

MFQS Daily List Data Mapping

File Format:

In the table below, NASDAQ OMX has summarized how to map the data fields from the legacy MFQS Daily List file on the NASDAQ OMX Trader website to the new MFQS Daily List files on the new MFQS website.

Please refer to the [MFQS Daily List / MFQS Registration Service specification document](#) for details on the new data fields included in the MFQS Daily List files as well as the layout of new MFQS reports available to the market data community on the new MFQS service.

Legacy MFQS Daily List on NASDAQ Trader		New MFQS Daily List on MFQS Website																
Field Name – Legacy	Description	Field Name(s) – New	Conversion Notes															
Daily List Date / Time	The date and time the Daily List was distributed. All times are military time and Eastern Time (ET). The date format is MM/DD/YYYY. The time format is HH:MM:SS.	Daily List Posting Date Daily List Posting Time	In the new MFQS files, the date and time fields are separate. Time is stated as HHMMSS (without colons).															
Effective Day	The date that MFQS corporate action is effective in the MFQS system. Please refer to the “Corporate Action Effective Date” field for the official date of the change by the MFQS fund family / trust sponsor.	MFQS Effective Date	For the new MFQS files, the MFQS Effective Date is used to determine whether to show the value in the Advance Notification list or the Next Day list. If the Effective Date is equal to the next business day’s date, the record will be included in the Next Day file. If the Effective Date is for a later date, the record will be included in the Advance Notification file.															
Fund Event	The category of the change to the affected security. The allowed values were: <table border="1" data-bbox="409 1237 1016 1458"> <thead> <tr> <th>Fund Event</th> </tr> </thead> <tbody> <tr> <td>Additions</td> </tr> <tr> <td>Deletions</td> </tr> <tr> <td>Corrections - Additions/Deletions</td> </tr> <tr> <td>Name/Symbol Change</td> </tr> <tr> <td>Corrections - Name/Symbol Changes</td> </tr> <tr> <td>Newspaper Change</td> </tr> </tbody> </table>	Fund Event	Additions	Deletions	Corrections - Additions/Deletions	Name/Symbol Change	Corrections - Name/Symbol Changes	Newspaper Change	MFQS Event Code	For the new MFQS file, the allowable event codes are: <table border="1" data-bbox="1356 1203 1965 1458"> <thead> <tr> <th>MFQS Event Codes</th> </tr> </thead> <tbody> <tr> <td>Anticipated Addition</td> </tr> <tr> <td>Correction – Anticipated Addition</td> </tr> <tr> <td>Addition</td> </tr> <tr> <td>Correction – Addition</td> </tr> <tr> <td>Deletion</td> </tr> <tr> <td>Correction – Deletion</td> </tr> <tr> <td>UIT Replacement</td> </tr> </tbody> </table>	MFQS Event Codes	Anticipated Addition	Correction – Anticipated Addition	Addition	Correction – Addition	Deletion	Correction – Deletion	UIT Replacement
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UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument																	
CUSIP	The CUSIP number of the Fund undergoing the Name/Symbol Change Only. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's.	CUSIP – Current CUSIP – New	<p>For the new MFQS file format, NASDAQ OMX only offers a CUSIP version.</p> <p>For the new MFQS file format, NASDAQ OMX includes two CUSIP fields. The field processing by MFQS Event Code will be as follows:</p> <table border="1"> <thead> <tr> <th>MFQS Event Code</th> <th>CUSIP – Current</th> <th>CUSIP – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td>Reflects code for outgoing instrument</td> <td>Reflects code for new instrument</td> </tr> </tbody> </table>		MFQS Event Code	CUSIP – Current	CUSIP – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument
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Notes for each Entry	Free form text allowing for entry of notes pertaining to the single entry.	Notes for Daily List Record	<p>While NASDAQ OMX will still support a Notes field, it has attempted to added new fields and processing logic to minimize the need for special processing. For example:</p> <ul style="list-style-type: none"> For Deletions, the new MFQS file formats has explicit Deletion Reason, MFQS Symbol for Merger and CUSIP for Merger fields. For UIT Replacements, NASDAQ OMX will populate the “current” fields with the outgoing instrument information and the “new” fields with the incoming instrument information. 																

