

Introduced in 2011, the Mutual Fund Quotation ServiceSM (MFQSSM) website is designed to facilitate the instrument registration and daily price submission process for mutual funds, money market funds, unit investment trusts (UITs), annuities, alternative investment products (AIPs), structured products, and NextShares. The MFQS website also facilitates the distribution of MFQS security master information, valuation / distribution reports and financial documentation to the market data community.

Please note that the MFQS website has separate entitlement levels for issuers, administrators, pricing agents and market data vendors. Please see the MFQS Website Content section of this document for more information on the firm access levels.

Upcoming Releases Recent Releases

On or about **August 28, 2017**, Nasdaq will add 18 new data fields to the MFQS Secure Website:

- Nasdaq will add Instrument Class field - Nasdaq will provide all share class classifications in a standard format in a separate field. For existing instruments, current share classes will be assigned based on what MFQS currently has in the system.
- Nasdaq will add ISIN field for International Securities.
- Nasdaq will add 8 Expenses fields and 8 corresponding As of date fields:
 - Management Fees
 - Account / 12b-1 Fees
 - Other Expenses
 - Total Expense Ratio
 - Front load
 - Level Load
 - Deferred load
 - Redemption Fee

For full release details, please refer to [MFQS News #2017-3](#).

On **June 5, 2017**, Nasdaq made the following changes to the MFQS website:

- Nasdaq updated MFQS website to streamline navigation to include MFQS symbol generation page access for MFQS issuers and administrators.
- Nasdaq introduced two new Instrument Code values for Interval Fund and Business Development Company (BDC).
- Nasdaq added three new Instrument Registration values to instruments registered with the U.S. Commodity Futures Trading Corporation (CFTC), instruments except from U.S. regulatory agency registration requirements, and non-registered funds.
- Nasdaq introduced [a new CSV file upload option](#) for MFQS 0050 message formats for MFQS pricing agents.

For full release details, please refer to [MFQS News #2017-2](#).

On **July 11, 2016**, Nasdaq introduced two changes to facilitate the NAV reporting process under the SEC Money Market Reform Act.

- Nasdaq will introduce a new Investor Type field to MFQS instrument applications as well as MFQS directory and MFQS valuation reports. The new field is intended to differentiate institutional and retail funds.
- Nasdaq will add a Calculation Time field to the Money Market Fund valuation screens and MFQS valuation reports. The new field is intended to help MFQS pricing agents to report intraday NAV values at fixed time intervals for institutional money market funds.

In addition, Nasdaq provides access to the non-pricing instrument to MFQS pricing agents and MFQS issuers. The report is intended to help firms to clean up non-pricing instruments and avoid MFQS billing issues. For full release details, please refer to [MFQS News #2016-1](#).

On **February 22, 2016**, Nasdaq introduced two new Deletion Reason codes for instrument conversions and instrument reorganizations. Nasdaq also introduced a new Document Type value for Statements of Reorganization. Nasdaq also removed MFQS application fee references as the result of the 2016 MFQS fee structure changes.

In **September 2015**, Nasdaq introduced code to support NextShares Exchange Traded Managed Funds on the MFQS system. The new asset class will be identified by the Instrument Type / Tier code of "EM" in MFQS reports. Nasdaq also moved the open time for the MFQS valuation module up to 8:00 a.m., Eastern Time (ET). For details, please refer to [MFQS News #2015-3](#).

On **April 13, 2015**, Nasdaq added three new MFQS footnote codes to the valuation module: Redemption Gate, Liquidity Fee and Repurchase Period. In addition, Nasdaq will also modify the secured MFQS website landing page to make it easier for MFQS subscribers to stay informed of MFQS system changes and upcoming events. For details, please refer to [MFQS News #2015-1](#).

As of **August 11, 2014**, Nasdaq supports test symbols on all MFQS interfaces and reports. To clearly delineate test from production securities, Nasdaq added a Test Symbol Flag field to the MFQS Daily List and MFQS Directory download files and a Status field to other MFQS web-based reports including the Today's Price History and Ex-Date reports. As part of the release, Nasdaq also standardized field names and values across MFQS interfaces. For details, please refer to [MFQS News #2014-5](#).

Sign Up Process

Issuers, Administrators and Pricing Agents

To access the MFQS website as an issuer, administrator or pricing agent, a firm must have executed the [MFQS Access Agreement](#) with Nasdaq®. In addition, the firm must:

1. Complete the [MFQS Website Enrollment Form](#) and return it to [Nasdaq Mutual Fund Operations](#). The MFQS Website Enrollment Form is designed to capture firm profile information from MFQS issuers as well as to identify the individual users to be set up in the MFQS system.
2. Once your firm has been set up in the system, Nasdaq will contact the individual users listed on the form via email with security certificate download instructions as well as user ID and password information.

Market Data Vendors

To access the MFQS website as a market data vendor, a firm must have executed the [Nasdaq Global Data Agreement](#) with Nasdaq. In addition, a firm must:

1. Submit the [Data Product Request Form](#) for the MFQS Daily List reports and/or Mutual Fund Dissemination Service (MFDS) web delivery option entitlement to [Nasdaq Global Information Services](#) at the time of product initiation. See Appendix for MFQS data product descriptions.
2. Submit the [Web-Based Data Logon Request Form](#) to Nasdaq Global Information Services to add, change or remove firm users.
3. Once your firm has been set up in the MFQS system, Nasdaq will contact the individual users listed on the form via email with security certificate download instructions as well as user ID and password information.


Log In

1. Go to the MFQS website (<https://www.nasdaqmfqs.com>) during the following hours of operation.

| MFQS System Name | MFQS Top Navigation Menu Options | Hours of Operation |
|-------------------|-----------------------------------|-------------------------------------------------------------------------------------------------------------|
| Registration Site | Instrument, Download, and Reports | Opens for the week on Monday at 12:00 a.m., Eastern Time (ET); Closes for week on Friday at 11:00 p.m., ET. |
| Valuation Site | Valuation | Open on U.S. trading dates from 8:00 a.m. to 8:00 p.m., ET. |

2. To access the system, a MFQS security certificate, User ID and password are required.

Note: MFQS website users should remember to save work frequently. For security reasons, the MFQS will automatically log users out of the system after 15 minutes of inactivity.

MFQS

MFQS

Overview

Operated by Nasdaq Inc, the MFQS system facilitates the collection and dissemination of valuation data for the following asset classes:

- Open End Mutual Funds
- Closed End Mutual Funds
- Interval Funds
- Business Development Company (BDC)
- NextShares Exchange Traded Managed Funds
- Money Market Funds
- Unit Investment Trusts
- Annuities
- Structured Products
- Alternative Investment Products

Website Functionality

The MFQS system is comprised of two modules:

REGISTRATION SERVICE

Used by issuers and administrators to request new MFQS tickers and to report corporate actions (such as name changes, mergers / acquisitions and liquidations)

VALUATION SERVICE

Used by issuers and pricing agents to report valuation, dividend, and distribution data for live MFQS instruments.

Reports and download files are available for all firms to access as long as the MFQS system is open.

To access the MFQS website, Nasdaq requires that users have a valid MFQS user ID, password and security certificate.

Please refer to the [MFQS Web User Guide](#) for additional information.

Contact Information

General MFQS inquiries should be directed to [Nasdaq Mutual Fund Operations](#) at 1 301 978 5307 (Option 6).

Technical issues with MFQS user IDs, passwords and security certificates should be directed to [Nasdaq Trading Services](#) at +1 212 231 5180.

All Firms

- [MFQS Web User Guide](#)
- [MFQS Technical Specifications](#)
- [MFQS Price List](#)
- [MFQS FAQs](#)
- [Nasdaq Invoice Inquiry](#)
- [NextShares](#)

Issuers & Pricing Agents

- [MFQS Agreements & Forms](#)
- [MFQS Firm Set Up / Logon Request Form](#)
- [MFQS News](#)

Market Data Vendors

- [Global Data Agreements & Forms](#)
- [Nasdaq Data Web Logon Request Form](#)
- [Data News](#)
- [Data Technical News](#)

System Requirements

For best results, Nasdaq recommends that firms use one of the following browsers to access the MFQS website:


- Microsoft Internet Explorer (IE) – Version 11.0 and higher
- Mozilla Firefox – Version 51 and higher
- Google Chrome – Version 56 and higher

Please note that Nasdaq reserves the right to update its browser recommendations with each MFQS website release. Please contact [NASDAQ Trading Services](#) if you experience any problems with the MFQS-supported browsers or security entitlement schema.

MFQS Landing Page – Logged In View

The MFQS landing page is used to relay important system notifications as well as upcoming testing / release dates to users. From the MFQS landing page, users can also view instrument level and reporting statistics for the MFQS system.

MFQS



HOMEINSTRUMENTSVALUATIONDOWNLOADSREPORTS

Search for Symbol Or CUSIP...

USER HOME PAGE

MFQS System News

MFQS NEWS

- MFQS News #2017-1: Nasdaq Releases Version 1.8 of the MFQS Access Agreement

MFQS Instrument Statistics

| Issuer Name | Live Instruments | Pending Actions - Approved | | | Pending Actions - Action Needed | |
|-----------------------------|------------------|----------------------------|-----------|-----------------|---------------------------------|------------------|
| | | Additions | Deletions | Change Requests | Saved / Not Submitted | Pending Approval |
| Nasdaq | 140 | 1 (1) | 0 (0) | 0 (0) | 1 | 0 (Return 0) |
| Nasdaq Test Firm (for UATs) | 3 | 0 (0) | 0 (0) | 0 (0) | 47 | 0 (Return 0) |

MFQS Reporting Statistics

Filter by:

Filtered by:

| Type | Total Number | NAV Price | Valuations | NAV as NA | Not Updated | NAV Updates for Prior Day | Distributions | |
|------------------------------------|--------------|-----------|------------|-----------|-------------|------------------------------|--------------------|-------------------|
| | | | | | | | Dividends/Interest | Cap Distributions |
| Mutual Funds (MF) - All | 29314 | 0 | 0 | | 29314 | 0 | 0 | 0 |
| MF - News Media | 9337 | 0 | 0 | | 9337 | 0 | 0 | 0 |
| MF - Supplemental | 19977 | 0 | 0 | | 19977 | 0 | 0 | 0 |
| Money Market Funds (MMF) - All | 1262 | 0 | 0 | | 1262 | 0 | 0 | 0 |
| MMF - News Media | 579 | 0 | 0 | | 579 | 0 | 0 | 0 |
| MMF - Supplemental | 683 | 0 | 0 | | 683 | 0 | 0 | 0 |
| Unit Investment Trusts (UIT) - All | 4382 | 0 | 0 | | 4382 | 0 | 0 | 0 |
| UIT - Debt | 1545 | 0 | 0 | | 1545 | 0 | 0 | 0 |
| UIT - Equity | 2837 | 0 | 0 | | 2837 | 0 | 0 | 0 |
| Annuities | 51 | 0 | 0 | | 51 | 0 | 0 | 0 |
| Structured Products | 12 | 0 | 0 | | 12 | 0 | 0 | 0 |
| Alternative Investment Products | 16 | 0 | 0 | | 16 | 0 | 0 | 0 |
| NextShares | 8 | 0 | 0 | | 8 | 0 | 0 | 0 |
| TOTAL | 35045 | 0 | 0 | | 35045 | 0 | 0 | 0 |

Please note that the MFQS Instrument Statistics section of the page is viewable only to users with the issuer or pricing agent tokens.
Please note that the MFQS instrument statistics table varies depending on user access tokens.

For users with the issuer token, the display shows the current instrument count as well as pending action counts for each fund family / trust sponsor associated with his account (as shown above).

MFQS Instrument Statistics

| Issuer Name | Live Instruments | Pending Actions - Approved | | | Pending Actions - Action Needed | |
|-------------|------------------|----------------------------|-----------|-----------------|---------------------------------|------------------|
| | | Additions | Deletions | Change Requests | Saved / Not Submitted | Pending Approval |

For users with the pricing agent token, the display shows the count of instrument records that were updated for the current business day and the count of instrument records to be updated on the next business day.

Website Content Areas

The MFQS top navigation menu items vary by user access level. The main navigation options are:

- Home
- Instruments
- Valuation
- Downloads
- Reports

Navigation Menu Option

Instruments

| | | |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Access Level | MFQS Issuers and MFQS Fund Administrators | |
| System Hours | Mondays at 12:00 a.m., ET through Fridays at 10:00 p.m., ET | |
| Purpose | <p>From this section, issuers and administrators can query and update the MFQS security master records for its firm. Specifically, issuers and administrators can:</p> <ul style="list-style-type: none"> • View the MFQS security master records for those MFQS instruments • Create new MFQS instrument applications • Submit an update to existing MFQS instrument records (e.g., name/symbol change request applications, UIT replacement application) • Upload financial reports for vendors to access via the MFQS documentation repository • Check the status of pending MFQS application | |
| Menu Choices | Navigation Item | Purpose |
| | <i>Issuer / Administrator Access</i> | |
| | New Listing Application | Allows firm to submit a new MFQS instrument application online |
| | Awaiting Completion | Allows a firm to retrieve saved (non-submitted) applications |
| | Pending Approval | Allows firms to check on the status of a new listing application or change request application in queue |
| | Live Instruments | <p>Allows firms to see their current list of live instruments</p> <p>From the list, firms can view Instrument Summary (MFQS security master information) for a given symbol or CUSIP</p> <p>From the Instrument Summary page, firms can initiate a MFQS change request application, UIT replacement application or upload financial documentation</p> |
| | Instrument History | Allows firms to query a MFQS instrument application history for a single ticker symbol or CUSIP. |

| | |
|-------------------------|--------------------------------------------------------------------------------------|
| Symbol Generator | Allows firms to generate list of available MFQS symbols based on specified criteria. |
|-------------------------|--------------------------------------------------------------------------------------|

Navigation Menu
Option

Valuation

| | | |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Access Level | MFQS Pricing Agents | |
| System Hours | U.S. Trading Dates from 8:00 a.m., ET to 8:00 p.m., ET | |
| Purpose | From this section, MFQS pricing agents can submit daily valuation data for the full range of MFQS instruments. Nasdaq offers multiple data entry options, including web batch file upload and portfolios. | |
| Menu Choices | Navigation Item | Purpose |
| | Batch File Upload | From this page, a MFQS user can manually upload a file containing MFQS daily valuation, dividend/interest and distribution data from his computer to the MFQS system For information on how the file should be formatted, please refer to the MFQS Web Batch Fixed Length File Upload specification document or the MFQS Web Batch CSV File Upload specification document on the Nasdaq Trader® website Firms looking to automate the file upload process may wish to consider the MFQS FTP data entry option |
| | Data Entry – Single Security | From this page, a MFQS user can view or update daily valuation, dividend/interest and/or distribution data for a single MFQS symbol or CUSIP |
| | Data Entry – Portfolio | From this page, a MFQS user can view or update daily valuation, dividend/interest and/or distribution data for a customer-defined portfolio of MFQS instruments Please note that MFQS portfolio cache period is 15 minutes. Firms are advised to refresh portfolio screens every 15 minutes during data entry. |
| | Portfolio Set-Up | From this page, a MFQS user can create, edit or delete MFQS instrument portfolios for its firm |
| | Today's Price History | From this page, a MFQS user can view a report of the current day's entries for an instrument, an issuer, a portfolio of instruments, or a pricing agent |

Navigation Menu
Option

Downloads

| | | |
|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| Access Level | MFQS Daily List subscribers have <u>full</u> access to the MFQS download section functionality | |
| | MFQS Issuers, Administrators and Pricing Agent subscribers have firm-specific access to the MFQS download section functionality | |
| System Hours | Mondays at 12:00 a.m., ET through Fridays at 10:00 p.m., ET | |
| Purpose | From this section, firms can download the MFQS Daily List file of pending security changes Firms can also download the MFQS symbol directory file with CUSIPs as well as posted MFQS financial documentation files | |
| Menu Choices | Navigation Item | Purpose |
| | Daily List | From this page, firms may query and/or download the MFQS Daily List reports with advance notification of MFQS instrument changes |

| | |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Market data vendors should refer to the MFQS Daily List specifications for file format and automated file retrieval options |
| Symbol Directory | <p>From this page, firms may query and/or download the MFQS instrument directory file with CUSIPs</p> <p>Only MFQS Daily List subscribers will have full access rights to the Symbol Directory file; refer to the MFQS Daily List specifications for details on the Directory file format and automated file retrieval options</p> <p>All other MFQS website users will be limited to Symbol Directory data for those instruments associated with their firm</p> |
| Documentation Repository | <p>From this page, Nasdaq Daily List subscribers may view and download non-confidential financial reports uploaded to the MFQS system by issuers and administrators for any and all MFQS instruments</p> <p>From this page, issuers and administrators may view all other documentation uploaded to the website for those instruments associated with their firm</p> |

Navigation Menu Option

Reports

| | | | | | |
|--------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------------------|------------------|-------------|
| Access Level | All MFQS website users have access to Reports menu Report level entitlements apply as noted below | | | | |
| System Hours | Historical reports may be downloaded from Mondays at 12:00 a.m., ET, to Fridays at 10:00 p.m., ET | | | | |
| Purpose | Same day reports may be downloaded on U.S. Trading Dates from 9:00 a.m., ET to 10:00 p.m., ET From this section, MFQS website users may view and download MFQS instrument and valuation reporting statistics The following reports are available to all MFQS users: <ul style="list-style-type: none">• Counts by MFQS issuer• Counts by MFQS pricing agent• Updates by instrument type• Updates by time interval• Ex date report• Update statistics (current day) As of July 11, 2016, the following report is available to users with MFQS pricing agent and/or MFQS issuer token: <ul style="list-style-type: none">• Non-pricing instrument report The following reports are available to firms with a Mutual Fund Dissemination Service (MFDS) web service subscription (fees apply): <ul style="list-style-type: none">• Valuation Report – All Funds• Valuation Report – Money Markets• Valuation Report – Dividends• Valuation Report – Distributions | | | | |
| Menu Choices | Nasdaq currently offers the following reports: | | | | |
| | Report Name | Format | Update Frequency | Retention Period | Description |
| | All MFQS Users | | | | |

| | | | | |
|----------------------------------|--------------------------------|-----------------------------------------------------------------|--------|-------------------------------------------------------------------------------------------------------------------|
| Count by MFQS Issuer | Download (pipe, CSV or XML) | Monthly | 1 year | Count of MFQS instruments by asset class for each issuer on last trading day of given month |
| Count by MFQS Pricing Agent | Download (pipe, CSV or XML) | Monthly | 1 year | Count of MFQS instruments by asset class for each pricing agent firm on last trading day of given month |
| Updates by Instrument Type | Download (pipe, CSV or XML) | Monthly | 1 year | Daily snapshot of MFQS valuation updates for each asset class |
| Updates by Time Interval | Download (pipe, CSV or XML) | Monthly | 1 year | Aggregated count of MFQS valuation updates processed by 15 minute time intervals |
| Ex-Date | Download (pipe, CSV or XML) | Daily | 1 year | Dividend and capital distributor records reported into the MFQS system for a given ex date |
| Update Statistics | Web page | Intraday (Updated every 5 seconds from 9 a.m. to 8 p.m., ET) | N/A | Current count of MFQS valuation update processed for each instrument type / tier during the current trading day |
| Non-Pricing Instruments | Download (pipe, CSV or XML) | Monthly | 1 year | MFQS instruments that were live in the system but did not remit daily valuation data during a given month |
| MFDS Web Service Users | | | | |
| Valuation Report – All Funds | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS valuation for all mutual fund, UIT, annuity, AIP and structured product instruments processed on a given day |
| Valuation Report – Money Markets | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS valuation entries for all money market funds processed on a given date |
| Valuation Report - Dividends | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS dividend entries for all instruments processed on a given date |
| Valuation Report – Distributions | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS capital distribution entries for all instruments processed on a given date |

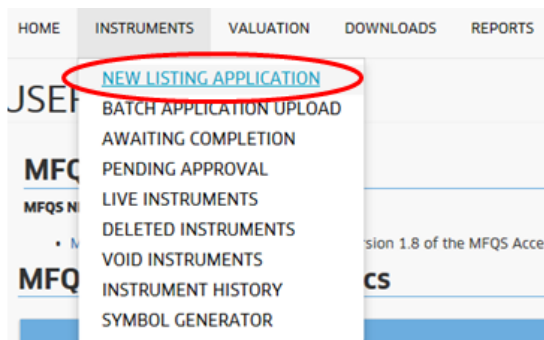
INSTRUMENTS

The Instruments section of the MFQS website is designed to capture instrument application and financial documentation from MFQS issuers and administrators.

In this section, Nasdaq reviews the process for application submission for new instruments, UIT replacements, name/symbol changes and deletion. Nasdaq also reviews the process for uploading financial documentation without an associated registration action.

Add Instruments

1. Refer to [Attachment A of the MFQS Access Agreement](#) to ensure that an instrument meets Nasdaq's minimum eligibility requirements.
2. From the Instruments drop down menu, select "New Listing Application".



3. Fill in the fields on the New MFQS Instrument Application form.
 - For **MFQS Symbol**, the Nasdaq standard is as follows:

| Instrument Type / Instrument Code | Symbol Assignment Rules | Example |
|--------------------------------------------------|---------------------------------------------------------------------------------------|---------|
| Mutual Fund – Open End | 5 character symbol ending with X First character should not be X. | ABCDX |
| Mutual Fund – Closed End | 5 character symbol beginning and ending with X | XABCX |
| Mutual Fund – Interval Fund | 5 character symbol ending with X | ABCDX |
| Mutual Fund – Business Development Company (BDC) | 5 character symbol ending with X | ABCDX |
| Money Market Fund | 5 character symbol ending with XX | ABCXX |
| Unit Investment Trust (UIT) | 6 character symbol ending with X First character should not be Q, X or Z. | ABCDEX |
| Annuity | 6 character symbol beginning with Q and ending with X | QABCDX |
| Structured Products | 6 character symbol beginning and ending with X | XABCDX |
| Alternative Investment Product (AIP) | 6 character symbol beginning with Z and ending with X | ZABCDX |
| NextShares | 7 character symbol consisting of Nasdaq 5 character exchange ticker plus suffix "NX". | ABCDXNX |


- Note: Once MFQS symbol is entered, the MFQS system will verify the symbol availability. If the requested MFQS symbol is currently in use or was previously used, the system will reflect its status on the screen.
 - If the status is live, pending or approved, it means that the requested MFQS symbol is currently assigned to other instrument. User must select another ticker prior to application submission.
 - If the status is deleted or closed, it means that the requested MFQS symbol was previously assigned to another instrument in the MFQS system. If the "last used" date is less than 2 years ago, Nasdaq strongly recommends that user select another ticker prior to application submission.
 - Firms may use the Symbol Generator page to create list of available symbols based on specified criteria if needed.

- Once Instrument Type, Instrument Code and Instrument Tier fields are selected in the Listing Type section, the display will change to show those fields to be populated for the given asset class. All fields marked with an asterisk (*) are required.

NEW LISTING APPLICATION

| | | |
|-------------------------------|-----------------------------------|---|
| Organization | Nasdaq | ▼ |
| Organization (by Issuer Name) | Search for Organization by Issuer | ▼ |





Security Registration

| | | |
|-------------------------|---------------------------------------|-----------------------------------------------------------------------------------|
| Issuer Name | Select Fund Family | ▼ |
| Instrument Name | | |
| Instrument Class | Select Instrument Class | ▼ |
| Country Of Issuance | UNITED STATES | ▼ |
| CUSIP | 000000000 | |
| ISIN | | |
| MFQS Effective Date | |  |
| MFQS Symbol | | |
| Instrument Registration | U.S. Securities and Exchange Commi... | ▼ |

Listing Information

| | | |
|------------------------|-------------------------------|---|
| Instrument Type | Mutual Fund | ▼ |
| Instrument Code | Open Ended Fund | ▼ |
| Instrument Tier | Supplemental / Standard List | ▼ |
| Investor Type | Not Available | ▼ |
| Distribution Type | Select Distribution Type | ▼ |
| Distribution Frequency | Select Distribution Frequency | ▼ |
| Pricing Frequency | Daily | ▼ |
| Currency | US Dollar | ▼ |

Investment Information

| | | |
|-------------------------------|--------------------------|-------------------------------------------------------------------------------------|
| Inception Date | |  |
| Number of Shareholders | | |
| Number of Shareholders Date | |  |
| Total Shares Outstanding | | |
| Total Shares Outstanding Date | |  |
| Total Net Assets | | |
| Total Net Assets Date | |  |
| Open to New Investors | <input type="checkbox"/> | |
| NSSC Clearing Eligible | No | ▼ |

| | |
|-----------------------------------|----------------------|
| NAV - Inception Date | <input type="text"/> |
| Total Net Assets - Inception Date | <input type="text"/> |
| Minimum Initial Subscription | <input type="text"/> |
| Minimum Incremental Subscription | <input type="text"/> |

Expense

Enter fees 0-100%, format allows 000.000. Leave blank if not assigned.

| | | | | |
|----------------------|----------------------|--------|----------------------|--|
| Management Fees | <input type="text"/> | AS OF: | <input type="text"/> | |
| Account / 12b-1 Fees | <input type="text"/> | AS OF: | <input type="text"/> | |
| Other Expenses | <input type="text"/> | AS OF: | <input type="text"/> | |
| Total Expense Ratio | <input type="text"/> | AS OF: | <input type="text"/> | |
| Front load | <input type="text"/> | AS OF: | <input type="text"/> | |
| Level load | <input type="text"/> | AS OF: | <input type="text"/> | |
| Deferred load | <input type="text"/> | AS OF: | <input type="text"/> | |
| Redemption Fee | <input type="text"/> | AS OF: | <input type="text"/> | |

Contact Information

| | |
|-----------------|----------------------------|
| Listing Contact | * MFQS, Operations ▼ |
| Billing Contact | * MFQS, Operations ▼ |
| Pricing Agent | * Select Pricing Contact ▼ |

Instrument Status

Instrument Status Not Submitted

| Action | Reject/Return Reason | Fee | Created By | Created Date | Updated By | Updated Date |
|---------------------------------------|----------------------|-----|------------|--------------|------------|--------------|
| There is no Action History to display | | | | | | |

Save

- As part of July 11, 2016 release, Investor Type field will be added to MFQS instrument applications. In preparation for the release, Nasdaq will reach out to MFQS issuers and MFQS administrators to request the proper field value. Subsequent to the release date, the Investor Type field will be required for new Money Market Funds and optional for all other MFQS instrument types.
- As part of August 28, 2017 release, Nasdaq will add Instrument Class, ISIN, Expense, and corresponding As of Date fields to MFQS instrument applications.

4. Upon clicking on the "Save" button, you will see a prompt to advise you an additional section entitled "Supporting Documentation" appear at the bottom of the form.
5. Firms **must** upload the required supporting documentation listed on the MFQS website.

- Select the appropriate supporting document description from the Documentation Type drop-down menu. **Please note that MFQS currently only accepts supporting documentation in PDF file format.**
- Indicate the appropriate Documentation Release. Note: Unless you check the “Confidential” box in this section, the supporting document will be released for market data vendors to access on the MFQS effective date.
- Click on the box next to the certification statement.
- Once the certification box is checked, follow the prompts to select and open the appropriate document from your computer.

Supporting Documentation

Document Type
Draft Prospectus

Document Language
English

Document Release
☐ Confidential

Document Description

Name Change
Statutory Prospectus
or
Summary Prospectus
or
Resolution of Name Change

Listing Tier Change
Statutory Prospectus
or
Summary Prospectus

All other changes which are made on this page do not require documents for submission.
Accepted file formats: PDF

☒ I certified that I have the authority to submit supporting documentation on behalf of the Issuer.
☐ Checked confirmation email would not be generated. This needs to be checked before submission.

Upload File

No documents have been uploaded

Instrument Comments
Leave Comment

There are no comments to display

Choose File to Upload

Libraries > Documents >

Organize New folder

Favorites
Desktop
Libraries
Downloads
Recent Places

Documents library
Includes: 2 locations

| Name | Date modified | Type |
|-----------------------|--------------------|-------------------------|
| Added Value Convo | 2/22/2017 4:49 PM | File folder |
| CAPI | 2/21/2017 11:35 AM | File folder |
| MFQS application tabs | 2/9/2017 4:52 PM | File folder |
| Training Manual | 5/20/2016 4:20 PM | File folder |
| My Data Sources | 5/19/2016 2:42 PM | File folder |
| Refund Requests | 12/16/2015 5:13 PM | File folder |
| Outlook Files | 7/7/2014 4:08 PM | File folder |
| Userguide screenshots | 3/22/2017 3:06 PM | Microsoft Word document |

File name:
All Files (*.*)

- Once documentation is uploaded, check the box next to the certification statement at the bottom of the page and then click on the Submit button.
- If there is a problem with the data entry, Nasdaq will show the issue in red at the bottom of the document. Please contact [MFQS Operations](#) if you have a question on how to resolve the stated data entry issue.

☒
I have certified that I have the legal authority to submit MFQS listing actions on behalf of the Issuer.
I warrant and represent that the instrument meets MFQS eligibility standards.

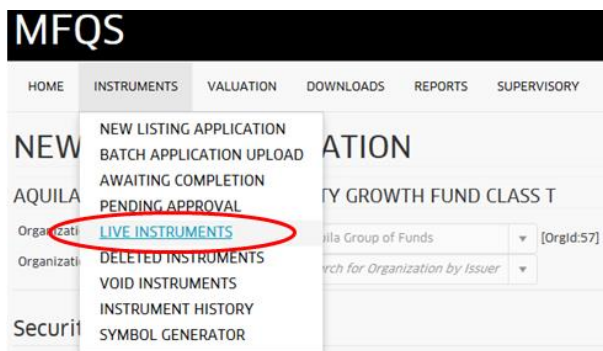
• Please enter valid 9 character alphanumeric CUSIP.

- Once application is accepted, user will see a confirmation message on the screen.
- Once application is approved by MFQS Operations team, the listing contact associated with the application will receive an email confirmation with the MFQS instrument set up information.

Nasdaq will invoice firms based the MFQS effective date on the New MFQS Instrument Application. **Please note that it is the MFQS user's responsibility to notify Nasdaq as soon as an issuance is postponed or cancelled.** To prevent billing issues, the user must update the target instrument launch date or withdraw the MFQS new instrument application prior to the MFQS effective date on the application.

Instrument Change Request

1. From the Instruments drop down menu, select "Live Instruments".



2. Locate the MFQS Instrument to be modified on the Live Instruments menu.
 - Live Instruments menu will show all active MFQS instruments for which the user is entitled to view.
 - Use filter boxes at the top of the Live Instruments menu to locate the specific record to be modified. Filters include: MFQS Symbol, Instrument Name, Issuer Name, CUSIP, Instrument Type, Instrument Code and Instrument Tier.
 - Once you locate the MFQS instrument to be modified, click on the "View" link on the left side of the Live Instruments menu.

MFQS

Nasdaq

HOMEINSTRUMENTSVALUATIONDOWNLOADSREPORTSSUPERVISORY

Search for Symbol Or CUSIP...

LIVE INSTRUMENTS

Refresh

| | Delete | Symbol | Instrument Name | Issuer Name | Family ID | CUS |
|------|--------|--------|----------------------------------------------------------------|------------------------------------|-----------|-----|
| View | X | AAAAX | Deutsche Alternative Asset Allocation Fund Class A | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAAGX | Thrivent Large Cap Growth Fund Class A | Thrivent Funds | 7 | 885 |
| View | X | AAAIX | American Century Strategic Allocation - Aggressive Instl Class | American Century Investments | 31 | 025 |
| View | X | AAAPX | Deutsche Alternative Asset Allocation Fund Class C | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAARX | American Century Strategic Allocation Aggressive CI R | American Century Investments | 31 | 025 |
| View | X | AAASX | Deutsche Alternative Asset Allocation Fund Class S | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAATX | American Fds 2010 Target Date Retirement Fd CI A | American Funds, Inc. | 36 | 026 |
| View | X | AAAZX | Deutsche Alternative Asset Allocation Fund Instl Class | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AABCX | Putnam Dynamic Asset Allocation Balanced Class C | Putnam Investments | 530 | 746 |
| View | X | AABFX | Thrivent Balanced Income Plus Fund Class A | Thrivent Funds | 7 | 885 |
| View | X | AABPX | American Beacon Balanced Fund Investor Class | American Beacon Funds | 34 | 023 |
| View | X | AABTX | American Fds 2015 Target Date Retirement Fd CI A | American Funds, Inc. | 36 | 026 |
| View | X | AACCX | American Century Strategic Allocation: Conservative Class C | American Century Investments | 31 | 025 |
| View | X | AACFX | Invesco Greater China Fund CI A | Invesco Funds | 22 | 001 |
| View | X | AACIX | American Beacon Mid-Cap Value Fund Institutional Class | American Beacon Funds | 34 | 023 |
| View | X | AACRX | American Century Strategic Allocation Conservative Class R | American Century Investments | 31 | 025 |

12345678910...Page size: 50

35170 items in 704 pages

3. Once the View option is selected, MFQS will display the Instrument Summary for the selected record. Once you have confirmed that this is the correct record to be modified, click on the “Update Instrument” button on the left side of the page.

MFQS

Nasdaq

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Search for Symbol Or CUSIP...

INSTRUMENT SUMMARY

CurrentHistory

Change Request Menu

MFQS Attribute Change

TEST

Basic Information

Instrument Name

Nasdaq Test - UIT Equity

MFQS Symbol

TESTYX

Issuer Name

NASDAQ Test Funds (FamilyID: 1287)

Country Of Issuance

UNITED STATES

CUSIP

000000000

Print

4. On the “MFQS Instrument Change Request” page, Nasdaq will display the current instrument information in the MFQS system Service for the selected instrument.

- Enter your requested edits in the “Change” column of the page.
- Please note that all fields marked with an asterisk (*) are required to be entered by the user.
- Once you have completed your edits, click on the “Save” button at the bottom of the page.

MFQS INSTRUMENT CHANGE REQUEST

NASDAQ TEST - UIT EQUITY

Security Registration **TEST**

Live Instrument

Organization * Nasdaq [OrgId: 470]

Issuer Name * NASDAQ Test Funds [FamilyId: 1287]

Instrument Name * Nasdaq Test - UIT Equity

Instrument Class *

Country Of Issuance * UNITED STATES

CUSIP * 000000000

ISIN

MFQS Effective Date * 5/18/2015

Issuer Corporate Action *

MFQS Symbol * TESTYX

Instrument Registration * U.S. Securities and Exchange Commission

Changes

Nasdaq
[OrgId:470]

NASDAQ Test Funds [FamilyId:1287]
[FamilyId:1287] [CUSIP:] [Live: 145] [Pend: 0]

Nasdaq Test - UIT Equity

Select Instrument Class

UNITED STATES

000000000

TESTYX

U.S. Securities and Exchange Commissio

Current Target Date: 5/18/2015

Listing Information

Instrument Type * Unit Investment Trust

Instrument Code * Debt UIT

Investor Type * Not Available

Deposit Date * 1/2/2013

Termination Date * 1/2/2019

Distribution Type Cash

Distribution Frequency * Monthly

Par Value Per Unit / Share

Pricing Frequency * Daily

Currency * US Dollar

Investment Information

Inception Date * 1/2/2013

Number of Shareholders

Number of Shareholders Date

Total Shares Outstanding

Total Shares Outstanding Date

Total Net Assets

Total Net Assets Date

| | | |
|-----------------------------------|----|-----------------|
| NSCC Clearing Eligible | No | <div>No ▼</div> |
| NAV - Inception Date | | <div></div> |
| Total Net Assets - Inception Date | | <div></div> |
| Minimum Initial Subscription | | <div></div> |
| Minimum Incremental Subscription | | <div></div> |

Expense

Enter fees 0-100%, format allows 000.000. Leave blank if not assigned.

| | | | | | |
|----------------------|----|-------------|--------|-------------|-------------|
| Management Fees | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Account / 12b-1 Fees | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Other Expenses | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Total Expense Ratio | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Front load | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Level load | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Deferred load | NA | <div></div> | AS OF: | <div></div> | <div></div> |
| Redemption Fee | NA | <div></div> | AS OF: | <div></div> | <div></div> |

Contact Information

| | | |
|-----------------|-----------------|----------------------------------|
| Listing Contact | Operations MFQS | <div>MFQS, Operations ▼</div> |
| Billing Contact | Operations MFQS | <div>MFQS, Operations ▼</div> |
| Pricing Agent | Nasdaq | <div>Nasdaq [FFLive: 28] ▼</div> |

Instrument Status

Instrument Status Not Submitted

| Action | Reject/Return Reason | Fee | Created By | Created Date | Updated By | Updated Date |
|---------------------------------------|----------------------|-----|------------|--------------|------------|--------------|
| There is no Action History to display | | | | | | |

Save

5. Once you click on “Save”, MFQS will prompt you to upload supporting documentation for the Instrument change.
 - Documentation is required for Instrument Name Changes and Instrument Tier Upgrades only. Select the appropriate supporting document description from the Documentation Type drop-down menu. **Please note that MFQS currently only accepts supporting documentation in PDF file format.**
 - Indicate the appropriate Documentation Release. Note: Unless you check the “Confidential” box in this section, the supporting document will be released for market data vendors to access on the MFQS effective date.
 - Click on the box next to the certification statement.
 - Once the certification box is checked, follow the prompts to select and open the appropriate document from your computer.

Supporting Documentation

Document Type:

Document Language:

Document Release: ☐ Confidential

Document Description:

Name Change

Statutory Prospectus
or
Summary Prospectus
or
Resolution of Name Change

Listing Tier Change

Statutory Prospectus
or
Summary Prospectus

All other changes which are made on this page do not require documents for submission.
Accepted file formats: PDF

☒ I certified that I have the authority to submit supporting documentation on behalf of

☐ Checked confirmation email would not be generated. This needs to be checked before

Upload File

Select

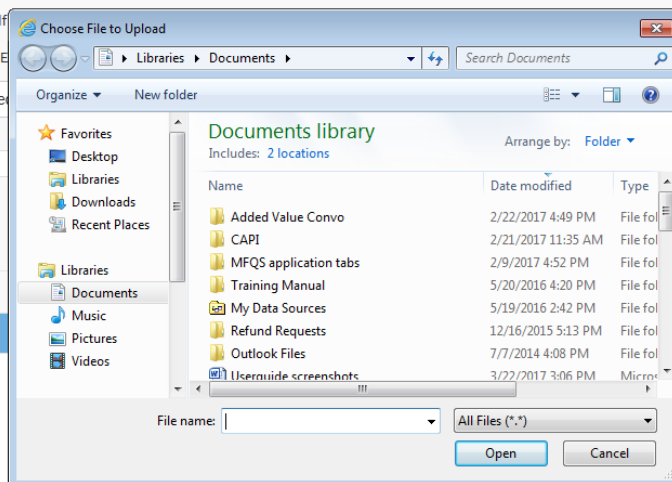
No documents have been uploaded

Instrument Comments

Leave Comment

Comment

There are no comments to display



- Once you verify the Instrument change request information and upload the supporting documentation, check the box next to the disclaimer at the bottom of the page and then click the "Submit" button. Nasdaq will display any data entry errors at the bottom of the page.
- Once the application is validated and accepted by the MFQS system, Nasdaq will display a confirmation screen with the change request summary information.


Please note that MFQS Instrument Change Request form may not be used for instrument conversions. Nasdaq requires instrument conversions be processed as two separate transactions (one instrument deletion and one instrument addition).

While it is possible to use the MFQS Instrument Change Request for issuer changes, the user's drop down selection options will be limited based on his firm profile. Please contact [MFQS Operations](#) for assistance with this corporate action if needed.

Instrument Deletion

1. From the Instruments drop down menu, select "Live Instruments."
2. Locate the MFQS Instrument to be modified on the Live Instruments menu.
 - Live Instruments menu will show all active MFQS instruments for which the user is entitled to view.
 - Use filter boxes at the top of the Live Instruments menu to locate the specific record to be modified. Filters include: MFQS Symbol, Instrument Name, Issuer Name, CUSIP, Instrument Type, Instrument Code and Instrument Tier.
 - Once you locate the MFQS instrument to be modified, click on the "X" under the Delete Column on the left side of the Live Instruments menu.
 - Once the Delete option is selected, Nasdaq will prompt the user to confirm that he wishes to proceed.

MFQS



[HOME](#)
[INSTRUMENTS](#)
[VALUATION](#)
[DOWNLOADS](#)
[REPORTS](#)
[SUPERVISORY](#)

LIVE INSTRUMENTS

| | Delete | Symbol | Instrument Name | Issuer Name | Family ID | CUSIP |
|----------------------|--------|--------|-------------------------------------------------------------|------------------------------------|-----------|-------|
| View | X | AAAAX | Deutsche Alternative Asset Allocation Fund Class A | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAAGX | Thrivent Large Cap Growth Fund Class A | Thrivent Funds | 7 | 885 |
| View | X | AAAIX | American Century Strategic Allocation: Conservative Class C | American Century Investments | 31 | 025 |
| View | X | AAAPX | Deutsche Alternative Asset Allocation Fund Class A | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAARX | American Century Strategic Allocation: Conservative Class C | American Century Investments | 31 | 025 |
| View | X | AAASX | Deutsche Alternative Asset Allocation Fund Class A | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AAATX | American Century Strategic Allocation: Conservative Class C | American Century Investments | 36 | 026 |
| View | X | AAAZX | Deutsche Alternative Asset Allocation Fund Class A | Deutsche Asset & Wealth Management | 1293 | 251 |
| View | X | AABCX | Putnam Dynamic Asset Allocation Balanced Class C | Putnam Investments | 530 | 746 |
| View | X | AABFX | Thrivent Balanced Income Plus Fund Class A | Thrivent Funds | 7 | 885 |
| View | X | AABPX | American Beacon Balanced Fund Investor Class | American Beacon Funds | 34 | 023 |
| View | X | AABTX | American Funds 2015 Target Date Retirement Fd Cl A | American Funds, Inc. | 36 | 026 |
| View | X | AACCX | American Century Strategic Allocation: Conservative Class C | American Century Investments | 31 | 025 |
| View | X | AACFX | Invesco Greater China Fund Cl A | Invesco Funds | 22 | 001 |
| View | X | AACIX | American Beacon Mid-Cap Value Fund Institutional Class | American Beacon Funds | 34 | 023 |
| View | X | AACRX | American Century Strategic Allocation Conservative Class R | American Century Investments | 31 | 025 |

1 2 3 4 5 6 7 8 9 10 ...


Page size: 50

35170 items in 704 pages

Note: The user may also get to the MFQS Deletion Request form by selecting the "Delete Instrument" option from the Instrument Summary page.

3. Once the Deletion option is confirmed, the “MFQS Deletion Request” form will appear.
 - Enter the MFQS Effective Date for Deletion and Issuer Corporate Action Date fields.
 - The MFQS Effective Date for Deletion is the actual trading date that the Instrument record should be removed from the MFQS database.
 - The Issuer Corporate Action Date is the calendar date that the actual merger, acquisition or termination/liquidation event occurred. If no Issuer Corporate Action Date exists, enter the same value as MFQS Effective Date.
 - If the instrument is being deleted at the issuer’s request, please enter the same date for both the Issuer Corporate Action Date and MFQS Effective Date for Deletion fields.
 - Once the two date fields are populated, click on the “Save” button at the bottom of the form.

MFQS



HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS SUPERVISORY

Search for Symbol Or CUSIP...