Legacy MFQS Daily List on NASDAQ Trader		New MFQS Daily List on MFQS Website																
Field Name – Legacy	Description	Field Name(s) – New	Conversion Notes															
Notes for Day	Free form text allowing for entry of notes pertaining to the overall list or entries on a previous day's list.	Note for Day (Closing record only)	To economize on space, NASDAQ OMX will only support the Note for the Day in the closing record.															
Pricing Agent	The firm responsible for the pricing of the fund.	Pricing Agent – Current Pricing Agent – New	For the new MFQS file format, NASDAQ OMX includes two Pricing Agent fields. The field processing by MFQS Event Code will be as follows: <table border="1"> <thead> <tr> <th>MFQS Event Code</th> <th>Pricing Agent – Current</th> <th>Pricing Agent – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td>Reflects code for outgoing instrument</td> <td>Reflects code for new instrument</td> </tr> </tbody> </table>	MFQS Event Code	Pricing Agent – Current	Pricing Agent – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument
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Dep Date	Date the Unit Investment Trust is deposited. The date format is MM/DD/YYYY	Deposit Date – Current Deposit Date – New	This field has been traditionally only for Unit Investment Trust (UIT) instruments. In the new MFQS file format, NASDAQ OMX supports two Deposit Date fields. The field processing by MFQS Event Code will be as follows: <table border="1"> <thead> <tr> <th>MFQS Event Code</th> <th>Deposit Date – Current</th> <th>Deposit Date – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td>Reflects code for outgoing instrument</td> <td>Reflects code for new instrument</td> </tr> </tbody> </table>	MFQS Event Code	Deposit Date – Current	Deposit Date – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument
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Legacy MFQS Daily List on NASDAQ Trader		New MFQS Daily List on MFQS Website																															
Field Name – Legacy	Description	Field Name(s) – New	Conversion Notes																														
Term Date	Date the Unit Investment Trust is scheduled to expire or terminate. The date format is MM/DD/YYYY.	Termination Date – Current Termination Date – New	<p>This field has been traditionally only for Unit Investment Trust (UIT) instruments. In the new MFQS file format, NASDAQ OMX supports two Termination Date fields. The field processing by MFQS Event Code will be as follows:</p> <table border="1"> <thead> <tr> <th>MFQS Event Code</th> <th>Termination Date – Current</th> <th>Termination Date – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td>Reflects code for outgoing instrument</td> <td>Reflects code for new instrument</td> </tr> </tbody> </table>	MFQS Event Code	Termination Date – Current	Termination Date – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument															
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Corporate Action Effective Date	The date on which the daily list event for the fund has reported to have actually taken place. The field is intended to provide the ability to determine when a corporate action took place and not simply when the action was reported to NASDAQ. The date format is MM/DD/YYYY.	Issuer Corporate Action Date	Similar to the current processing, this field reflects the official corporate action date of the MFQS instrument issuer. The Corporate Action Effective Date may be different than the MFQS Effective Date in the event of a MFQS Attribute Change (Name Change) or Deletion event.															
Fund Family	The name of the group or fund complex to which a particular fund belongs. For unit investment trusts (UITs) the field will contain the name of the Sponsor firm.	Issuer Name – Current Issuer Name – New	In the new MFQS file format, NASDAQ OMX supports two Distribution Frequency fields. The field processing by MFQS Event Code will be as follows: <table border="1" data-bbox="1360 605 1965 1008"> <thead> <tr> <th>MFQS Event Code</th> <th>Distribution Type – Current</th> <th>Distribution Type – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td>Reflects code for outgoing instrument</td> <td>Reflects code for new instrument</td> </tr> </tbody> </table>	MFQS Event Code	Distribution Type – Current	Distribution Type – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	Reflects code for outgoing instrument	Reflects code for new instrument
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Newspaper Heading	The title under which the fund will appear in print newspapers.	Newspaper Category – Current Newspaper Category – New	This field will be populated for Mutual Fund – News Media or Money Market Fund – News Media instruments only. In the new MFQS file format, NASDAQ OMX supports two Newspaper Category fields. The field processing by MFQS Event Code will be as follows: <table border="1" data-bbox="1360 1239 1965 1453"> <thead> <tr> <th>MFQS Event Code</th> <th>Newspaper Heading – Current</th> <th>Newspaper Heading – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted</td> <td><Blank></td> </tr> </tbody> </table>	MFQS Event Code	Newspaper Heading – Current	Newspaper Heading – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted	<Blank>						
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			UIT Replacement	<Not applicable>															
Newspaper Symbol	The set of characters that will be used to denote the fund in print Newspapers.	Newspaper Abbreviation – Current Newspaper Abbreviation – New	<p>This field will be populated for Mutual Fund – News Media or Money Market Fund – News Media instruments only.</p> <p>In the new MFQS file format, NASDAQ OMX supports two Newspaper Abbreviation fields. The field processing by MFQS Event Code will be as follows:</p> <table border="1"> <thead> <tr> <th>MFQS Event Code</th> <th>Newspaper Abbreviation – Current</th> <th>Newspaper Abbreviation – New</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td><Blank></td> <td>Reflects code for new instrument</td> </tr> <tr> <td>Deletion</td> <td>Reflects code for deleted instrument</td> <td><Blank></td> </tr> <tr> <td>MFQS Attribute Change</td> <td>Reflects current code for existing instrument</td> <td>Reflects updated code for existing instrument</td> </tr> <tr> <td>UIT Replacement</td> <td><Not applicable></td> <td><Not applicable></td> </tr> </tbody> </table>		MFQS Event Code	Newspaper Abbreviation – Current	Newspaper Abbreviation – New	Addition	<Blank>	Reflects code for new instrument	Deletion	Reflects code for deleted instrument	<Blank>	MFQS Attribute Change	Reflects current code for existing instrument	Reflects updated code for existing instrument	UIT Replacement	<Not applicable>	<Not applicable>
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File Access Options

Manual Download from website:

For the new MFQS Daily List / MFQS Registration Service, firms may manually download or query the files from the new MFQS website. The URL for the new MFQS website is: <https://www.nasdaqmfqs.com>. Please note that firms must have a valid NWSF security certificate as well as user ID and password to access the new MFQS website. Once logged into the MFQS website, firms should select the top navigation menu item "Downloads" to access the MFQS Daily List page.



Automated file retrieval:

Firms may automate the new MFQS Daily List file retrieval process by creating a web service call to pull the file from the MFQS server. NASDAQ OMX includes sample code for such a web service call within the [MFQS Daily List / MFQS Registration Service specification document](#).