Basic Information

| | |
|---------------------|-----------------------------------|
| Instrument Name | Nasdaq Test - UIT Equity |
| Issuer Name | NASDAQ Test Funds [familyid:1287] |
| Country Of Issuance | US |
| CUSIP | 000000000 |

Type Information

| | |
|------------------|-----------------------|
| Instrument Type | Unit Investment Trust |
| Instrument Code | Debt UIT |
| Termination Date | 1/2/2019 12:00:00 AM |

Listing Information

| | |
|-------------|--------|
| Currency | USD |
| MFQS Symbol | TESTYX |

Investment Information

| | |
|----------------|----------|
| Inception Date | 1/2/2013 |
|----------------|----------|

Delete Instrument Information

| | |
|------------------------------|-----------------------|
| Deletion Reason | Removed by NASDAQ OMX |
| MFQS Final Pricing Date | <input type="text"/> |
| MFQS Effective Date | <input type="text"/> |
| Issuer Corporate Action Date | <input type="text"/> |
| MFQS Last Price Date | 3/15/2017 |

Current Target Date: 5/18/2015

Save

4. Upon saving, the MFQS Deletion Request form will expand to show additional data fields to be populated.
 - In the Delete Instrument Section of the form, you must select the appropriate Deletion Reason from the drop-down menu and enter the Last Date for MFQS Pricing field.
 - Deletion reasons are:

| Reason Code | Description |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Acquired / Merged | Instrument is being acquired by or merged with another instrument. Data mapping fields are required. |
| Liquidated | Instrument is being liquidated. Shareholders are receiving cash payment at time of liquidation. |
| Terminated / Expired | Instrument is being deleted after it reached maturity date. This deletion code should only be used for fixed life asset classes such as UITs or structured products. |
| Instrument Conversion | Instrument is being converted from one asset class to another asset class. Due to MFQS symbology logic, Nasdaq needs to process an instrument type transaction as an instrument deletion and an instrument addition. Data mapping fields are required for the deletion application. |
| Instrument Reorganization | Instrument is part of share class restructuring or reorganization. Data mapping fields are required for deletion application. |
| Issuance Postponed | Instrument issuance was postponed to a later date. Because user failed to notify Nasdaq in advance of the issuance date change, MFQS instrument needs to be deleted and re-added. User should provide explanation in the "Notes for MFQS Operations" field. |
| Issuance Cancelled | Issuance was cancelled after the instrument record was added to (and live in) the MFQS system. |
| Removed At Issuer's Request | Issuer wishes to remove instrument from the MFQS system for reason not otherwise defined. User should provide explanation in the "Notes from MFQS Operations" field. |

- In the MFQS Final Pricing Date, the user should reflect the last date on which the MFQS pricing agent will enter a NAV for the instrument. The Last Date for MFQS Pricing field must reflect an actual trading date and must be no later than MFQS Effective Date for Deletion field value.
 - Please enter any special processing notes about the MFQS deletion request in the "Notes for MFQS Operations" field.
5. Once the Delete Instrument Information section is completed, you must also upload the necessary supporting documentation for the MFQS registration change.
 - Documentation is required for all Deletion Reasons with the exception of Termination/Expired.
 - Select the appropriate supporting document description from the Documentation Type drop-down menu. **Please note that MFQS currently only accepts supporting documentation in PDF file format.**
 - Indicate the appropriate Documentation Release. Note: Unless you check the "Confidential" box in this section, the supporting document will be released for market data vendors to access on the MFQS effective date.
 - Click on the box next to the certification statement. Once the certification box is checked, follow the prompts to select and open the appropriate document from your computer.
 6. Once the Delete Instrument Section and Supporting Documentation sections of the form are completed, check the box next to the disclaimer at the bottom of the page and then click in the "Submit" button. Nasdaq will display any data entry errors at the bottom of the page.
 7. Once the application is validated and accepted by the MFQS system, Nasdaq will display a confirmation screen with the deletion request information.
 8. Once application is approved by MFQS Operations team, the listing contact associated with the application will receive an email confirmation with the MFQS instrument deletion information.

Instrument Replacement – UITs and structured products only

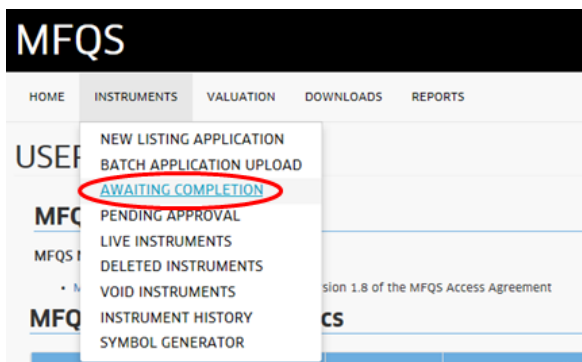
1. From the Instruments drop down menu, select “Live Instruments.”
2. Locate the MFQS Instrument to be modified on the Live Instruments menu.
 - Live Instruments menu will show all active MFQS instruments for which the user is entitled to view.
 - Use filter boxes at the top of the Live Instruments menu to locate the specific record to be replaced. Filters include: MFQS Symbol, Instrument Name, Issuer Name, CUSIP, Instrument Type, Instrument Code and Instrument Tier.
 - Once you locate the MFQS instrument to be replaced, click on the “View” link on the left side of the Live Instruments menu.
3. Once the View option is selected, MFQS will display the Instrument Summary for the selected record. Once you have confirmed that this is the correct record to be replaced, click on the “Replacement” button on the left side of the page.

| Basic Information | |
|---------------------|--------------------------|
| Instrument Name | Nasdaq Test - UIT Equity |
| MFQS Symbol | TESTYX |
| Issuer Name | NASDAQ Test Funds |
| Country Of Issuance | UNITED STATES |

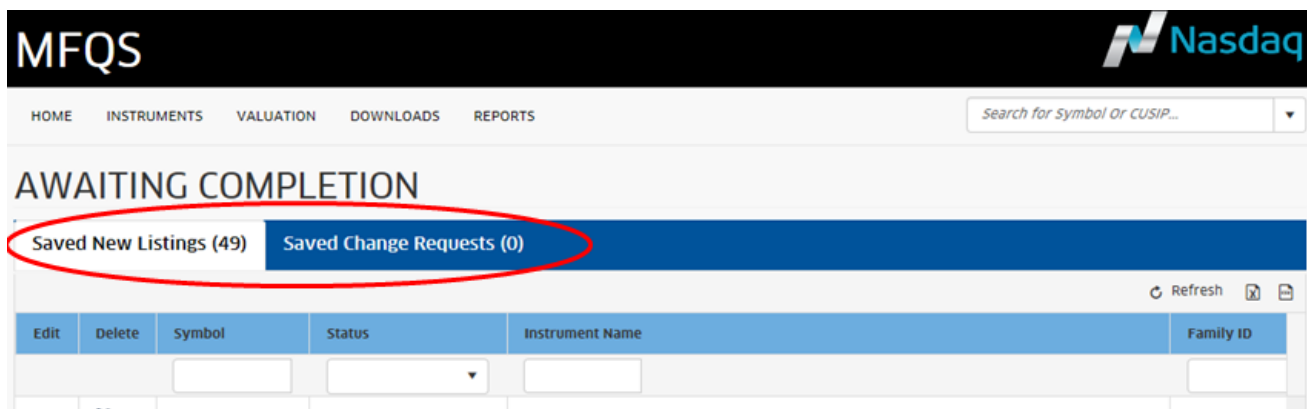
4. Once the Replace Instrument option is selected, Nasdaq will display the Replacement Request form.
 - At the top of the form, Nasdaq displays basic information about the existing security that is being replaced in the MFQS system. Please note that you may only update the Termination Date field for the outgoing instrument from this form.
 - At the bottom of the form, Nasdaq shows the same fields as the New Instrument application form for the incoming instrument.
 - All fields marked with an asterisk (*) are required for data entry. For the incoming instrument, the required fields are the same for the replacement application as the New Instrument application.
 - Once the application is completed, click on the “Save” button at the bottom of the page.
5. Upon saving, MFQS will prompt you to upload supporting documentation for the UIT replacement application.
 - Select the appropriate supporting document description from the Documentation Type drop-down menu. **Please note that MFQS currently only accepts supporting documentation in PDF file format.**
 - Indicate the appropriate Documentation Release option. Note: Unless you check the “Confidential” box in this section, the supporting document will be released for market data vendors to access on the MFQS effective date.
 - Click on the box next to the certification statement.
 - Once the certification box is checked, follow the prompts to select and open the appropriate document from your computer.
6. Once documentation is uploaded, check the box next to the certification statement at the bottom of the page and then click on the Submit button. If there is a problem with the data entry, Nasdaq will show the issue in red at the bottom of the document.
7. If the application is accepted, you will see a confirmation screen.
8. Once application is approved by MFQS Operations team, the listing contact associated with the application will receive an email confirmation with the MFQS instrument deletion information.

Completing Saved Application

1. If the user has insufficient time or information to complete one of the MFQS applications, the user may click on the Save button located at the bottom of each application.
2. To retrieve a saved application, select the "Awaiting Completion" item from the Instruments drop-down menu.

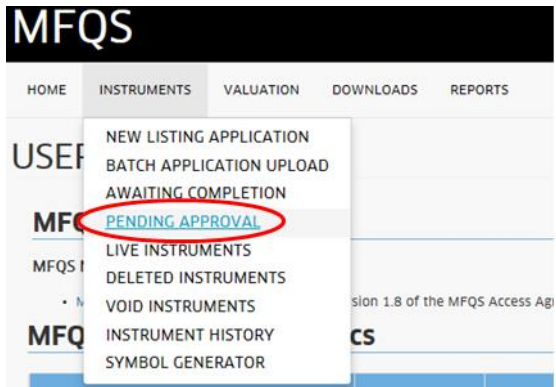


3. Within the Saved Actions folder, there are separate tabs for New Listing and Change Request applications.
 - Note: Change Requests includes Replacements and Deletions as well as Instrument Updates.
 - To open the application to be completed, simply click on the "Edit" hyperlink next to the MFQS Symbol in the table.



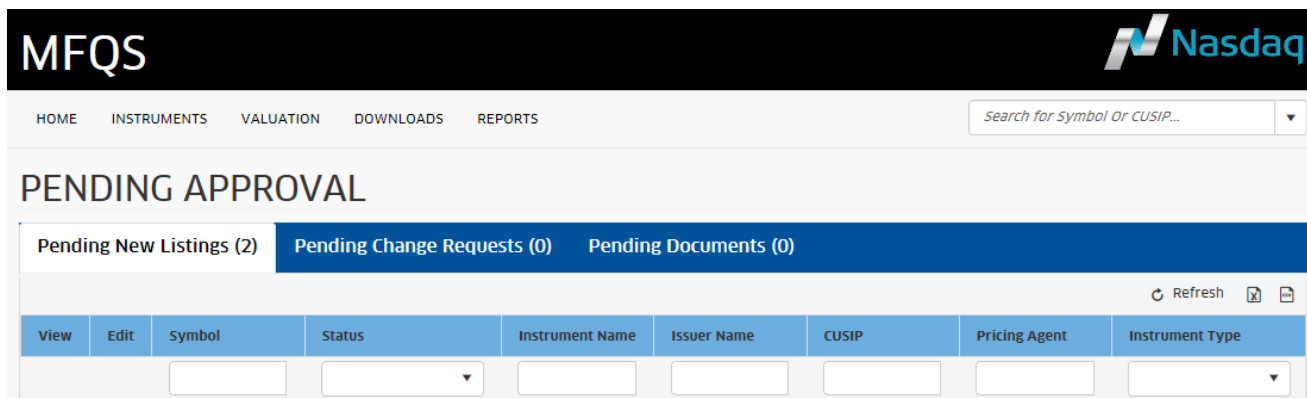
Checking Status - Pending Application

1. To check the status of an existing application, select the "Pending Approval" item from the Instrument drop-down menu at the top of the screen.



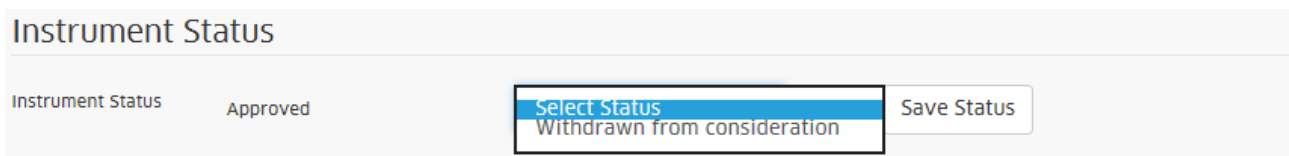
MFQS will display the Pending Action page with three tabs:

- Pending New Listings tab will display all the New Instrument applications in the system for your firm with a pending approval or approved status. Note: Approved applications will automatically be moved from the Pending Action page to the Live Instrument page on the stated MFQS Effective Date.
- Pending Change Requests tab will display all Instrument Change Request and Instrument Replacement applications in the system for your firm with a pending approval or approved status.
- Pending Deletions tab will display all Instrument Deletion applications in the system for your firm with a pending approval or approved status.
- On the screen, Nasdaq will indicate the current processing state for the MFQS application.



From the Pending Action screen, you may update or retract a pending New Instrument, Change Request or Replacement application.

- Click on the “Edit” hyperlink next to the application to be updated or retracted.
- Nasdaq will display the most recent version of the MFQS application.
 - To update the application, please simply fix the data fields on application and click on the Submit button.
 - To retract the application, please go to the Instrument Status section of the application. Select the “Withdrawn from consideration” item from the drop-down menu in this section and then click on the “Save Status” button.



- To reinstate an instrument after it has been deleted from the system, please contact [MFQS Operations](#) for assistance.

VALUATION

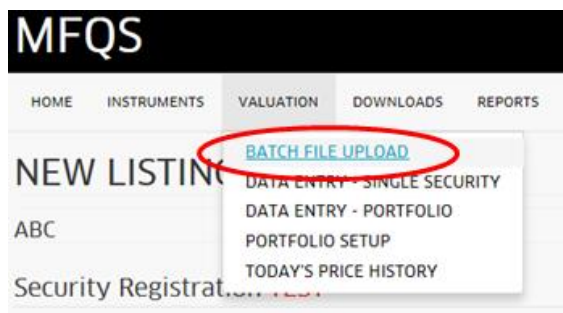
The Valuation section of the MFQS website is designed to capture daily valuation data as well as dividend/interest and capital distribution data from MFQS pricing agents.

In this section, Nasdaq reviews the process for uploading a fixed formatted data file through the website as well as manually entering valuation and distribution data directly into the website GUI.

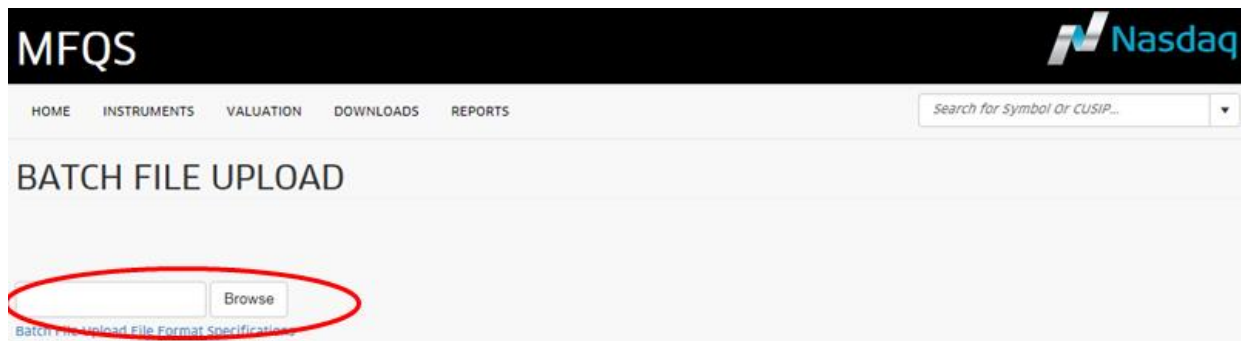
Note: On or about July 11, 2016, Nasdaq will modify the Money Market Fund message format to include a Calculation Time field. Please see

Batch File Upload

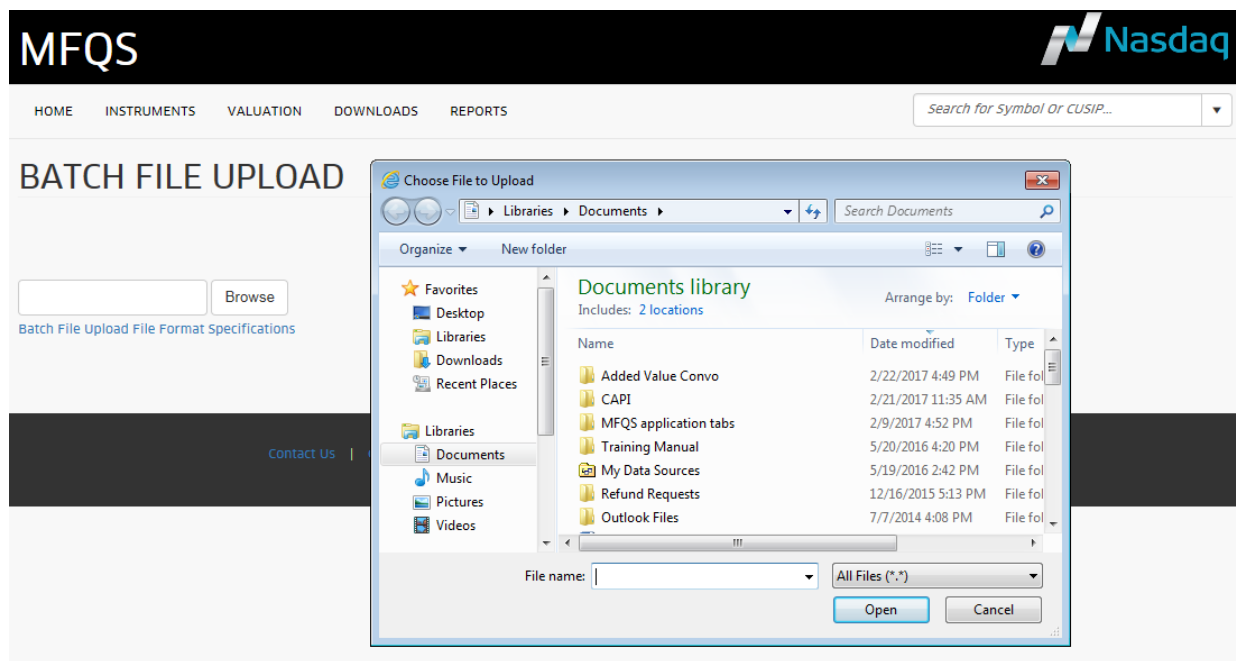
1. To upload a fixed format file containing valuation and distribution data, the user should select the “Batch File Upload” item from the Valuation drop down menu. Please refer to the [MFQS Valuation Fixed File Format specification](#) or the [MFQS Valuation CSV File Format specification](#) for details on how to format the actual data file.



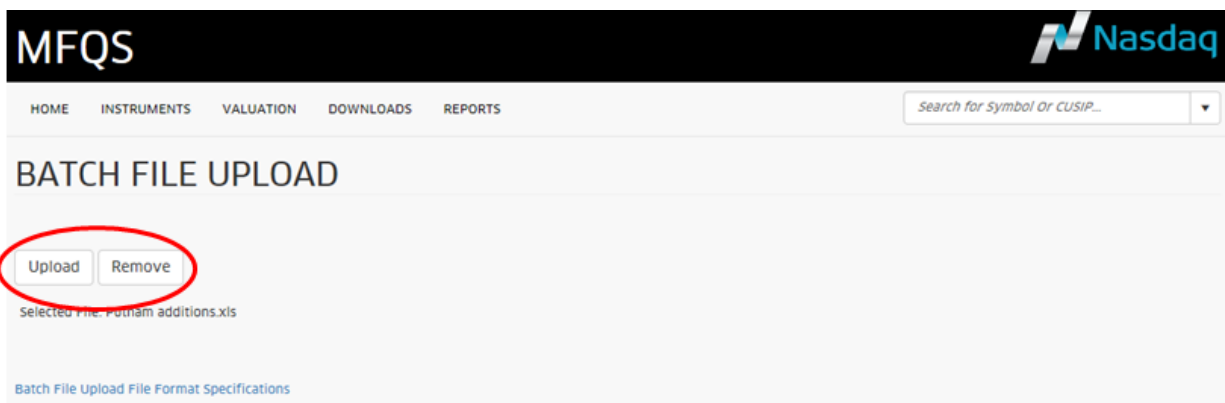
- From the initial Batch Upload screen, the user should click on the Browse button to open the choose file locator window.



- Once the window is open, the user should locate the fixed format file to be uploaded to the MFQS system.



- Once the file is located, the user should select the file name and click on the Open button. The user should then click on the Upload button to initiate the MFQS file processing logic.



- Once the file upload is complete, the MFQS system will show the results of the batch file process to the user.
 - At the top of the page, MFQS will summarize the number of records processed, accepted, ignored and rejected.
 - The MFQS system assumes that each line in the file is a record for the results page.

- The MFQS system counts blank lines for display as “Ignored records”.
- The MFQS system displays the reason for any “Rejected records”.
- From this page, the user may opt to download the error report or to select the records to be manually corrected.
- The user can also click on the Browse button to select another file for upload.

MFQS Nasdaq

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS SUPERVISORY Search for Symbol Or CUSIP...

BATCH FILE UPLOAD

Pricing Agent State Street Bank & Trust Company

Browse

[Batch File Upload File Format Specifications](#)

Results Summary

| | | |
|-------------------------------------------------|----------------------------------------------------|--------------------|
| Pricing Agent State Street Bank & Trust Company | Uploaded File Name Test valuation batch upload.txt | Total Records 155 |
| Uploaded Format 0050 | Site Parsing: 0 --- 155 DataBase: 6991 | |
| Accepted Records 155 | Ignored Records 0 | Rejected Records 0 |

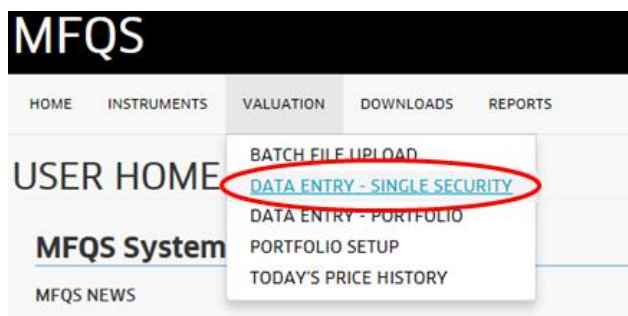
Rejected Records

Fix Selected Download

| Corrections | Symbol | Line Number | Error Count | Errors |
|------------------------|--------|-------------|-------------|--------|
| No records to display. | | | | |

Data Entry - Single Security

1. To enter data for a single security, the user should select “Data Entry – Single Security” item from the Valuation drop-down menu.



2. From the single security look-up page, the user should indicate the MFQS instrument record to be updated by MFQS symbol or CUSIP.
 - The user may locate the MFQS instrument to be updated by MFQS symbol or CUSIP.
 - The user should then indicate the appropriate Action and Data Entry Type before clicking on the Open button.

MFQS

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS

DATA ENTRY - SINGLE SECURITY

Single Security Portfolio

MFQS Symbol TESTYX

CUSIP Enter CUSIP for query

Data Entry Type

☐ Standard Valuation ☐ Dividend/Interest ☐ Capital Distributions ☒ All

Open




3. Once the query is submitted, the MFQS system will return a single security data entry screen for the requested MFQS instrument.
 - On the displayed screen, MFQS will denote the data entry type at the top of each box.
 - On the displayed screen, MFQS will show the most recent update for the requested instrument with the standard data entry files. The user may expand the individual Dividend or Valuation display modules to show the less frequently used fields by clicking on the “+ more fields” button on each record.

■ Update Dividend **TEST**

Fund Type: Mutual Fund

MFQS Last Price Date:
12/19/2011 7:55:01 PM

| | | | | |
|-----------------------------------------------|-------------------------------------|-----------------------------------------|------------------|---------------------|
| Instrument Name: Test Mutual Fund 4 - PICE | Instrument Code: Open Ended Fund | MPID: PICE | Symbol: TESTX | CUSIP: 000000000 |
| Issuer Name: NASDAQ Test Funds | Status: Active | NAV Entry Date: 11/9/2012 7:55:04 PM | | |

| | | |
|-------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| Payment Date * 12/20/2011  | Ex Date* 12/19/2011  | Action Correction ▼ |
| Reinvest Date NA  | Cash Distribution Type * Dividend ▼ | Stock Dividend Ratio NA <input type="checkbox"/> Override |
| Record Date 12/16/2011  | Total Cash Distribution 0.07 <input type="checkbox"/> Override | |

Extra Fields:

| | | |
|--------------------------------|------------------------------------|--------------------------------|
| Qualified Cash Distribution NA | Non-Qualified Cash Distribution NA | Ordinary Foreign Tax Credit NA |
| Tax-Free Cash Distribution NA | Qualified Foreign Tax Credit NA | |

■ Update Distribution **TEST**

Fund Type: Mutual Fund

MFQS Last Price Date:
12/16/2011 7:55:02 PM

| | | | | |
|-----------------------------------------------|-------------------------------------|-----------------------------------------|------------------|---------------------|
| Instrument Name: Test Mutual Fund 4 - PICE | Instrument Code: Open Ended Fund | MPID: PICE | Symbol: TESTX | CUSIP: 000000000 |
| Issuer Name: NASDAQ Test Funds | Status: Active | NAV Entry Date: 11/9/2012 7:55:04 PM | | |

| | | |
|-------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| Payment Date * 12/19/2011  | Ex Date 12/16/2011  | Action Correction ▼ |
| Reinvest Date NA  | Unallocated Distributions NA | Long Term Capital Gains 0.09 <input type="checkbox"/> Override |
| Record Date 12/16/2011  | Short Term Capital Gains 0.22 <input type="checkbox"/> Override | Return of Capital NA <input type="checkbox"/> Override |

■ Update Valuation **TEST**

Fund Type: Mutual Fund

MFQS Last Price Date:
11/9/2012 7:55:04 PM

| | | | | |
|-----------------------------------------------|-------------------------------------|-------------------|-------------------------|---------------------|
| Instrument Name: Test Mutual Fund 4 - PICE | Instrument Code: Open Ended Fund | MPID: PICE | Symbol: TESTX | CUSIP: 000000000 |
| Issuer Name: NASDAQ Test Funds | Currency: USD | Status: Active | Pricing Freq.: Daily | |

| | | |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| Entry Date * 03/30/2017  | NAV * 9.21 <input type="checkbox"/> Override | Offer/Market Price * 9.21 <input type="checkbox"/> Override |
| Reporting Type * Daily Update ▼ | Daily Dividend Factor NA | Daily Dividend Adjustment Indicator NA ▼ |
| Total Net Assets NA <input type="checkbox"/> Override | | |

Footnotes: ☐ 12(b)1 ☐ Ex-Distribution ☐ Ex-Dividend ☐ Ex-Stock Dividend ☒ No Load ☐ Redemption Fee ☐ Repurchase Offer ☐ T+1 Price

Extra Fields:

| | | | |
|---------|---------------|------------------|---------------------|
| ELTR NA | Wrap Price NA | Current Yield NA | Accrued Interest NA |
|---------|---------------|------------------|---------------------|

4. On this page, the user should check the Update box and populate the appropriate user entry fields for the record. Once the data entry is complete, the user should click on the Submit button at the bottom of the page.

☒ Update Dividend **10/21**

Fund Type: Mutual Fund

MFQS Last Price Date:
12/19/2011 7:55:01 PM

Instrument Name:

Test Mutual Fund 4 - PICE

Instrument Code:

Open Ended Fund

MPID:

PICE

Symbol:

TESTX

CUSIP:

000000000

Issuer Name:


NASDAQ Test Funds

Status:

Active

NAV Entry Date:

11/9/2012 7:55:04 PM

Payment Date * 12/20/2011 Ex Date * 12/19/2011 

Action Correction ▼

Reinvest Date NA 

Cash Distribution Type * Dividend ▼

Stock Dividend Ratio NA ☐ OverrideRecord Date 12/16/2011 Total Cash Distribution 0.07 ☐ Override**Extra Fields:**

Qualified Cash Distribution NA

Non-Qualified Cash Distribution NA

Ordinary Foreign Tax Credit NA

Tax-Free Cash Distribution NA

Qualified Foreign Tax Credit NA

☒ Update Distribution **10/21**

Fund Type: Mutual Fund

MFQS Last Price Date:
12/16/2011 7:55:02 PM

Instrument Name:

Test Mutual Fund 4 - PICE

Instrument Code:

Open Ended Fund

MPID:

PICE

Symbol:

TESTX

CUSIP:

000000000

Issuer Name:

NASDAQ Test Funds

Status:

Active

NAV Entry Date:


11/9/2012 7:55:04 PM

Payment Date * 12/19/2011 Ex Date 08/16/2011 

Action Correction ▼

Reinvest Date NA 

Unallocated Distributions NA

Long Term Capital Gains 0.09 ☐ OverrideRecord Date 12/15/2011 Short Term Capital Gains 0.22 ☐ OverrideReturn of Capital NA ☐ Override☒ Update Valuation **10/21**

Fund Type: Mutual Fund

MFQS Last Price Date:
11/9/2012 7:55:04 PM

Instrument Name:

Test Mutual Fund 4 - PICE

Instrument Code:

Open Ended Fund

MPID:

PICE

Symbol:

TESTX

CUSIP:

000000000

Issuer Name:

NASDAQ Test Funds

Currency:

USD

Status:

Active

Pricing Freq.:

Daily

Entry Date * 03/30/2017 NAV * 9.21 ☐ OverrideOffer/Market Price * 9.21 ☐ Override

Reporting Type * Daily Update ▼

Daily Dividend Factor NA

Daily Dividend Adjustment Indicator NA ▼

Total Net Assets NA ☐ Override

Footnotes:

☐ 12(B)1 ☐ Ex-Distribution ☐ Ex-Dividend ☐ Ex-Stock Dividend ☒ No Load ☐ Redemption Fee ☐ Repurchase Offer ☐ T+1 Price
Extra Fields:

ELTR NA

Wrap Price NA

Current Yield NA

Accrued Interest NA

Submit

- The MFQS system provides calendar pop-ups and user prompts to help the user ensuring that the data is entered properly.

- If, despite these prompts, the record fails the validation logic, the MFQS system will display the validation entry the individual records. (Note: The MFQS field level validation logic is outlined in the [MFQS Web Batch File Upload specification document](#).)

Errors:

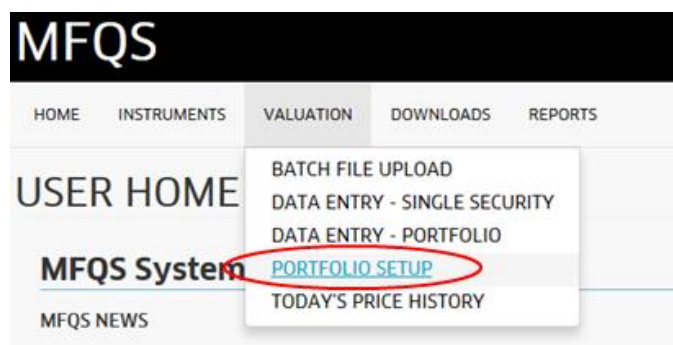
1. NAV CHANGE GREATER THAN PARAMETER
2. OFF/MKT CHG GREATER THAN PARAMETER


- If the record is accepted, the system will display the record with update time in green in the “Last Update” field in the header.

Message accepted for 3/30/2017 Effective Date

MFQS Portfolio Set-Up

- To facilitate the valuation process, Nasdaq allows MFQS pricing agents to set up instrument portfolios. MFQS portfolios can be used for data entry or statistical tracking purposes. To view, create or edit a MFQS portfolio, the user should select the Portfolio Setup item from the Valuation drop down menu.



- Note: The MFQS system is designed to allow all users at a given pricing agent firm to share portfolios.
- From the Portfolio Manager, the user may view or edit the name of an existing portfolio or may create a new portfolio.
 - To edit the name of an existing portfolio, click on the Edit (pencil icon ) next to the portfolio name.
 - Once you update the Portfolio Name and Portfolio Description values, click on the check (✓) button. Please note that the MFQS system requires that each portfolio record has a unique name.
 - For the June 13, 2011 release, Nasdaq imported any instrument lists generated by correspondent ID, cross reference ID or category ID as portfolios. The imported lists are named with the firm's MPID and legacy system ID.
- To create a new portfolio, click on the + Add New Record button at the top of the Portfolio List matrix.
 - In the expanded box, enter the Portfolio Name and Portfolio Description for the new instrument list and then click on the check (✓) button.

MFQSNasdaq

HOMEINSTRUMENTSVALUATIONDOWNLOADSREPORTS

Search for Symbol Or CUSIP...

PORTFOLIO SETUP

Pricing Agent: Nasdaq

Selected Portfolio

Portfolio Name:

Description:Instrument Count: 0

Portfolio ListPortfolio Details

+ Add new recordRefresh

| View | Edit | Delete | Portfolio Name | Portfolio Description | Number of Instruments | Created By | Update By | Update Date |
|------|------|--------|----------------|-----------------------|-----------------------|------------|-----------|------------------|
| View | | | Mutual Funds | Test Mutual Funds | 3 | coleenm1 | coleenm1 | 2016/03/08 04:56 |

- From the list, click on the View link next to the Portfolio Name that you wish to review or update.
 - The MFQS system will open the Portfolio Details tab for the selected name.
 - On this page, the MFQS system will display those instruments already in the selected portfolio.
 - To add instruments to a portfolio, click on the + Add New Record button at the top of the display matrix.

MFQSNasdaq

HOMEINSTRUMENTSVALUATIONDOWNLOADSREPORTS

Search for Symbol Or CUSIP...

PORTFOLIO SETUP

Pricing Agent: Nasdaq

Selected Portfolio

Portfolio Name:

Description:Instrument Count: 0

Portfolio ListPortfolio Details

+ Add new recordRefresh

| View | Edit | Delete | Portfolio Name | Portfolio Description | Number of Instruments | Created By | Update By | Update Date |
|------|------|--------|----------------|-----------------------|-----------------------|------------|-----------|------------------|
| View | | | Mutual Funds | Test Mutual Funds | 3 | coleenm1 | coleenm1 | 2016/03/08 04:56 |

- The MFQS system will automatically display all the live instruments associated with your firm which are not part of the existing portfolio.
 - The user should use the filter boxes at the top of the security matrix to narrow the security list as needed.

MFQS

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS

Search for Symbol Or CUSIP...

PORTFOLIO SETUP

Pricing Agent: Nasdaq

Selected Portfolio

Portfolio Name: Mutual Funds Pricing

Description: Test Mutual Funds

Instrument Count: 3

Portfolio List

Portfolio Details

Securities not in current portfolio

| <input type="checkbox"/> | Symbol | Instrument Name | Issuer Name | Instrument Type |
|--------------------------|--------|-------------------------------------------------------------------|-------------------|--------------------|
| <input type="checkbox"/> | XZZZTX | Nasdaq Test - Structured Product Buffer / Barrier Enhanced Upside | NASDAQ Test Funds | Structured Product |
| <input type="checkbox"/> | XZZZUX | Nasdaq Test - Structured Product Principal Protected | NASDAQ Test Funds | Structured Product |
| <input type="checkbox"/> | XZZZVX | Nasdaq Test - Structured Product Commodity / FX | NASDAQ Test Funds | Structured Product |
| <input type="checkbox"/> | XZZZWX | Nasdaq Test - Structured Product Rates Enhanced | NASDAQ Test Funds | Structured Product |
| <input type="checkbox"/> | XZZZYX | Nasdaq Test - Structured Product Single Stock | NASDAQ Test Funds | Structured Product |
| <input type="checkbox"/> | XZZZZX | Nasdaq Test - Structured Product Hybrid | NASDAQ Test Funds | Structured Product |

Save

Cancel

- Once the target MFQS instrument(s) are located, the user should check the box in the first column of the security matrix.
 - To add the checked securities, the user needs to click on the Save button at the bottom of the page.

Data Entry – Portfolio

- To enter data for a single security, the user should select “Data Entry – Portfolio” item from the Valuation drop down menu.

MFQS

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS

USER HOME

MFQS System

MFQS NEWS

BATCH FILE UPLOAD

DATA ENTRY - SINGLE SECURITY

DATA ENTRY - PORTFOLIO

PORTFOLIO SETUP

TODAY'S PRICE HISTORY

- From the look-up page, the user should see the descriptive list of portfolios associated with its firm.

MFQS Nasdaq

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS Search for Symbol Or CUSIP...

DATA ENTRY - PORTFOLIO

Single Security **Portfolio**

Portfolio Name:

Data Entry Type:

View:

| Portfolio Name | Portfolio Description | # Inst | Pricing Agent |
|-----------------------|-------------------------|--------|---------------|
| All Nasdaq Test Funds | MFQS Ops test portfolio | 23 | Nasdaq |
| Mutual Funds | Test Mutual Funds | 3 | Nasdaq |
| New Portfolio | Test MMF Example | 3 | Nasdaq |

- Once the portfolio name and data entry type has been selected, the user should click on the Open button at the bottom of the screen.
 - On the displayed screen, MFQS will show the most recent update for all the instruments in the requested portfolio.
 - Depending on how many securities are included in the portfolio, the records may span multiple pages.
 - The user can specify the sort order for the security records at the top of the portfolio pricing page. The sort options are MFQS symbol, Instrument Type or Last Updated Date/Time. Data can be sorted in ascending or descending order. The default sort is MFQS symbol in ascending alphabetic order. This sort option is shown at the top of the page.

MFQS Nasdaq

HOME INSTRUMENTS VALUATION DOWNLOADS REPORTS Search for Symbol Or CUSIP...

MPID:TEST PORTFOLIO: MUTUAL FUNDS

Sort By: ☒ Ascending ☐ Descending

☒ Update:

Instrument Name: Nasdaq Test - Mutual Fund Closed End
Instrument Code: Closed Ended Fund/ETF
MPID: TEST
Symbol: XZZZX
CUSIP: 000000000

Issuer Name: NASDAQ Test Funds
Currency: USD
Status: Active
Pricing Freq.: Daily

Entry Date: 03/30/2017 NAV: 10 ☐ Override Offer/Market Price: NA ☐ Override

Reporting Type: Daily Update Daily Dividend Factor: NA Daily Dividend Adjustment Indicator: NA

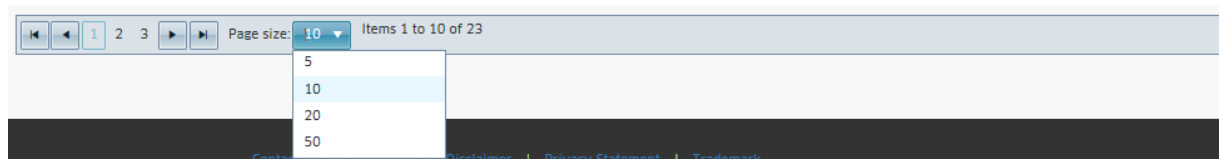
Total Net Assets: NA ☐ Override

Footnotes: ☐ 12(b)1 ☐ Ex-Distribution ☐ Ex-Dividend ☐ Ex-Stock Dividend ☐ No Load ☐ Redemption Fee ☐ Repurchase Offer ☒ T+1 Price

Extra Fields:

ELTR: NA Wrap Price: NA Current Yield: NA Accrued Interest: NA

- For larger portfolios, the user can also specify the number of instruments to be shown on each page. The options are 5, 10, 20 or 50. This display option is shown at the bottom of the page.



- On this page, the user should check the Update box and populate the appropriate user entry fields for the various instrument records in the portfolio. Once the data entry is completed for each screen, the user should click the Submit button at bottom of the page before proceeding.
 - User must check the Update box for at least one security on the page in order to see the Submit button.
 - For system processing efficiency, Nasdaq caches the portfolio data at the time of request. Because the cache time limit is 15 minutes, users should regularly refresh screens as needed to prevent data entry errors.

- Once the Submit button is selected, Nasdaq will process the updates for the selected securities on the page.
 - Provided that all updated records on a page pass system validations, the MFQS system will move to the next page of the portfolio if there are a sufficient number of instruments.
 - If some records fail system validations, the MFQS system will return the original page with the errors noted on the problem record(s).
 - The MFQS field level validation logic is outlined in the [MFQS Web Batch File Upload specification document](#).
 - Once record is corrected, please click on the Submit button at the bottom of the page again.

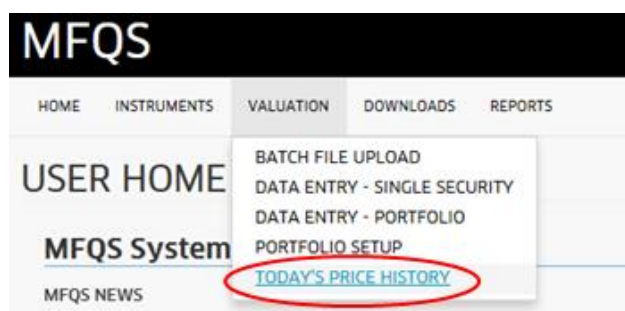
| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Update Valuation TEST Fund Type: Unit Investment Trust MFQS Last Price Date: 3/15/2017 12:02:17 PM | Instrument Name: Nasdaq Test - UIT Equity Instrument Code: Debt UIT MPID: TEST Symbol: TESTYX CUSIP: 000000000 |
| Entry Date * 03/30/2017 Reporting Type * Daily Update Footnotes <input type="checkbox"/> Deferred Charges <input type="checkbox"/> Ex-Distribution <input type="checkbox"/> Ex-Dividend <input type="checkbox"/> Ex-Stock Dividend <input type="checkbox"/> NRD or Brown-out <input type="checkbox"/> Primary Offering <input type="checkbox"/> Secondary Offering <input type="checkbox"/> T+1 Price | Currency: USD Status: Active Pricing Freq.: Daily Redemption Price * 40.25 <input type="checkbox"/> Override Offer Price / Market Price * 40.25 <input type="checkbox"/> Override Total Net Assets NA <input type="checkbox"/> Override Wrap Price 40.25 Extra Fields: Accrued Interest NA Current Yield NA ELTR NA Daily Dividend Factor NA Daily Dividend Adjustment Indicator NA |

Errors:
1. REDEMPTION CHANGE GR THAN PARAMETER
2. OFF/MKT CHG GREATER THAN PARAMETER

Submit

Today's History

- To validate the MFQS valuation, dividend/interest and capital distribution records entered into the MFQS system during the current trading day, the user should select the "Today's Price History" item from the Valuation drop down menu.



- Nasdaq allows MFQS users to query and download the current day's valuation and distribution data for:
 - Single MFQS instrument:** If the user enters a MFQS symbol into the first box on the page, the MFQS website will display all updates entered into the MFQS system for the given instrument during the current trading date.
 - Portfolio of MFQS instruments:** If the user enters the MFQS Portfolio Name into the second box on the page, the MFQS website will display only the most recent update for each MFQS instrument for the user-defined portfolio.
 - By Pricing Agent:** If a user selects this option, the MFQS website will display the most recent update for instruments (production and/or test) associated with pricing agent firm.
 - By Issuer:** If user selects this option, the MFQS website will display the most recent update for instruments associated with this issuing firm.

3. After entering the MFQS Symbol, Portfolio Name, Pricing Agent or Issuer, the user should click either the “Get Report” or “Download Report” button.
 - **Get Report:** Displays the MFQS update records in tabled or grid format on a single web page. Please note that, for a portfolio of MFQS instruments, the display will show a record only if the instrument was updated during the current trading day.
 - **Download Report:** Downloads a file in pipe delimited text (.txt), comma delimited text (.CSV) or ExcelXML format that summarizes the current day’s valuation or distribution updates for the requested MFQS symbol, Portfolio Name, Pricing Agent or Issuer.
 - For single MFQS symbol, the report will show all records entered into the MFQS system during the current trading date. If no updates, the report will be blank.
 - For portfolios, the report will show at least one record for each security in the portfolio. The Today’s Price History report will show the most recent update record for those instruments that price on a regular (daily) basis and all current day’s updates for instruments that price on an intraday basis. In addition, MFQS pricing agents may choose to display Valuation Corrections for the current business day as a separate section of the report.
 - For pricing agent or issuer options, the report will show one record for each security associated with the firm in the MFQS system. For those securities that priced multiple times during the current trading date, only the most recent update will be shown.
 - The file format will be as follows:

| Download Report : Standard Valuation | | |
|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
| Field Name | Field Definition | Supported Instrument Types |
| MFQS Symbol | Denotes the Nasdaq assigned symbol for the MFQS instrument. Please note that Nasdaq will include one record (row) for each MFQS symbol in a portfolio or list of securities. | All |
| Update Date | Denotes the Nasdaq system date that the NAV was | All |

| Download Report : Standard Valuation | | | | | | | | | | | | | | | | | | |
|--------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------|--------------------------------|-------------|------|------------------------|-----|-----------------------|----|---------|----|--------------------------------|----|--------------------|----|-----------------------------------------|-----|
| Field Name | Field Definition | Supported Instrument Types | | | | | | | | | | | | | | | | |
| | last updated in the MFQS system for the given symbol. Logic is tied to update flag. | | | | | | | | | | | | | | | | | |
| Update Time | Denotes the Nasdaq system time that the NAV was last updated in the MFQS system for the given symbol. Time will be stated in HH:MM:SS military format for the U.S. Eastern Time (ET). | All | | | | | | | | | | | | | | | | |
| Update Flag – Valuation | Indicates whether or not Nasdaq received a Valuation record with the current entry date for the symbol. | All | | | | | | | | | | | | | | | | |
| Update Flag – Dividend | Indicates whether or not Nasdaq received a Dividend/Interest record for the symbol during the current trading date. | All | | | | | | | | | | | | | | | | |
| Update Flag – Distributions | Indicates whether or not Nasdaq received a Capital Distribution record for the symbol during the current trading date. | All | | | | | | | | | | | | | | | | |
| Entry Date | Denotes the Entry Date value in most recent Valuation record received by Nasdaq for the symbol. | All | | | | | | | | | | | | | | | | |
| CUSIP | Denotes the CUSIP number in the MFQS system for the symbol. | All | | | | | | | | | | | | | | | | |
| Instrument Name | Denotes the Instrument Name for the symbol in the MFQS system. | All | | | | | | | | | | | | | | | | |
| Currency | Denotes the ISO currency code in the inbound MFQS record for the symbol. The default value is “USD”. | All | | | | | | | | | | | | | | | | |
| Instrument Type | Denotes the Instrument Type for the Fund ID. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>MF</td><td>Mutual Fund</td></tr><tr><td>MM</td><td>Money Market Fund</td></tr><tr><td>UT</td><td>Unit Investment Trust</td></tr><tr><td>AN</td><td>Annuity</td></tr><tr><td>AP</td><td>Alternative Investment Product</td></tr><tr><td>SP</td><td>Structured Product</td></tr><tr><td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr></table> | Code | Description | MF | Mutual Fund | MM | Money Market Fund | UT | Unit Investment Trust | AN | Annuity | AP | Alternative Investment Product | SP | Structured Product | EM | NextShares Exchange Traded Managed Fund | All |
| Code | Description | | | | | | | | | | | | | | | | | |
| MF | Mutual Fund | | | | | | | | | | | | | | | | | |
| MM | Money Market Fund | | | | | | | | | | | | | | | | | |
| UT | Unit Investment Trust | | | | | | | | | | | | | | | | | |
| AN | Annuity | | | | | | | | | | | | | | | | | |
| AP | Alternative Investment Product | | | | | | | | | | | | | | | | | |
| SP | Structured Product | | | | | | | | | | | | | | | | | |
| EM | NextShares Exchange Traded Managed Fund | | | | | | | | | | | | | | | | | |
| NWSF User ID | Denotes the MFQS User ID that entered the Valuation record into the MFQS system for the Fund ID. (Note: This field is only populated on Entry Date.) | All | | | | | | | | | | | | | | | | |
| Pricing Agent MPID | Denotes the Nasdaq market participant identifier (MPID) assigned to the pricing agent that entered the Valuation record into the MFQS system. | All | | | | | | | | | | | | | | | | |
| Issuer Name | Denotes the Issuer Name associated with the symbol in the MFQS system. | All | | | | | | | | | | | | | | | | |
| Pricing Agent | Denotes the name of the Pricing Agent associated with the symbol. | All | | | | | | | | | | | | | | | | |
| Instrument Code (pka Fund Category) | Denotes the instrument code associated with the symbol in the MFQS system. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2">Mutual Funds (Types MF and MS)</td></tr><tr><td>OPEN</td><td>Mutual Fund – Open End</td></tr></table> | Code | Description | Mutual Funds (Types MF and MS) | | OPEN | Mutual Fund – Open End | All | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | |
| Mutual Funds (Types MF and MS) | | | | | | | | | | | | | | | | | | |
| OPEN | Mutual Fund – Open End | | | | | | | | | | | | | | | | | |

| Download Report : Standard Valuation | | | |
|--------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|----------------------------|
| Field Name | Field Definition | | Supported Instrument Types |
| | CLOSED | Mutual Fund – Closed End | |
| | INVL | Mutual Fund – Internal Fund | |
| | BDC | Mutual Fund – Business Development Company (BDC) (Type MS only) | |
| | Money Market Funds (Types \$\$ and \$\$S) | | |
| | GP | Money Market Fund – General Purpose | |
| | GOVSEC | Money Market Fund – Government Securities | |
| | TAXEX | Money Market Fund – Tax Exempt Securities | |
| | Unit Investment Trust (Type US) | | |
| | DEBT | Unit Investment Trust – Debt Securities | |
| | EQUITY | Unit Investment Trust – Equity Securities | |
| | Annuities (Type AN) | | |
| | VAR | Annuity – Variable | |
| | EQIDX | Annuity – Equity Indexed | |
| | Structured Products (Type SP) | | |
| | HYBRID | Structured Product – Hybrid | |
| | SNGSTK | Structured Product – Single Stock | |
| | BUFBAR | Structured Product – Buffer/Barrier Enhanced Upside | |
| | PRIPRO | Structured Product – Principal Protected | |
| | COMEX | Structured Product – Commodity / FX | |
| | RTEN | Structured Product – Rates Enhanced | |
| | OTHER | Structured Product – Other | |
| | Alternative Investment Products (Type AP) | | |
| | MFF | Managed Future Fund | |
| | FOHF | Fund of Hedge Fund | |
| | HEDGE | Hedge Fund | |
| | REIT | Non-Traded REIT | |
| | NTHF | Non-Traditional Hedge Fund (Registered) | |
| | CPF | Commodity Pool Fund | |
| | PEQ | Private Equity Offering | |
| | NextShares Exchange Traded Managed Fund (Type EM) | | |
| | ETMF | NextShares | |
| Prior Reference Price | Denotes the prior day's reference price used for price validation purposes. For UITs, the value displayed will be the prior day's Redemption Price. | | All |

| Download Report : Standard Valuation | | |
|--------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| Field Name | Field Definition | Supported Instrument Types |
| | For other instrument types, the value displayed will be the prior day's Net Asset Value (NAV). | |
| NAV | Denotes the NAV from the most recent Valuation record entered for the symbol during the current trading day. | Mutual Funds, Money Market Funds, Annuities, AIPs, Structured Products, and NextShares |
| Offer / Market Price | Denotes the Offer/Market Price value from the most recent Valuation record entered for the symbol during the current trading date. | Mutual Funds, UITs, Annuities, AIPs, Structured Products, and NextShares |
| Redemption Price | Denotes the Redemption Price value from the most recent Valuation record entered for the symbol during the current trading day. | UITs |
| Wrap Price | Denotes the Wrap Price value from the most recent Valuation message entered for the symbol during the current trading day. | UITs Non-Standard Field for Mutual Funds, Annuities, AIPs, Structured Products and NextShares |
| Total Net Assets | Denotes the Total Net Assets value from the most recent Valuation record entered for the symbol on the current trading date. | All |
| Current Yield | Denotes the Current Yield value from the most recent Valuation record entered for the symbol on the current trading day. | Mutual Funds, UITs, AIPs, and Structured Products. Non-Standard field for Annuities and NextShares |
| Current Yield Direction | Indicates if the Current Yield value reported in the prior field should be a positive or a negative number. | Mutual Funds, UITs, AIPs, and Structured Products. Non-Standard field for Annuities and NextShares |
| ELTR | Denotes the Estimated Long Term Return (ELTR) value from the most recent Valuation record entered for the symbol during the current trading day. | Mutual Funds, UITs, AIPs, and Structured Products. Non-Standard field for Annuities and NextShares |
| ELTR Direction | Indicates if the ELTR value reported in the prior field should be a positive or a negative number. | Mutual Funds, UITs, AIPs, and Structured Products. Non-Standard field for Annuities and NextShares |
| Accrued Interest | Denotes the Accrued Interest value from the most recent Valuation record entered for the symbol on the current trading day. | UITs Non-Standard field for Mutual Funds, Annuities, AIPs, Structured Products, and NextShares |
| Daily Dividend Factor | Denotes the Daily Dividend Factor from the most recent Valuation record entered for the symbol during the current trading day. | All |
| Daily Dividend Adjustment Indicator | Indicates if the Daily Dividend value was adjusted for weekends or holidays. | All |
| Reporting Type | Denotes the Reporting Type value from the | All |

| Download Report : Standard Valuation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------|--------------------|----------------------|---------------------------------------------------------|----------------------|---|-------------------------------------------|-------------------|---|-------------|----------------------------|---|----------------------------|-----|---|--------------------------------------------------------|-----|---|-----------------|-------------------|---|-----------------------|-----|---|------------------|-------------|---|----------------|-------------------|---|--------------|-------------|---|------------------|-----|---|------------|-------------|---|----------------|-------------|---|------------------------------------|-----|---|---------------|-----|---|-------------------------------------------------|-----|---|--------------------|-----|-----|
| Field Name | Field Definition | Supported Instrument Types | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <div>displayed Valuation record. Allowable values are:</div> <table><tr><th>Code</th><th>Description</th></tr><tr><td>R</td><td>Regular Daily Update</td></tr><tr><td>C</td><td>Correction Record(s)</td></tr><tr><td>I</td><td>Intraday Update(s)</td></tr></table> <div>Note: As part of July 2016 release, Nasdaq modified the logic to show <u>all</u> intraday updates in the for Today's Price History report. In addition, Nasdaq will allow MFQS pricing agents to request valuation correction messages be included as a separate section of the report.</div> | Code | Description | R | Regular Daily Update | C | Correction Record(s) | I | Intraday Update(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| R | Regular Daily Update | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C | Correction Record(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| I | Intraday Update(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Footnotes | <div>Indicates the footnote codes (if any) included on most recent Valuation record entered for the symbol during the current trading date. Allowable values are:</div> <table><tr><th>Code</th><th>Description</th><th>Instrument Type(s)</th></tr><tr><td>A</td><td>Fund's return may differ due to capital gains or losses</td><td>Money Market Fund</td></tr><tr><td>B</td><td>Sales or account charges may impact yield</td><td>Money Market Fund</td></tr><tr><td>C</td><td>Revaluation</td><td>AIP and Structured Product</td></tr><tr><td>D</td><td>Capital gains distribution</td><td>All</td></tr><tr><td>F</td><td>Fund uses prior day prices for MFQS reporting purposes</td><td>All</td></tr><tr><td>G</td><td>Redemption Gate</td><td>Money Market Fund</td></tr><tr><td>H</td><td>Deferred sales charge</td><td>UIT</td></tr><tr><td>I</td><td>Repurchase Offer</td><td>Mutual Fund</td></tr><tr><td>L</td><td>Liquidity Gate</td><td>Money Market Fund</td></tr><tr><td>N</td><td>No load fund</td><td>Mutual Fund</td></tr><tr><td>O</td><td>Primary offering</td><td>UIT</td></tr><tr><td>P</td><td>12(b)1 fee</td><td>Mutual Fund</td></tr><tr><td>R</td><td>Redemption fee</td><td>Mutual Fund</td></tr><tr><td>S</td><td>Stock split or dividend adjustment</td><td>All</td></tr><tr><td>W</td><td>NRO indicator</td><td>UIT</td></tr><tr><td>X</td><td>Cash dividend or income distribution adjustment</td><td>All</td></tr><tr><td>Y</td><td>Secondary offering</td><td>UIT</td></tr></table> <td>All</td> | Code | Description | Instrument Type(s) | A | Fund's return may differ due to capital gains or losses | Money Market Fund | B | Sales or account charges may impact yield | Money Market Fund | C | Revaluation | AIP and Structured Product | D | Capital gains distribution | All | F | Fund uses prior day prices for MFQS reporting purposes | All | G | Redemption Gate | Money Market Fund | H | Deferred sales charge | UIT | I | Repurchase Offer | Mutual Fund | L | Liquidity Gate | Money Market Fund | N | No load fund | Mutual Fund | O | Primary offering | UIT | P | 12(b)1 fee | Mutual Fund | R | Redemption fee | Mutual Fund | S | Stock split or dividend adjustment | All | W | NRO indicator | UIT | X | Cash dividend or income distribution adjustment | All | Y | Secondary offering | UIT | All |
| Code | Description | Instrument Type(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | Fund's return may differ due to capital gains or losses | Money Market Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B | Sales or account charges may impact yield | Money Market Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C | Revaluation | AIP and Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D | Capital gains distribution | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| F | Fund uses prior day prices for MFQS reporting purposes | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| G | Redemption Gate | Money Market Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| H | Deferred sales charge | UIT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| I | Repurchase Offer | Mutual Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| L | Liquidity Gate | Money Market Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| N | No load fund | Mutual Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| O | Primary offering | UIT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| P | 12(b)1 fee | Mutual Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| R | Redemption fee | Mutual Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| S | Stock split or dividend adjustment | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| W | NRO indicator | UIT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| X | Cash dividend or income distribution adjustment | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Y | Secondary offering | UIT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Average Maturity | Denotes the Average Maturity value from the most recent Valuation record entered for the symbol | Money Market Funds | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| Download Report : Standard Valuation | | | | | | | | |
|-----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------|--------|-----------------------------|------|----------------------------|-----|
| Field Name | Field Definition | Supported Instrument Types | | | | | | |
| | during the current trading date. | | | | | | | |
| Average Life | Denotes the Average Life value from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| Gross 7 Day Yield | Denotes the Gross 7 Day Yield value from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| Gross 7 Day Yield Direction | Indicates if the Gross 7 Day Yield value in the prior field should be a positive or negative number. | Money Market Funds | | | | | | |
| Subsidized 7 Day Yield | Denotes the Subsidized 7 Day Yield value from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| Subsidized 7 Day Yield Direction | Indicates if the Subsidized 7 Day Yield value in the prior field should be a positive or negative number. | Money Market Funds | | | | | | |
| Effective Annualized 7 Day Yield | Denotes the Effective Annualized 7 Day Yield value from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| Effective Annualized 7 Day Yield Direction | Indicates if the Effective Annualized 7 Day Yield value in the prior field should be a positive or negative number. | Money Market Funds | | | | | | |
| 30 Day Yield | Denotes the SEC 30-Day Yield value from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| 30 Day Yield Direction | Indicates if the SEC 30-Day Yield value in the prior field should be a positive or negative number. | Money Market Funds | | | | | | |
| 30 Day Yield Date | Denotes the SEC 30-Day Yield calculation date from the most recent Valuation record entered for the symbol during the current trading date. | Money Market Funds | | | | | | |
| Calculation Time (New field as of July 11, 2016) | Denotes the Calculation Time for a money market fund update if provided by the MFQS pricing agent. Time will be stated in HH:MM:SS military format for the U.S. Eastern Time (ET). If no calculation time was provided for money market fund or if the instrument is not a money market fund, the field will be populated as “NA”. | Money Market Funds | | | | | | |
| Instrument Tier (pka Listing Tier) | Denotes if the MFQS instrument tier for symbol. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>NML</td><td>News Media List</td></tr><tr><td>S/SL</td><td>Standard / Supplement List</td></tr></table> | Code | Description | NML | News Media List | S/SL | Standard / Supplement List | All |
| Code | Description | | | | | | | |
| NML | News Media List | | | | | | | |
| S/SL | Standard / Supplement List | | | | | | | |
| Status | Denotes if a symbol is set up in the MFQS system as a production or test instrument. The allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>Active</td><td>Live, production instrument</td></tr><tr><td>Test</td><td>Test instrument</td></tr></table> | Code | Description | Active | Live, production instrument | Test | Test instrument | All |
| Code | Description | | | | | | | |
| Active | Live, production instrument | | | | | | | |
| Test | Test instrument | | | | | | | |
| MFQS Start Date (New field as of July 11, 2016) | Denotes the business date that the instrument first remitted valuation data via the MFQS system. Field will show “NA” if instrument has yet to start pricing via MFQS system. | All | | | | | | |

| Download Report : Standard Valuation | | | | | | | | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------|-------------|---|-------------------------|---|------------------|---------|---------------|
| Field Name | Field Definition | Supported Instrument Types | | | | | | | | |
| Investor Type (New field as of July 11, 2016) | Denotes the target investor class for the MFQS instrument. Allowable values are: | All | | | | | | | | |
| | <table><tr><th>Code</th><th>Description</th></tr><tr><td>I</td><td>Institutional Investors</td></tr><tr><td>R</td><td>Retail Investors</td></tr><tr><td><space></td><td>Not available</td></tr></table> | | Code | Description | I | Institutional Investors | R | Retail Investors | <space> | Not available |
| | Code | | Description | | | | | | | |
| | I | | Institutional Investors | | | | | | | |
| | R | | Retail Investors | | | | | | | |
| | <space> | | Not available | | | | | | | |
| <i>Note: This field will be populated from the MFQS listing module data. User should remit a MFQS change request application if it needs to update the Investor Type code.</i> | | | | | | | | | | |
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| Download Report : Capital Distribution | | |
|----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
| Field Name | Field Definition | Supported Instrument Types |
| MFQS Symbol (pka Fund ID) | Denotes the Nasdaq assigned symbol for the instrument in the MFQS system. Please note that Nasdaq will include one record (row) for each MFQS symbol in a portfolio or list of securities. | All |
| Update Date | Denotes the Nasdaq system date that the most recent Capital Distribution record was entered into the MFQS system for the symbol. | All |
| Update Time | Denotes the Nasdaq system time that the most recent Capital Distribution record was entered into the MFQS system for the symbol. | All |
| Update Flag – Valuation | Indicates whether or not Nasdaq received a Valuation record with the current entry date for the symbol. | All |
| Update Flag –Dividend | Indicates whether or not Nasdaq received a Dividend/Interest record for the symbol during the current day. | All |
| Update Flag –Distributions | Indicates whether or not Nasdaq received a Capital Distribution record for the symbol during the current day. | All |
| Entry Date | Denotes the Entry Date value in the most recent Distribution record for the symbol entered into the MFQS system. | All |
| CUSIP | Denotes the CUSIP number in the MFQS system for the symbol. | All |
| Instrument Name | Denotes the current Instrument Name for the symbol in the MFQS system. | All |
| Currency | Denotes the ISO currency code in the inbound MFQS record for the symbol. The default value is “USD”. | All |
| Instrument Type | Denotes the Instrument Type for the symbol. Allowable values are: | All |
| | <table><tr><th>Code</th><th>Description</th></tr></table> | |
| Code | Description | |

| Download Report : Capital Distribution | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|----------------------------|-------------|---------------------------------------|--|------|------------------------|--------|--------------------------|------|-----------------------------|-----|---------------------------------------------------------------------------|------------------------------------------------|--|----|-------------------------------------|--------|-------------------------------------------|-------|-------------------------------------------|----------------------------------------|--|------|-----------------------------------------|--------|-------------------------------------------|----------------------------|--|-----|--------------------|-------|--------------------------|--------------------------------------|--|--------|-----------------------------|--------|-----------------------------------|--------|-----------------------------------------------------|
| Field Name | Field Definition | | Supported Instrument Types | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | MF | Mutual Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | MM | Money Market Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | UT | Unit Investment Trust | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | AN | Annuity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | AP | Alternative Investment Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | SP | Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | EM | NextShares Exchange Traded Managed Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NWSF User ID | Denotes the MFQS User ID that entered the Capital Distribution record into the MFQS system for the symbol. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pricing Agent MPID | Denotes the Nasdaq market participant identifier (MPID) assigned to the pricing agent that entered the Capital Distribution record into the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issuer Name | Denotes the Issuer Name associated with the symbol in the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pricing Agent | Denotes the Pricing Agent associated with the symbol in the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Code | Denotes the Instrument Code associated with the symbol in the MFQS system. Allowable values are: | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2"><i>Mutual Funds (Types MF and MS)</i></td></tr><tr><td>OPEN</td><td>Mutual Fund – Open End</td></tr><tr><td>CLOSED</td><td>Mutual Fund – Closed End</td></tr><tr><td>INVL</td><td>Mutual Fund – Internal Fund</td></tr><tr><td>BDC</td><td>Mutual Fund – Business Development Company (BDC) <i>(Type MS only)</i></td></tr><tr><td colspan="2"><i>Money Market Funds (Types \$\$ and \$S)</i></td></tr><tr><td>GP</td><td>Money Market Fund – General Purpose</td></tr><tr><td>GOVSEC</td><td>Money Market Fund – Government Securities</td></tr><tr><td>TAXEX</td><td>Money Market Fund – Tax Exempt Securities</td></tr><tr><td colspan="2"><i>Unit Investment Trust (Type US)</i></td></tr><tr><td>DEBT</td><td>Unit Investment Trust – Debt Securities</td></tr><tr><td>EQUITY</td><td>Unit Investment Trust – Equity Securities</td></tr><tr><td colspan="2"><i>Annuities (Type AN)</i></td></tr><tr><td>VAR</td><td>Annuity – Variable</td></tr><tr><td>EQIDX</td><td>Annuity – Equity Indexed</td></tr><tr><td colspan="2"><i>Structured Products (Type SP)</i></td></tr><tr><td>HYBRID</td><td>Structured Product – Hybrid</td></tr><tr><td>SNGSTK</td><td>Structured Product – Single Stock</td></tr><tr><td>BUFBAR</td><td>Structured Product – Buffer/Barrier Enhanced Upside</td></tr></table> | Code | | Description | <i>Mutual Funds (Types MF and MS)</i> | | OPEN | Mutual Fund – Open End | CLOSED | Mutual Fund – Closed End | INVL | Mutual Fund – Internal Fund | BDC | Mutual Fund – Business Development Company (BDC) <i>(Type MS only)</i> | <i>Money Market Funds (Types \$\$ and \$S)</i> | | GP | Money Market Fund – General Purpose | GOVSEC | Money Market Fund – Government Securities | TAXEX | Money Market Fund – Tax Exempt Securities | <i>Unit Investment Trust (Type US)</i> | | DEBT | Unit Investment Trust – Debt Securities | EQUITY | Unit Investment Trust – Equity Securities | <i>Annuities (Type AN)</i> | | VAR | Annuity – Variable | EQIDX | Annuity – Equity Indexed | <i>Structured Products (Type SP)</i> | | HYBRID | Structured Product – Hybrid | SNGSTK | Structured Product – Single Stock | BUFBAR | Structured Product – Buffer/Barrier Enhanced Upside |
| | Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <i>Mutual Funds (Types MF and MS)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | OPEN | Mutual Fund – Open End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | CLOSED | Mutual Fund – Closed End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | INVL | Mutual Fund – Internal Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | BDC | Mutual Fund – Business Development Company (BDC) <i>(Type MS only)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <i>Money Market Funds (Types \$\$ and \$S)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | GP | Money Market Fund – General Purpose | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | GOVSEC | Money Market Fund – Government Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | TAXEX | Money Market Fund – Tax Exempt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <i>Unit Investment Trust (Type US)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | DEBT | Unit Investment Trust – Debt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | EQUITY | Unit Investment Trust – Equity Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <i>Annuities (Type AN)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | VAR | Annuity – Variable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | EQIDX | Annuity – Equity Indexed | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <i>Structured Products (Type SP)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | HYBRID | Structured Product – Hybrid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | SNGSTK | Structured Product – Single Stock | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | BUFBAR | Structured Product – Buffer/Barrier Enhanced Upside | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| Download Report : Capital Distribution | | | | | | | | | | | |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|----------------------------|-------------|---|------------|---|------------------|---|------------------|-----|
| Field Name | Field Definition | | Supported Instrument Types | | | | | | | | |
| | PRIPRO | Structured Product – Principal Protected | | | | | | | | | |
| | COMEX | Structured Product – Commodity / FX | | | | | | | | | |
| | RTEN | Structured Product – Rates Enhanced | | | | | | | | | |
| | OTHER | Structured Product – Other | | | | | | | | | |
| | Alternative Investment Products (Type AP) | | | | | | | | | | |
| | MFF | Managed Future Fund | | | | | | | | | |
| | FOHF | Fund of Hedge Fund | | | | | | | | | |
| | HEDGE | Hedge Fund | | | | | | | | | |
| | REIT | Non-Traded REIT | | | | | | | | | |
| | NTHF | Non-Traditional Hedge Fund (Registered) | | | | | | | | | |
| | CPF | Commodity Pool Fund | | | | | | | | | |
| | PEQ | Private Equity Offering | | | | | | | | | |
| | NextShares Exchange Traded Managed Fund (Type EM) | | | | | | | | | | |
| ETMF | NextShares | | | | | | | | | | |
| Payment Date | Denotes the Payment Date value from the most recent Capital Distribution record entered for the symbol . | | All | | | | | | | | |
| Record Date | Denotes the Record Date value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Ex Date | Denotes the Ex Date value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Reinvest Date | Denotes the Reinvestment Date value from the most recent Capital Distribution record entered for the system. | | All | | | | | | | | |
| Action | Denotes the Action value from the most recent Capital Distribution record entered for the symbol. The allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>N</td><td>New Record</td></tr><tr><td>C</td><td>Corrected Record</td></tr><tr><td>X</td><td>Cancelled Record</td></tr></table> | | Code | Description | N | New Record | C | Corrected Record | X | Cancelled Record | All |
| Code | Description | | | | | | | | | | |
| N | New Record | | | | | | | | | | |
| C | Corrected Record | | | | | | | | | | |
| X | Cancelled Record | | | | | | | | | | |
| Short Term Capital Gain | Denotes the Short Term Capital Gains value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Long Term Capital Gain | Denotes the Long Term Capital Gains value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Unallocated Distributions | Denotes the Unallocated Distributions value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Return Of Capital | Denotes the Return of Capital (ROC) value from the most recent Capital Distribution record entered for the symbol. | | All | | | | | | | | |
| Instrument Tier (pka Listing Tier) | Denotes if the MFQS instrument tier for symbol. Allowable values are: | | All | | | | | | | | |

| Download Report : Capital Distribution | | | |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------|-----------------------------|----------------------------|
| Field Name | Field Definition | | Supported Instrument Types |
| | Code | Description | |
| | NML | News Media List | |
| | S/SL | Standard / Supplement List | |
| Status | Denotes if a symbol is set up in the MFQS system as a production or test instrument. The allowable values are: | | All |
| | Code | Description | |
| | Active | Live, production instrument | |
| | Test | Test instrument | |

| Download Report : Dividend / Interest (Income Distribution) | | | |
|-------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------|
| Field Name | Field Definition | | Supported Instrument Types |
| MFQS Symbol (pka Fund ID) | Denotes the Nasdaq assigned symbol for the MFQS instrument. Please note that Nasdaq will include one record (row) for each MFQS symbol in a portfolio or list of securities. | | All |
| Update Date | Denotes the Nasdaq system date that the most recent Dividend/Interest record was entered into the MFQS system for the symbol. | | All |
| Update Time | Denotes the Nasdaq system time that the most recent Dividend/Interest record was entered into the MFQS system for the symbol. | | All |
| Update Flag – Valuation | Indicates whether or not Nasdaq received a Valuation record for symbol with the current entry date. | | All |
| Update Flag –Dividend | Indicates whether or not Nasdaq received a Dividend/Interest record for the symbol during the current day. | | All |
| Update Flag – Distributions | Indicates whether or not Nasdaq received a Capital Distribution record for the symbol during the current day. | | All |
| Entry Date | Denotes the Entry Date value in the most recent Distribution record entered into the MFQS system. | | All |
| CUSIP | Denotes the CUSIP number in the MFQS system for the symbol. | | All |
| Instrument Name | Denotes the current Instrument Name for the symbol in the MFQS system. | | All |
| Currency | Denotes the ISO currency code in the inbound MFQS record for the symbol. The default value is "USD". | | All |
| Instrument Type | Denotes the Instrument Type for the symbol in the MFQS system. Allowable values are: | | All |
| | Code | Description | |
| | MF | Mutual Fund | |
| | MM | Money Market Fund | |
| | UT | Unit Investment Trust | |

| Download Report : Dividend / Interest (Income Distribution) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|----------------------------|-------------|---------------------------------------|--|------|------------------------|--------|--------------------------|------|-----------------------------|-----|--------------------------------------------------------------------|------------------------------------------------|--|----|-------------------------------------|--------|-------------------------------------------|-------|-------------------------------------------|----------------------------------------|--|------|-----------------------------------------|--------|-------------------------------------------|----------------------------|--|-----|--------------------|-------|--------------------------|--------------------------------------|--|--------|-----------------------------|--------|-----------------------------------|--------|-----------------------------------------------------|--------|------------------------------------------|-------|-------------------------------------|-----|
| Field Name | Field Definition | | Supported Instrument Types | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | AN | Annuity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | AP | Alternative Investment Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | SP | Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | EM | NextShares Exchanged Traded Managed Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NWSF User ID | Denotes the MFQS User ID that entered the Dividend/Interest record into the MFQS system for the symbol. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pricing Agent MPID | Denotes the Nasdaq market participant identifier (MPID) assigned to the MFQS pricing agent that entered the Dividend/Interest record into the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issuer Name | Denotes the Issuer Name associated with the symbol in the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pricing Agent | Denotes the Pricing Agent associated with the symbol in the MFQS system. | | All | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Code | Denotes the Instrument Code associated with the symbol in the MFQS system. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2"><i>Mutual Funds (Types MF and MS)</i></td></tr><tr><td>OPEN</td><td>Mutual Fund – Open End</td></tr><tr><td>CLOSED</td><td>Mutual Fund – Closed End</td></tr><tr><td>INVL</td><td>Mutual Fund – Internal Fund</td></tr><tr><td>BDC</td><td>Mutual Fund – Business Development Company (BDC) (Type MS only)</td></tr><tr><td colspan="2"><i>Money Market Funds (Types \$\$ and \$S)</i></td></tr><tr><td>GP</td><td>Money Market Fund – General Purpose</td></tr><tr><td>GOVSEC</td><td>Money Market Fund – Government Securities</td></tr><tr><td>TAXEX</td><td>Money Market Fund – Tax Exempt Securities</td></tr><tr><td colspan="2"><i>Unit Investment Trust (Type US)</i></td></tr><tr><td>DEBT</td><td>Unit Investment Trust – Debt Securities</td></tr><tr><td>EQUITY</td><td>Unit Investment Trust – Equity Securities</td></tr><tr><td colspan="2"><i>Annuities (Type AN)</i></td></tr><tr><td>VAR</td><td>Annuity – Variable</td></tr><tr><td>EQIDX</td><td>Annuity – Equity Indexed</td></tr><tr><td colspan="2"><i>Structured Products (Type SP)</i></td></tr><tr><td>HYBRID</td><td>Structured Product – Hybrid</td></tr><tr><td>SNGSTK</td><td>Structured Product – Single Stock</td></tr><tr><td>BUFBAR</td><td>Structured Product – Buffer/Barrier Enhanced Upside</td></tr><tr><td>PRIPRO</td><td>Structured Product – Principal Protected</td></tr><tr><td>COMEX</td><td>Structured Product – Commodity / FX</td></tr></table> | | Code | Description | <i>Mutual Funds (Types MF and MS)</i> | | OPEN | Mutual Fund – Open End | CLOSED | Mutual Fund – Closed End | INVL | Mutual Fund – Internal Fund | BDC | Mutual Fund – Business Development Company (BDC) (Type MS only) | <i>Money Market Funds (Types \$\$ and \$S)</i> | | GP | Money Market Fund – General Purpose | GOVSEC | Money Market Fund – Government Securities | TAXEX | Money Market Fund – Tax Exempt Securities | <i>Unit Investment Trust (Type US)</i> | | DEBT | Unit Investment Trust – Debt Securities | EQUITY | Unit Investment Trust – Equity Securities | <i>Annuities (Type AN)</i> | | VAR | Annuity – Variable | EQIDX | Annuity – Equity Indexed | <i>Structured Products (Type SP)</i> | | HYBRID | Structured Product – Hybrid | SNGSTK | Structured Product – Single Stock | BUFBAR | Structured Product – Buffer/Barrier Enhanced Upside | PRIPRO | Structured Product – Principal Protected | COMEX | Structured Product – Commodity / FX | All |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Mutual Funds (Types MF and MS)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| OPEN | Mutual Fund – Open End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CLOSED | Mutual Fund – Closed End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| INVL | Mutual Fund – Internal Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| BDC | Mutual Fund – Business Development Company (BDC) (Type MS only) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Money Market Funds (Types \$\$ and \$S)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| GP | Money Market Fund – General Purpose | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| GOVSEC | Money Market Fund – Government Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TAXEX | Money Market Fund – Tax Exempt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Unit Investment Trust (Type US)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| DEBT | Unit Investment Trust – Debt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| EQUITY | Unit Investment Trust – Equity Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Annuities (Type AN)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| VAR | Annuity – Variable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| EQIDX | Annuity – Equity Indexed | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Structured Products (Type SP)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| HYBRID | Structured Product – Hybrid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SNGSTK | Structured Product – Single Stock | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| BUFBAR | Structured Product – Buffer/Barrier Enhanced Upside | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PRIPRO | Structured Product – Principal Protected | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| COMEX | Structured Product – Commodity / FX | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| Download Report : Dividend / Interest (Income Distribution) | | | | | | | | | | | | | |
|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------|-------------|---|------------|---|------------------|---|------------------|---------|----------------------------------|-----|
| Field Name | Field Definition | | Supported Instrument Types | | | | | | | | | | |
| | RTEN | Structured Product – Rates Enhanced | | | | | | | | | | | |
| | OTHER | Structured Product – Other | | | | | | | | | | | |
| | Alternative Investment Products (Type AP) | | | | | | | | | | | | |
| | MFF | Managed Future Fund | | | | | | | | | | | |
| | FOHF | Fund of Hedge Fund | | | | | | | | | | | |
| | HEDGE | Hedge Fund | | | | | | | | | | | |
| | REIT | Non-Traded REIT | | | | | | | | | | | |
| | NTHF | Non-Traditional Hedge Fund (Registered) | | | | | | | | | | | |
| | CPF | Commodity Pool Fund | | | | | | | | | | | |
| | PEQ | Private Equity Offering | | | | | | | | | | | |
| | NextShares Exchange Traded Managed Fund (Type EM) | | | | | | | | | | | | |
| | ETMF | NextShares | | | | | | | | | | | |
| Payment Date | Denotes the Payment Date value from the most recent Dividend/Interest record entered for the symbol in the MFQS system. | | All | | | | | | | | | | |
| Record Date | Denotes the Record Date value from the most recent Dividend/Interest record entered for the symbol in the MFQS system. | | All | | | | | | | | | | |
| Ex Date | Denotes the Ex Date value from the most recent Dividend/Interest record entered for the symbol in the MFQS system. | | All | | | | | | | | | | |
| Reinvest Date | Denotes the Reinvestment Date value from the most recent Dividend/Interest record entered for the symbol in the MFQS system. | | All | | | | | | | | | | |
| Action | Denotes the Action value from the most recent Dividend/Interest record entered for the system. The allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>N</td><td>New Record</td></tr><tr><td>C</td><td>Corrected Record</td></tr><tr><td>X</td><td>Cancelled Record</td></tr></table> | | Code | Description | N | New Record | C | Corrected Record | X | Cancelled Record | All | | |
| Code | Description | | | | | | | | | | | | |
| N | New Record | | | | | | | | | | | | |
| C | Corrected Record | | | | | | | | | | | | |
| X | Cancelled Record | | | | | | | | | | | | |
| Cash Distribution Type | Denotes the Cash Distribution Type value from the most recent Dividend/Interest record entered for the symbol. The allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>D</td><td>Dividend</td></tr><tr><td>I</td><td>Interest</td></tr><tr><td>S</td><td>Special Dividend</td></tr><tr><td><space></td><td>Not Applicable; No Cash Dividend</td></tr></table> | | Code | Description | D | Dividend | I | Interest | S | Special Dividend | <space> | Not Applicable; No Cash Dividend | All |
| Code | Description | | | | | | | | | | | | |
| D | Dividend | | | | | | | | | | | | |
| I | Interest | | | | | | | | | | | | |
| S | Special Dividend | | | | | | | | | | | | |
| <space> | Not Applicable; No Cash Dividend | | | | | | | | | | | | |
| Total Cash Distribution | Denotes the Total Cash Distribution value from the most recent Dividend/Interest record entered for the symbol. | | All | | | | | | | | | | |
| Non-Qualified Cash Distribution | Denotes the Non-Qualified Cash Distribution value from the most recent Dividend/Interest record entered for the symbol. | | All | | | | | | | | | | |
| Qualified Cash Distribution | Denotes the Qualified Cash Distribution value from | | All | | | | | | | | | | |

| Download Report : Dividend / Interest (Income Distribution) | | | | | | | | |
|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------|--------|-----------------------------|------|----------------------------|-----|
| Field Name | Field Definition | Supported Instrument Types | | | | | | |
| | the most recent Dividend/Interest record entered for the symbol. | | | | | | | |
| Tax Free Cash Distribution | Denotes the Tax-Free Cash Distribution value from the Dividend/Interest record entered for the symbol. | All | | | | | | |
| Ordinary Foreign Tax Credit | Denotes the Ordinary Foreign Tax Credit value from the most recent Dividend/Interest record entered for the symbol. | All | | | | | | |
| Qualified Foreign Tax Credit | Denotes the Qualified Foreign Tax Credit value from the most recent Dividend/Interest record entered for the symbol. | All | | | | | | |
| Stock Dividend Ratio | Denotes the Stock Distribution Ratio value from the most recent Dividend/Interest record entered for the symbol in the MFQS system. | All | | | | | | |
| Instrument Tier (pka Listing Tier) | Denotes if the MFQS instrument tier for symbol. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>NML</td><td>News Media List</td></tr><tr><td>S/SL</td><td>Standard / Supplement List</td></tr></table> | Code | Description | NML | News Media List | S/SL | Standard / Supplement List | All |
| Code | Description | | | | | | | |
| NML | News Media List | | | | | | | |
| S/SL | Standard / Supplement List | | | | | | | |
| Status | Denotes if a symbol is set up in the MFQS system as a production or test instrument. The allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>Active</td><td>Live, production instrument</td></tr><tr><td>Test</td><td>Test instrument</td></tr></table> | Code | Description | Active | Live, production instrument | Test | Test instrument | All |
| Code | Description | | | | | | | |
| Active | Live, production instrument | | | | | | | |
| Test | Test instrument | | | | | | | |

DOWNLOADS

As outlined in the [MFQS Daily List specification document](#), Nasdaq offers the following MFQS web service reports to the market data community:

1. **MFQS Directory:** This component file provides security level information for all active instruments in the MFQS system at the beginning of the current business day. (Please note that MFQS issuers, administrators and pricing agents will only have access to those instrument records associated with their firm.)
2. **MFQS Daily List:** This component provides advance notification of MFQS registration actions such as new instruments, deleted instruments and instrument attribute changes. For the Daily List component, Nasdaq will generate two daily files:
 - a. **MFQS Daily List – Advance Notifications:** This file will include all MFQS registration actions that were approved by MFQS Operations on the current business date regardless of the MFQS effective date.
 - b. **MFQS Daily List – Next Business Day Changes:** This file provides only those MFQS registration actions scheduled to take effect on the next business date.
3. **MFQS Documentation Posting Service:** Nasdaq allows MFQS issuers to post prospectus, statements of additional information (SAI), semi-annual and annual reports, and money market monthly financial statements in PDF format for market data vendors to access. Each day, Nasdaq will generate a file defining new MFQS documents available for download.

Firms may query these downloadable reports via the MFQS website interface using the following screens:

The screenshot displays the MFQS website interface. At the top, there is a black header with the 'MFQS' logo on the left and the 'Nasdaq' logo on the right. Below the header is a navigation bar with links: HOME, INSTRUMENTS, VALUATION, DOWNLOADS, and REPORTS. A search bar on the right of the navigation bar contains the text 'Search for Symbol Or CUSIP...'. The main content area is titled 'SYMBOL DIRECTORY' and 'MFQS Directory Download'. Under 'Report Format', there is a dropdown menu currently set to 'Pipe Delimited Text', with a 'Download' button next to it. Below this, there is a section titled 'Security Look-Up' with several input fields: 'Symbol' (placeholder: 'Enter MFQS Symbol for query'), 'Issuer Name' (placeholder: 'Enter MFQS Issuer name for query'), 'Instrument Name' (placeholder: 'Enter MFQS Instrument name for query'), 'CUSIP' (placeholder: 'Enter CUSIP for query'), and 'Pricing Agent' (placeholder: 'Enter MFQS Pricing Agent for query'). A 'Query' button is located at the bottom left of this section.

DAILY LIST

Current Files

| | | | | |
|---------------------------------|------------------------------|-------------------------------|------------------------------|------------------------------------|
| Advance Notice (3/30/2017): | Download CSV | Download Text | Download XML | Download Excel XML |
| Next Day X-Dates (3/31/2017): | Download CSV | Download Text | Download XML | Download Excel XML |
| Documentation List (3/31/2017): | Download CSV | Download Text | Download XML | Download Excel XML |

Security/SystemNote Look-Up

Report Type:

☒ Advanced Notification List ☐ Next Day Notification List ☐ Documentation Download ☐ System Note

File Format:

Display on the page ▼

Posting Date Range:

Date From



Date To



MFQS Event Code

Enter Event Code for query ▼

Symbol

Enter MFQS Symbol for query ▼

CUSIP

Enter CUSIP for query

Instrument Name

Enter MFQS Instrument name for query ▼

Issuer Name

Enter Issuer Name ▼

Pricing Agent

Enter Pricing Agent ▼

Search

REPORTS

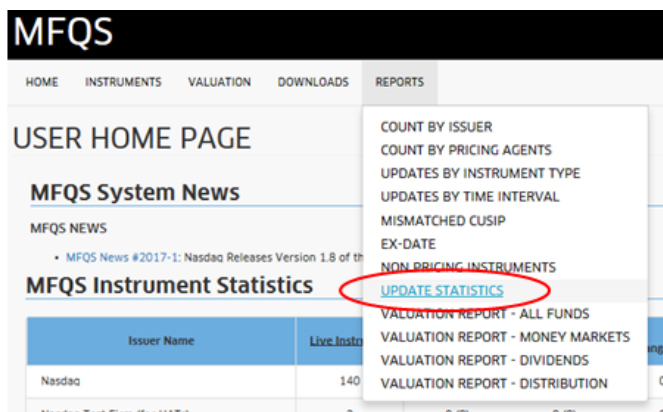
The Reports menu is viewable to all MFQS subscribers. Valuation reports require separate entitlement token.

From this section, firms can access the following frequently requested reports:

| Report Name | Format | Update Frequency | Retention Period | Description |
|----------------------------------|-----------------------------|-----------------------------------------------------------------|------------------|-------------------------------------------------------------------------------------------------------------------|
| <i>All MFQS Users</i> | | | | |
| Count by MFQS Issuer | Download (pipe, CSV or XML) | Monthly | 2 years+ | Count of MFQS instruments by asset class for each issuer on last trading day of given month |
| Count by MFQS Pricing Agent | Download (pipe, CSV or XML) | Monthly | 2 years+ | Count of MFQS instruments by asset class for each pricing agent firm on last trading day of given month |
| Updates by Instrument Type | Download (pipe, CSV or XML) | Monthly | 2 years+ | Daily snapshot of MFQS valuation updates for each asset class |
| Updates by Time Interval | Download (pipe, CSV or XML) | Monthly | 2 years+ | Aggregated count of MFQS valuation updates processed by 15 minute time intervals |
| Ex-Date | Download (pipe, CSV or XML) | Daily | 1 year | Dividend and capital distributor records reported into the MFQS system for a given ex date |
| Update Statistics | Web page | Intraday (Updated every 5 seconds from 9 a.m. to 8 p.m., ET) | N/A | Current count of MFQS valuation update processed for each instrument type / tier during the current trading day |
| <i>MFDS Web Service Users</i> | | | | |
| Valuation Report – All Funds | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS valuation for all mutual fund, UIT, annuity, AIP and structured product instruments processed on a given day |
| Valuation Report – Money Markets | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS valuation entries for all money market funds processed on a given date |
| Valuation Report - Dividends | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS dividend entries for all instruments processed on a given date |
| Valuation Report – Distributions | Download (pipe, CSV or XML) | Daily (Updated as data entered; final file at 8:00 p.m., ET) | 1 year | MFQS capital distribution entries for all instruments processed on a given date |

MFQS Reporting Statistics

1. Firms may track the intraday valuation and distribution reporting trends via the MFQS Reporting Statistics page. To access this page, the user should select the "Update Statistics" item from the Reports drop-down menu.



2. From the MFQS Reporting Statistics page, the user will see the reporting statistics for all MFQS instruments (excluding test symbols) at the time of request.

The screenshot shows the MFQS Reporting Statistics page. The page title is 'UPDATE STATISTICS MFQS REPORTING STATISTICS'. There are filter options for 'Filter by:' (Enter a Issuer Name) and 'Enter a Pricing Agent'. Below the filters are 'Apply Filter' and 'Reset' buttons. The 'Filtered by:' section shows 'No filter Applied'. The main table displays statistics for various instrument types.

| Type | Total Number | Valuations | | | NAV Updat | Distributions | |
|--------------------------------|--------------|------------|-----------|---------|-----------|--------------------|-------------|
| | | NAV Price | NAV as NA | Not Upd | | Dividends/Interest | Cap Distrib |
| Mutual Funds (MF) - All | 29314 | 0 | 0 | 29314 | 0 | 0 | 0 |
| MF - News Media | 9337 | 0 | 0 | 9337 | 0 | 0 | 0 |
| MF - Supplemental | 19977 | 0 | 0 | 19977 | 0 | 0 | 0 |
| Money Market Funds (MMF) - | 1262 | 0 | 0 | 1262 | 0 | 0 | 0 |
| MMF - News Media | 579 | 0 | 0 | 579 | 0 | 0 | 0 |
| MMF - Supplemental | 683 | 0 | 0 | 683 | 0 | 0 | 0 |
| Unit Investment Trusts (UIT) - | 4382 | 0 | 0 | 4382 | 0 | 0 | 0 |
| UIT - Debt | 1545 | 0 | 0 | 1545 | 0 | 0 | 0 |

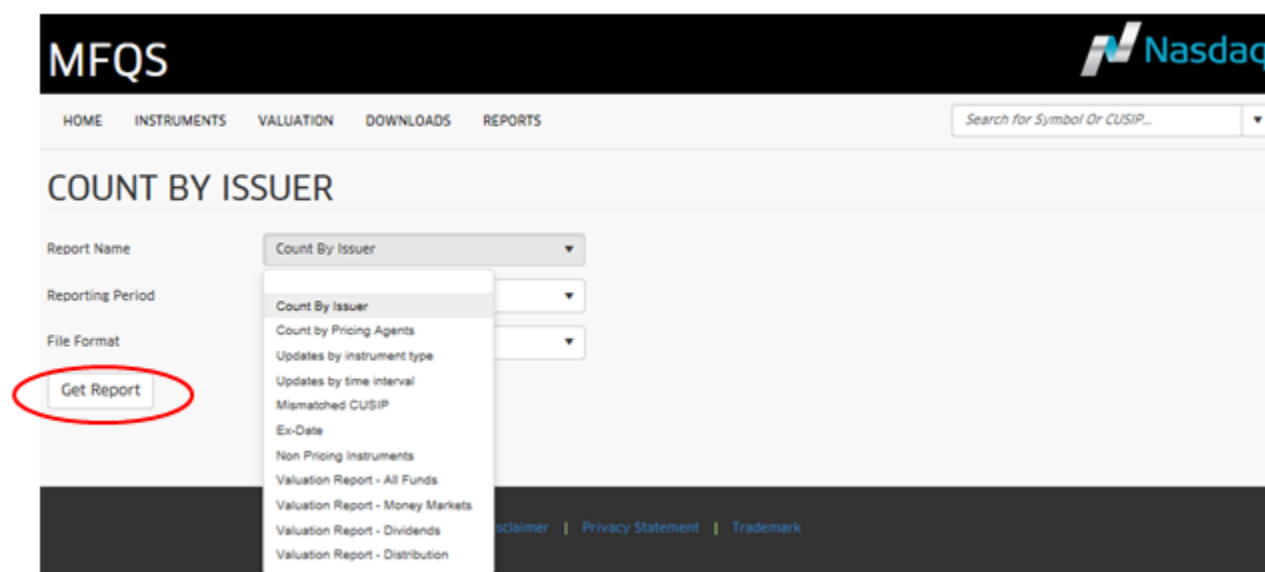
3. If desired, the user can opt to filter the statistics by Issuer Name or Pricing Agent. Please note that MFQS pricing agents may also filter by portfolio name.

Downloadable Reports

1. To access the MFQS downloadable reports, select the appropriate title from the Reports drop down menu.



2. From the Report download page, select your report filters and download format then click on the “Get Report” button.



3. Depending on how your computer is configured, you may be prompted to Save or Open the download file.

Download File Formats

Below is a description of each download report available via the MFQS website.

| | | |
|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
| Report Title(s) | Counts by MFQS Issuer Counts by MFQS Pricing Agent | |
| Purpose | Provides a month-end snapshot of the MFQS instrument counts for each MFQS Issuer (Fund Family or UIT Sponsor). For each firm, the report shows the number of instruments by instrument type. The report also indicates the percentage of MFQS funds associated with the firm. | |
| Filter Options | <ul style="list-style-type: none"> • Report Name (Firm Type) – MFQS Issuer or MFQS Pricing Agent • Reporting Month • File Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML | |
| Data Fields | Field Label | Field Definition |
| | Issuer Name or | Firm name in MFQS system for Issuer or Pricing |

| | |
|---------------------------|----------------------------------------------------------------------------------------|
| Pricing Agent Name | Agent |
| Total – All Instruments | Total number of MFQS instruments associated with firm |
| Percent - All Instruments | Total percentage of MFQS instruments associated with firm |
| Total - MF | Number of mutual fund – news media instruments associated with firm |
| Total – MS | Number of mutual fund – supplemental instruments associated with firm |
| Total – MF and MS | Subtotal of mutual funds associated with firm |
| Percent – MF and MS | Percentage of mutual funds associated with firm |
| Total - \$\$ | Number of money market fund – news media instruments associated with firm |
| Total - \$\$S | Number of money market fund – supplemental instruments associated with firm |
| Total - \$\$ and \$\$S | Subtotal of money market funds associated with firm |
| Percent - \$\$ and \$\$S | Percentage of money market funds associated with firm |
| Total – US | Subtotal of UITs in the MFQS system associated with firm |
| Percent – US | Percentage of UITs associated with firm |
| Total – AN | Subtotal of annuities in MFQS system associated with firm |
| Percent – AN | Percentage of annuities associated with firm |
| Total – SP | Subtotal of structured products in MFQS system associated with firm |
| Percent – SP | Percentage of structured products associated with firm |
| Total – AP | Subtotal of alternative investment products (AIPs) in MFQS system associated with firm |
| Percent – EM | Percentage of AIPs associated with firm |
| Total – EM | Subtotal of NextShares products in MFQS system associated with firm |
| Percent – EM | Percentage of NextShares associated with firm |

Report Title

Updates by Instrument Type

Purpose

Provides a **month-end summary** of the MFQS daily reporting statistics by instrument type and message category.

Filter Options

- Reporting Month
- File Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML

Data Fields

| Field Name | Field Definition |
|-----------------------|----------------------------------------------------------------------------------------|
| Entry Date | Trade date for which the MFQS reporting statistics were generated |
| Live – MF and MS | Total number of live mutual funds in the MFQS system on entry date |
| Valuation - MF and MS | Number of mutual funds that submitted a valuation update via MFQS system on entry date |

| | |
|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| Percent Valuation - MF and MS | Percentage of the mutual funds that submitted a valuation update via MFQS system on entry date |
| Dividends - MF and MS | Number of mutual funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distribution - MF and MS | Number of mutual funds that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections - MF and MS | Number of mutual funds that updated a prior day's valuation record via MFQS system on entry date |
| Live - MF | Total number of live mutual funds on the MFQS News Media List on entry date |
| Valuation – MF | Number of news media list mutual funds that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – MF | Percentage of the news media list mutual funds that submitted a valuation update via MFQS system on entry date |
| Dividends – MF | Number of news media list mutual funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – MF | Number of news media list mutual funds that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – MF | Number of news media mutual funds that updated a prior day's valuation record via MFQS system on entry date |
| Live – MS | Total number of mutual funds on the MFQS Supplemental List on entry date |
| Valuation – MS | Number of supplemental list mutual funds that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – MS | Percentage of the supplemental list mutual funds that submitted a valuation update via MFQS system on entry date |
| Dividends – MS | Number of supplemental list mutual funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – MS | Number of supplemental list mutual funds that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – MS | Number of supplemental list mutual funds that updated a prior day's valuation record via MFQS system on entry date |
| Live – \$\$ and \$\$ | Total number of live money market funds in the MFQS system on entry date |
| Valuation – \$\$ and \$\$ | Number of money market funds that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – \$\$ and \$\$ | Percentage of the money market funds that submitted a valuation update via MFQS system on entry date |
| Dividends – \$\$ and \$\$ | Number of money market funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – \$\$ and \$\$ = | Number of money market funds that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – \$\$ and \$\$ | Number of money market funds that updated a prior day's valuation record via MFQS system on entry date |
| Live – \$\$ | Total number of live money market funds on the MFQS News Media List on the entry date |
| Valuation – \$\$ | Number of news media list money market funds that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – \$\$ | Percentage of the news media list money market funds that submitted a valuation update via MFQS system on entry date |
| Dividends – \$\$ | Number of news media list money market funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – \$\$ | Number of news media list money market funds that submitted a |

| | |
|--------------------------|----------------------------------------------------------------------------------------------------------------------------|
| | Capital Distribution message via MFQS system on entry date |
| Corrections – \$\$ | Number of news media list money market funds that updated a prior day's valuation record via MFQS system on entry date |
| Live – \$\$ | Total number of money market funds on the MFQS Supplemental List on entry date |
| Valuation – \$\$ | Number of supplemental list money market funds that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – \$\$ | Percentage of the supplemental list money market funds that submitted a valuation update via MFQS system on entry date |
| Dividends – \$\$ | Number of supplemental list money market funds that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – \$\$ | Number of supplemental list money market funds that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – \$S | Number of supplemental list money market funds that updated a prior day's valuation record via MFQS system on entry date |
| Live – US | Total number of unit investment trusts (UITs) in the MFQS system on entry date |
| Valuation – US | Number of UITs that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – US | Percentage of the UITs that submitted a valuation update via MFQS system on entry date |
| Dividends – US | Number of UITs that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – US | Number of UITs that submitted a Capital Distribution message via the MFQS system on the entry date |
| Corrections – US | Number of UITs that updated a prior day's valuation via MFQS system record on entry date |
| Live – AN | Total number of annuities in the MFQS system on entry date |
| Valuation – AN | Number of annuities that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – AN | Percentage of the annuities that submitted a valuation update via MFQS system on entry date |
| Dividends – AN | Number of annuities that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – AN | Number of annuities that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – AN | Number of annuities that updated a prior day's valuation record via MFQS system on entry date |
| Live – SP | Total number of structured products in the MFQS system on entry date |
| Valuation – SP | Number of structured products that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – SP | Percentage of the structured products that submitted a valuation update via MFQS system on entry date |
| Dividends – SP | Number of structured products that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – SP | Number of structured products that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – SP | Number of structured products that updated a prior day's valuation record via MFQS system on entry date |
| Live – AP | Total number of alternative investment products (AIPs) in the MFQS system on entry date |

| | |
|------------------------|--------------------------------------------------------------------------------------------------|
| Valuation – AP | Number of AIPs that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – AP | Percentage of the AIPs that submitted a valuation update via MFQS system on entry date |
| Dividends – AP | Number of AIPs that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – AP | Number of AIPs that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – AP | Number of AIPs that updated a prior day's valuation record via MFQS system on entry date |
| Live – EM | Total number of NextShares instruments in the MFQS system on entry date |
| Valuation – EM | Number of NextShares that submitted a valuation update via MFQS system on entry date |
| Percent Valuation – EM | Percentage of the NextShares that submitted a valuation update via MFQS system on entry date |
| Dividends – EM | Number of NextShares that submitted a Dividend/Interest message via MFQS system on entry date |
| Distributions – EM | Number of NextShares that submitted a Capital Distribution message via MFQS system on entry date |
| Corrections – EM | Number of NextShares that updated a prior day's valuation record via MFQS system on entry date |

| | |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report Title | Updates by Instrument Type |
| Purpose | Provides a month-end summary of the MFQS daily reporting statistics by time interval. The report is intended to help market data vendors to track MFQS intra-day reporting trends over time. |
| Filter Options | <ul style="list-style-type: none"> Reporting Month File Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML |
| Data Fields | <p>For each MFQS system date, Nasdaq shows the number of valuation updates entered into the MFQS system for all MFQS instrument types for the following time increments:</p> <ul style="list-style-type: none"> From 8 a.m., ET (system open) to 4 p.m., ET (U.S. market close), the statistics are reported in 15-minute increments From 4 p.m., ET to 7 p.m., ET, the statistics are reported in 5-minute increments From 7 p.m., ET, to 8 p.m., ET (system close), the statistics are reported in 5-minute increments <p>Nasdaq denotes the start time and end time for each time interval in the report column headers. Final column reflects total valuation counts for full entry date.</p> <p>As of July 11, 2016, this report should reflect each instrument update with intraday or real-time reporting type. If the instrument prices multiple times per day, each update event will be reflected under the appropriate time interval in the report.</p> |

| | |
|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report Title | Ex-Date Report |
| Purpose | <p>Provides the list of MFQS instruments for which Nasdaq has received a Dividend/Interest record or a Capital Distribution record with the requested date in the Ex-Date field.</p> <p>This report is generated at the time of the user's request. The report contents may change intraday as Nasdaq processes incoming Dividend/Interest and Capital Distribution records from MFQS issuers and pricing agents. Please also note that this report is available via the MFQS Daily List web service for firms looking to automate the file retrieval process.</p> |

While it is possible to pull enter a historical date into the MFQS website, the Ex-Date report results will show only those distribution records entered into the MFQS system on or after the MFQS 0050 release date. In addition, firms can only retrieve the Ex-Date Report for trading dates within the last year.

Filter Options

- Ex-Date
- Issuer Name
- Pricing Agent
- File Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML

Data Fields

| Field Name | Field Definition | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-------------|---------------------------------------|-------------------------------|----|---------------------------------|------|-------------------------------------|-----|---------------------------------------|----|--------------------------------------------------------------------|------------------------------------------------|---------|----|--------------------------------------|----|-------------------------------------------|----|-------------------------------------------|----------------------------------------|--|---|-----------------------------------------|---|-------------------------------------------|----------------------------|--|---|--------------------|---|--------------------------|--------------------------------------|--|---|-----------------------------|---|-----------------------------------|---|-----------------------------------------------------|---|------------------------------------------|---|-------------------------------------|---|-------------------------------------|
| MFQS Symbol (pka Fund ID) | Denotes the Nasdaq assigned symbol for instrument reflected in the Dividend/Interest or Capital Distribution record. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CUSIP | Denotes the CUSIP number for the instrument in the MFQS system at the time that the Ex-Date Report was generated. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Type / Tier | Denotes the Instrument Type and Instrument Tier for the MFQS instrument in the MFQS system at the time that the Ex-Date Report was generated. Allowable values are: <table> <tr> <th>Code</th><th>Description</th></tr> <tr> <td>MF</td><td>Mutual Fund – News Media List</td></tr> <tr> <td>MS</td><td>Mutual Fund – Supplemental List</td></tr> <tr> <td>\$\$</td><td>Money Market Fund – News Media List</td></tr> <tr> <td>\$S</td><td>Money Market Fund – Supplemental List</td></tr> <tr> <td>US</td><td>Unit Investment Trust (UIT)</td></tr> <tr> <td>AN</td><td>Annuity</td></tr> <tr> <td>AP</td><td>Alternative Investment Product (AIP)</td></tr> <tr> <td>SP</td><td>Structured Product</td></tr> <tr> <td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr> </table> | Code | Description | MF | Mutual Fund – News Media List | MS | Mutual Fund – Supplemental List | \$\$ | Money Market Fund – News Media List | \$S | Money Market Fund – Supplemental List | US | Unit Investment Trust (UIT) | AN | Annuity | AP | Alternative Investment Product (AIP) | SP | Structured Product | EM | NextShares Exchange Traded Managed Fund | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MF | Mutual Fund – News Media List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MS | Mutual Fund – Supplemental List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| \$\$ | Money Market Fund – News Media List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| \$S | Money Market Fund – Supplemental List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| US | Unit Investment Trust (UIT) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AN | Annuity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AP | Alternative Investment Product (AIP) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SP | Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| EM | NextShares Exchange Traded Managed Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Code | Denotes the Instrument Code for the instrument in the MFQS system at the time that the Ex-Date Report was generated. Allowable values are: <table> <tr> <th>Code</th><th>Description</th></tr> <tr> <td colspan="2"><i>Mutual Funds (Types MF and MS)</i></td></tr> <tr> <td>O</td><td>Mutual Fund – Open End</td></tr> <tr> <td>C</td><td>Mutual Fund – Closed End</td></tr> <tr> <td>Y</td><td>Mutual Fund – Internal Fund</td></tr> <tr> <td>Z</td><td>Mutual Fund – Business Development Company (BDC) (Type MS only)</td></tr> <tr> <td colspan="2"><i>Money Market Funds (Types \$\$ and \$S)</i></td></tr> <tr> <td>A</td><td>Money Market Fund – General Purpose</td></tr> <tr> <td>G</td><td>Money Market Fund – Government Securities</td></tr> <tr> <td>X</td><td>Money Market Fund – Tax Exempt Securities</td></tr> <tr> <td colspan="2"><i>Unit Investment Trust (Type US)</i></td></tr> <tr> <td>D</td><td>Unit Investment Trust – Debt Securities</td></tr> <tr> <td>E</td><td>Unit Investment Trust – Equity Securities</td></tr> <tr> <td colspan="2"><i>Annuities (Type AN)</i></td></tr> <tr> <td>M</td><td>Annuity – Variable</td></tr> <tr> <td>N</td><td>Annuity – Equity Indexed</td></tr> <tr> <td colspan="2"><i>Structured Products (Type SP)</i></td></tr> <tr> <td>R</td><td>Structured Product – Hybrid</td></tr> <tr> <td>S</td><td>Structured Product – Single Stock</td></tr> <tr> <td>T</td><td>Structured Product – Buffer/Barrier Enhanced Upside</td></tr> <tr> <td>U</td><td>Structured Product – Principal Protected</td></tr> <tr> <td>V</td><td>Structured Product – Commodity / FX</td></tr> <tr> <td>W</td><td>Structured Product – Rates Enhanced</td></tr> </table> | Code | Description | <i>Mutual Funds (Types MF and MS)</i> | | O | Mutual Fund – Open End | C | Mutual Fund – Closed End | Y | Mutual Fund – Internal Fund | Z | Mutual Fund – Business Development Company (BDC) (Type MS only) | <i>Money Market Funds (Types \$\$ and \$S)</i> | | A | Money Market Fund – General Purpose | G | Money Market Fund – Government Securities | X | Money Market Fund – Tax Exempt Securities | <i>Unit Investment Trust (Type US)</i> | | D | Unit Investment Trust – Debt Securities | E | Unit Investment Trust – Equity Securities | <i>Annuities (Type AN)</i> | | M | Annuity – Variable | N | Annuity – Equity Indexed | <i>Structured Products (Type SP)</i> | | R | Structured Product – Hybrid | S | Structured Product – Single Stock | T | Structured Product – Buffer/Barrier Enhanced Upside | U | Structured Product – Principal Protected | V | Structured Product – Commodity / FX | W | Structured Product – Rates Enhanced |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Mutual Funds (Types MF and MS)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| O | Mutual Fund – Open End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C | Mutual Fund – Closed End | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Y | Mutual Fund – Internal Fund | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Z | Mutual Fund – Business Development Company (BDC) (Type MS only) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Money Market Funds (Types \$\$ and \$S)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | Money Market Fund – General Purpose | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| G | Money Market Fund – Government Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| X | Money Market Fund – Tax Exempt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Unit Investment Trust (Type US)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D | Unit Investment Trust – Debt Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| E | Unit Investment Trust – Equity Securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Annuities (Type AN)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| M | Annuity – Variable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| N | Annuity – Equity Indexed | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <i>Structured Products (Type SP)</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| R | Structured Product – Hybrid | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| S | Structured Product – Single Stock | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| T | Structured Product – Buffer/Barrier Enhanced Upside | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| U | Structured Product – Principal Protected | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| V | Structured Product – Commodity / FX | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| W | Structured Product – Rates Enhanced | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | | |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| | L | Structured Product – Other |
| | <i>Alternative Investment Products (Type AP)</i> | |
| | B | Managed Future Fund |
| | F | Fund of Hedge Fund |
| | H | Hedge Fund |
| | I | Non-Traded REIT |
| | J | Non-Traditional Hedge Fund (Registered) |
| | K | Commodity Pool Fund |
| | P | Private Equity Offering |
| | <i>NextShares Exchange Traded Managed Funds (Type EM)</i> | |
| | Q | NextShares |
| Distribution Message | Denotes the type of distribution reported for the symbol on the stated ex-date. Allowable values are: | |
| | Code | Description |
| | Income | Dividend/Interest |
| | Capital | Capital Distribution |
| Action (pka Update Type) | Denotes the Action value entered by the MFQS pricing agent in the inbound MFQS message format. The allowable values are as follows: | |
| | Code | Description |
| | New | New record |
| | Correction | Corrected record |
| | Cancelled | Cancelled record |
| ExDate | Denotes the Ex-Date reported for the Dividend/Interest or Capital Distribution message. Field format is MM/DD/YYYY. (Note: The report content is based on the user provided value for this field.) | |
| Payment Date | Denotes the date on which dividends, interest payments or distributions is expected to be distributed to the MFQS instrument's shareholders of record. If a payment date is reported, this field format will be MM/DD/YYYY. If no payment date is entered, this field will be populated as "NA". | |
| RecordDate | Denotes the date on which shareholders must hold fund shares to receive dividend, interest or distributions. If a record date is reported, this field format will be MM/DD/YYYY. If no record date is entered, this field will be populated as "NA". | |
| ReinvestDate | Denotes the reinvestment date for the dividend or distribution (if applicable). If a reinvestment date is reported, this field format will be MM/DD/YYYY. If no reinvestment date is entered, this field will be populated as "NA". | |
| Entry Date | Denotes the MFQS system date associated with the distribution record event. If Action = New, the Entry Date field will reflect the date that the record was initially entered into the MFQS system. If Action = Corrected or Cancelled, the Entry Date field will reflect the date that the record was last updated in the MFQS system. | |
| Currency | This field indicates the ISO currency code associated with the MFQS price-related fields. Value will be "USD" (U.S. Dollars) for all MFQS instruments at time of initial report release. | |
| Cash Distribution | This field indicates the type of cash distribution being reported in the following cash | |

| Type | <p>distribution fields. Allowable values will be:</p> <table> <tr> <th>Code</th><th>Description</th></tr> <tr> <td>Dividend</td><td>Cash Dividend</td></tr> <tr> <td>Interest</td><td>Interest Income</td></tr> <tr> <td>Special</td><td>Special Cash Dividend</td></tr> <tr> <td>NA</td><td>Not applicable, no cash distribution being reported.</td></tr> </table> | Code | Description | Dividend | Cash Dividend | Interest | Interest Income | Special | Special Cash Dividend | NA | Not applicable, no cash distribution being reported. |
|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-------------|----------|---------------|----------|-----------------|---------|-----------------------|----|------------------------------------------------------|
| Code | Description | | | | | | | | | | |
| Dividend | Cash Dividend | | | | | | | | | | |
| Interest | Interest Income | | | | | | | | | | |
| Special | Special Cash Dividend | | | | | | | | | | |
| NA | Not applicable, no cash distribution being reported. | | | | | | | | | | |
| Total Cash Distribution | <p>Denotes the total cash dividend or total interest distribution being reported for the MFQS instrument. Firms may report the breakdown of cash dividends / interest distribution in the fields that follow.</p> <p>At the time of data entry, Total Cash Distribution is reported as \$\$\$\$\$.dddddd.</p> <p>Please note that Nasdaq will populate this field as "NA" in the event of a stock only dividend or capital distribution.</p> | | | | | | | | | | |
| Non-Qualified Cash Distribution | <p>Denotes the portion of the cash dividend or interest income that is taxed as ordinary income to the shareholder. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>If non-qualified cash distribution is not entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Qualified Cash Distribution | <p>Denotes the portion of the cash dividend or interest that is taxed as a qualified dividend to shareholder. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>If qualified cash distribution is not entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Tax-Free Cash Distribution | <p>Denotes the portion of the cash dividend or interest attributable to bonds that is not taxed to the shareholder. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>If tax free cash distribution is not entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Ordinary Foreign Tax Credit | <p>Denotes the portion of the cash dividend or interest from a foreign corporation that is not "qualified" by the IRS. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>If ordinary foreign tax credit is not entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Qualified Foreign Tax Credit | <p>Denotes the portion of the cash dividend or interest attributable to qualified foreign corporation as defined by the IRS. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>If qualified foreign tax credit is not entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Stock Dividend Ratio | <p>Denotes the stock split/dividend ratio for a MFQS instrument. Examples:</p> <ul style="list-style-type: none"> • 2-for-1 stock split should be reported as "0002.000000". • 1-for-2 reverse stock split should be reported as "0000.500000". • 10% stock dividend would be reported as "0001.100000". <p>If no stock split/dividend is entered, the field will be populated as "NA".</p> | | | | | | | | | | |
| Short Term Capital Gain | <p>Denotes the per share amount of short-term capital gains for a MFQS instrument. A short-term capital gain is a profit resulting from the sale of securities held in the fund portfolio for less than one year.</p> <p>Please note that Nasdaq will populate this field as "NA" if no short term gain is entered for stated ex-date.</p> | | | | | | | | | | |
| Long Term Capital Gain | <p>Denotes the total capital gain for the MFQS instrument that is taxed to the shareholder at the long-term capital gains rate.</p> | | | | | | | | | | |

| | Please note that Nasdaq will populate this field as "NA" if no long term gain is entered for stated ex-date. | | | | | | |
|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-------------|--------|-----------------------------|------|-----------------|
| Unallocated Distributions | Denotes the amount of unassigned term gains being reported for the MFQS instrument. Please note that Nasdaq will populate this field as "NA" if no unallocated distribution value is entered for stated ex-date. | | | | | | |
| Return Of Capital | Denotes the amount of return of capital to the MFQS instrument's shareholders. Please note that this value should be entered as a dollar amount (not a percentage). Please note that Nasdaq will populate this field as "NA" if no return of capital is entered for stated ex-date. | | | | | | |
| Issuer Name | Denotes the MFQS issuer name associated with the MFQS instrument at the time that the Ex-Date Report was generated. | | | | | | |
| Pricing Agent | Denotes the MFQS pricing agent name associated with the MFQS instrument at the time that the Ex-Date Report was generated. | | | | | | |
| Status | The current status for the symbol in the MFQS system. Allowable values are: <table border="1"> <thead> <tr> <th>Code</th><th>Description</th></tr> </thead> <tbody> <tr> <td>Active</td><td>Live, production instrument</td></tr> <tr> <td>Test</td><td>Test instrument</td></tr> </tbody> </table> | Code | Description | Active | Live, production instrument | Test | Test instrument |
| Code | Description | | | | | | |
| Active | Live, production instrument | | | | | | |
| Test | Test instrument | | | | | | |

| Report Title(s) | Non-Pricing Instruments | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------|-------------|--------------------------------|-------------------------------|------------------------------|-------------------------------------------------------------------|------|-------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|------|-----------------------------|--------|-----------------------------|------|--------------------------------------|-----------------|---------------------------------------------------------------|--|-------------|----------------------------------------------------------------------------|--|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------|-------------|----|-------------------------------|----|---------------------------------|------|-------------------------------------|-----|---------------------------------------|----|-----------------------------|----|---------|----|--------------------------------------|----|--------------------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------|-------------|--------------------------------|--|
| Purpose | Provides a list of live MFQS instruments that did not actively remit valuation data during given calendar month | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Filter Options | <ul style="list-style-type: none">Reporting PeriodFile Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Data Fields | <table><tr><th>Field Name</th><th colspan="2">Field Definition</th></tr><tr><td>MFQS Symbol (pka Fund ID)</td><td colspan="2">Denotes the Nasdaq assigned symbol for instrument in MFQS system.</td></tr><tr><td>Status</td><td colspan="2">Denotes the status for the symbol in the MFQS system on the last day of reporting period. Allowable values are:<table><tr><th>Code</th><th>Description</th></tr><tr><td>Active</td><td>Live, production instrument</td></tr><tr><td>Test</td><td>Test instrument</td></tr></table></td></tr><tr><td>Instrument Name</td><td colspan="2">Denotes the instrument name as it appears in the MFQS system.</td></tr><tr><td>Issuer Name</td><td colspan="2">Denotes the issuer or trust sponsor name as it appears in the MFQS system.</td></tr><tr><td>Instrument Type / Tier</td><td colspan="2">Denotes the Instrument Type and Instrument Tier for the MFQS instrument in the MFQS system on the last day of the reporting period Allowable values are:<table><tr><th>Code</th><th>Description</th></tr><tr><td>MF</td><td>Mutual Fund – News Media List</td></tr><tr><td>MS</td><td>Mutual Fund – Supplemental List</td></tr><tr><td>\$\$</td><td>Money Market Fund – News Media List</td></tr><tr><td>\$S</td><td>Money Market Fund – Supplemental List</td></tr><tr><td>US</td><td>Unit Investment Trust (UIT)</td></tr><tr><td>AN</td><td>Annuity</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>SP</td><td>Structured Product</td></tr></table></td></tr><tr><td>Instrument Code</td><td colspan="2">Denotes the Instrument Code for the instrument in the MFQS system at the time that the Ex-Date Report was generated. Allowable values are:<table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2">Mutual Funds (Types MF and MS)</td></tr></table></td></tr></table> | | | Field Name | Field Definition | | MFQS Symbol (pka Fund ID) | Denotes the Nasdaq assigned symbol for instrument in MFQS system. | | Status | Denotes the status for the symbol in the MFQS system on the last day of reporting period. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>Active</td><td>Live, production instrument</td></tr><tr><td>Test</td><td>Test instrument</td></tr></table> | | Code | Description | Active | Live, production instrument | Test | Test instrument | Instrument Name | Denotes the instrument name as it appears in the MFQS system. | | Issuer Name | Denotes the issuer or trust sponsor name as it appears in the MFQS system. | | Instrument Type / Tier | Denotes the Instrument Type and Instrument Tier for the MFQS instrument in the MFQS system on the last day of the reporting period Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>MF</td><td>Mutual Fund – News Media List</td></tr><tr><td>MS</td><td>Mutual Fund – Supplemental List</td></tr><tr><td>\$\$</td><td>Money Market Fund – News Media List</td></tr><tr><td>\$S</td><td>Money Market Fund – Supplemental List</td></tr><tr><td>US</td><td>Unit Investment Trust (UIT)</td></tr><tr><td>AN</td><td>Annuity</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>SP</td><td>Structured Product</td></tr></table> | | Code | Description | MF | Mutual Fund – News Media List | MS | Mutual Fund – Supplemental List | \$\$ | Money Market Fund – News Media List | \$S | Money Market Fund – Supplemental List | US | Unit Investment Trust (UIT) | AN | Annuity | AP | Alternative Investment Product (AIP) | SP | Structured Product | Instrument Code | Denotes the Instrument Code for the instrument in the MFQS system at the time that the Ex-Date Report was generated. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2">Mutual Funds (Types MF and MS)</td></tr></table> | | Code | Description | Mutual Funds (Types MF and MS) | |
| Field Name | Field Definition | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MFQS Symbol (pka Fund ID) | Denotes the Nasdaq assigned symbol for instrument in MFQS system. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | Denotes the status for the symbol in the MFQS system on the last day of reporting period. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>Active</td><td>Live, production instrument</td></tr><tr><td>Test</td><td>Test instrument</td></tr></table> | | Code | Description | Active | Live, production instrument | Test | Test instrument | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Active | Live, production instrument | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Test | Test instrument | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Name | Denotes the instrument name as it appears in the MFQS system. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issuer Name | Denotes the issuer or trust sponsor name as it appears in the MFQS system. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Type / Tier | Denotes the Instrument Type and Instrument Tier for the MFQS instrument in the MFQS system on the last day of the reporting period Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td>MF</td><td>Mutual Fund – News Media List</td></tr><tr><td>MS</td><td>Mutual Fund – Supplemental List</td></tr><tr><td>\$\$</td><td>Money Market Fund – News Media List</td></tr><tr><td>\$S</td><td>Money Market Fund – Supplemental List</td></tr><tr><td>US</td><td>Unit Investment Trust (UIT)</td></tr><tr><td>AN</td><td>Annuity</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>SP</td><td>Structured Product</td></tr></table> | | Code | Description | MF | Mutual Fund – News Media List | MS | Mutual Fund – Supplemental List | \$\$ | Money Market Fund – News Media List | \$S | Money Market Fund – Supplemental List | US | Unit Investment Trust (UIT) | AN | Annuity | AP | Alternative Investment Product (AIP) | SP | Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MF | Mutual Fund – News Media List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MS | Mutual Fund – Supplemental List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| \$\$ | Money Market Fund – News Media List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| \$S | Money Market Fund – Supplemental List | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| US | Unit Investment Trust (UIT) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AN | Annuity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| AP | Alternative Investment Product (AIP) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SP | Structured Product | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Instrument Code | Denotes the Instrument Code for the instrument in the MFQS system at the time that the Ex-Date Report was generated. Allowable values are: <table><tr><th>Code</th><th>Description</th></tr><tr><td colspan="2">Mutual Funds (Types MF and MS)</td></tr></table> | | Code | Description | Mutual Funds (Types MF and MS) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Code | Description | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mutual Funds (Types MF and MS) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| | O | Mutual Fund – Open End |
| | C | Mutual Fund – Closed End |
| | Y | Mutual Fund – Internal Fund |
| | Z | Mutual Fund – Business Development Company (BDC) (Type MS only) |
| | <i>Money Market Funds (Types \$\$ and \$\$S)</i> | |
| | A | Money Market Fund – General Purpose |
| | G | Money Market Fund – Government Securities |
| | X | Money Market Fund – Tax Exempt Securities |
| | <i>Unit Investment Trust (Type US)</i> | |
| | D | Unit Investment Trust – Debt Securities |
| | E | Unit Investment Trust – Equity Securities |
| | <i>Annuities (Type AN)</i> | |
| | M | Annuity – Variable |
| | N | Annuity – Equity Indexed |
| | <i>Structured Products (Type SP)</i> | |
| | R | Structured Product – Hybrid |
| | S | Structured Product – Single Stock |
| | T | Structured Product – Buffer/Barrier Enhanced Upside |
| | U | Structured Product – Principal Protected |
| | V | Structured Product – Commodity / FX |
| | W | Structured Product – Rates Enhanced |
| | L | Structured Product – Other |
| | <i>Alternative Investment Products (Type AP)</i> | |
| | B | Managed Future Fund |
| | F | Fund of Hedge Fund |
| | H | Hedge Fund |
| | I | Non-Traded REIT |
| | J | Non-Traditional Hedge Fund (Registered) |
| | K | Commodity Pool Fund |
| | P | Private Equity Offering |
| CUSIP | Denotes the CUSIP number for the instrument as it appears in the MFQS system. | |
| Pricing Agent | Denotes the pricing agent associated with the instrument on the last date of the reporting period. | |
| Pricing Frequency | Denotes the pricing frequency for the instrument in the MFQS system. | |
| Inception Date | Denotes the Inception Date for the instrument as it appears in the MFQS system | |
| Termination Date | Denotes the Termination Date in the MFQS system for UIT, structured product or other limited life instrument. | |
| MFQS Start Date | Denotes the first date that the instrument remitted valuation data via the MFQS system. If the instrument has yet to price, the field value will be “NA”. | |
| MFQS Last Price Date | Denotes the most recent date that the instrument remitted valuation data via the MFQS system. If the instrument has yet to price, the field value will be “NA”. | |
| MFQS Effective Date for Change Request | Denotes the MFQS Effective Date on the most recent MFQS Daily List event for the instrument in the MFQS system. | |

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|--------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Valuation Report – Money Market Funds Valuation Report – Dividends Valuation Report – Distributions | |
| Purpose | Provides a snapshot of MFQS valuation, dividends and distribution records processed by MFQS system on a given entry date for registered MFDS web service subscribers |
| Filter Options | <ul style="list-style-type: none"> • Entry Date (Current Day; Up To 60 Days In Past) • Instrument Type • Instrument Tier • File Format – Pipe delimited text (.TXT), comma delimited text (.CSV) or ExcelXML |
| Data Fields | Refer to Mutual Fund Dissemination Service (MFDS) Web-based Data Access Option specification document for messaging details. |

MFQS SUPPORT

| Type of Inquiry | Contact Information |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| Administration Support – MFQS Issuers, Administrators and Pricing Agents | |
| Nasdaq Agreements & Forms for MFQS Issuers, Administrators and Pricing Agents , including: <ul style="list-style-type: none"> • MFQS Access Agreement • MFQS Website Enrollment Form • MFQS Instrument Registration Forms | Nasdaq MFQS Operations Local Phone: + 1 301 978 5307 (Option 6) |
| Billing / Invoice | Nasdaq Finance +1 800 955 3898 |
| Administration Support – Market Data Vendors | |
| Nasdaq Agreements & Forms for Market Data Redistributors , including: <ul style="list-style-type: none"> • Nasdaq Global Data Agreement • New Data Product Request Form • Web-Based Data Logon Form | Nasdaq Global Information Services - Operations Phone: +1 301 978 5307 (Option 2) |
| Billing / Invoice | Nasdaq Finance +1 800 955 3898 |
| Technical Support – All Users | |
| Technical Inquiries – MFQS System Interfaces <ul style="list-style-type: none"> • MFQS Certificates, User IDs and Passwords • MFQS Website Access Issues • CTCI Connectivity Issues | Nasdaq Trading Services +1 212 231 5180 |
| MFQS Technical Interface Specifications / Data Formats | Nasdaq Global Information Services +1 301 978 5307 (Option 6) |
| MFQS Daily List | Nasdaq MFQS Operations Local Phone: + 1 301 978 5307 (Option 6) |
| Other Inquiries – All Users | |
| MFQS Training Requests | Nasdaq MFQS Operations Local Phone: + 1 301 978 5307 (Option 6) |
| MFQS Product Management | Nasdaq Global Information Services +1 301 978 5307 (Option 3) |

MFQS DATA REPORTS

Nasdaq currently offers the following MFQS data products to the market data community for a fee:

| Product Name | Mutual Fund Dissemination Service (MFDS) |
|-----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Data Content | <ul style="list-style-type: none"> • For mutual funds, unit investment trusts (UITs), variable annuities, alternative investment products (AIPs) and structured products registered with MFQS: Net asset value (NAV), offer/market price, total (net) assets, footnotes, cash and stock dividends, short-term, long-term and other capital gains distributions, and unallocated distribution. • For money market funds registered with MFQS: NAV, Gross seven-day yield, subsidized seven-day yield, average maturity, average life, total (net) assets, and capital gain distributions. |
| Delivery Options | <ul style="list-style-type: none"> • Mutual Fund Dissemination Service (MFDS) Data Feed – Streaming IP multicast data delivered via extranets or dedicated circuits into the Nasdaq data centers. MFDS data feed offers the most robust and timely option for current day's MFQS valuation data. MFDS data feed does <u>not</u> include CUSIPs. • MFDS Web-Based Data Access Option – Web query option for MFDS end-of-day files for the most recent year. MFDS web service is part of the secured MFQS website offering and is intended for non-real-time use cases. MFDS web-based reports are available with or without CUSIPs. |
| Price Information | <p>Firms that access MFQS valuation data via the Nasdaq data feed or the MFQS secured website are subject to the MFDS Direct Access Fee. Firms pay a separate monthly fee for each access method.</p> <p>Firms clients may also be subject to the MFDS External Distributor fee for downstream display of the data sets.</p> |

| Product Name | MFQS Daily List Reports |
|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Data Content | <ul style="list-style-type: none"> • Enhanced Directory file with Nasdaq-assigned symbol, CUSIP, asset class, instrument name, issuer name, pricing agent name, inception date, termination date, and MFQS go-live date for all active MFQS instruments. • Daily List with advanced notification of MFQS additions, deletions, name changes, symbol changes, CUSIP changes, and other instrument corporate actions. |
| Delivery Options | <ul style="list-style-type: none"> • MFQS Daily List via Web – Web query option for MFQS Daily List files includes access to current day's data and to historical data dating back to November 2010. |
| Price Information | <p>Firms that access MFQS Daily List via the MFQS secured website are subject to the monthly access fee.</p> |