



## Nasdaq Daily List File Format and Specifications

### Introduction

This specifications document outlines the file format for the Nasdaq Equities, Dividends, Mutual Funds and Next Day X-Date Daily Lists. Please note that this specification is for both the Nasdaq Daily List and Nasdaq Daily List with CUSIP<sup>1</sup> data.

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

Typically the first Nasdaq Daily List files are posted to the site between 1-2 p.m., Eastern Time (ET) but as a reminder, updates can occur starting at approximately 7:00 a.m. and continuing until about 10:00:00 p.m. To have the most up-to-date information during the trading day, subscribers should continue to process each of the updated files for all Nasdaq Daily Lists.

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

This specification will be effective as of **October 9, 2017**. For specifications for the data product prior to the October 9<sup>th</sup> release, please [click here](#).

### Contact Information

Questions regarding the Nasdaq Daily List specifications listed in this notice should be directed to the [Nasdaq Global Information Services team](#) at +1 301 978 5307.

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

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

# Nasdaq Equities Daily List - Definitions & Data Fields

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## File Format without CUSIP Data

### **Secure FTP Directory Path/File Name**

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

IPAddress\Trader\DailyListRV\NASDAQEquities\nqrvmmddyyyy.txt

### **File Format:**

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

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

## File Format with CUSIP Data

### **Secure FTP Directory Path/File Name**

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

IPAddress\Trader\DailyList\NASDAQEquities\nqmmddyyyy.txt

### **File Format:**

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

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

## Definitions & Data Fields for Both Formats

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

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

| Data Field  | Description  | Field Size/Attribute |
|---|--|----------------------|
| CUSIP<br><b>Please note: This field will only be available within the Nasdaq Daily List with CUSIP Data file. The Nasdaq Daily List file will not contain this field.</b> | This represents the existing or new CUSIP assigned to the security.<br><br>See note above in Old CUSIP description related to CUSIP.   | Varchar (16)         |
| Mkt Category  | The Market Category and Newspaper Category of the Nasdaq Issue.<br><br>Allowed Values effective July 3, 2006: <ul style="list-style-type: none"> <li>• Q – Nasdaq Global Select Market<sup>SM</sup></li> <li>• G – Nasdaq Global Market<sup>SM</sup></li> <li>• S – Nasdaq Capital Market<sup>SM</sup></li> </ul>  | Varchar (5)          |
| Listing Center  | The exchange or stock market on which the issue has its primary listing.<br><br>Allowed Values: <ul style="list-style-type: none"> <li>• A - American Stock Exchange</li> <li>• B - Boston Stock Exchange</li> <li>• C - Cincinnati Stock Exchange</li> <li>• D - Bond Market</li> <li>• E - Amex Emerging Markets Exchange</li> <li>• M - Chicago Stock Exchange</li> <li>• N - New York Stock Exchange</li> <li>• O - Over The Counter Market</li> <li>• P - Pacific Stock Exchange</li> <li>• Q - Nasdaq Stock Market</li> <li>• U - Nasdaq Europe Exchange</li> <li>• Z - BATS BZX Exchange</li> <li>• V – Investors’ Exchange, LLC</li> </ul> | Varchar (1)          |
| First Date Traded   | For Security Additions, the date that the security began quoting on Nasdaq.  | MM/DD/YYYY           |
| Notes for each Entry  | Free form text allowing for entry of notes pertaining to the single entry. Information regarding the following fields will now be included within this field: <ul style="list-style-type: none"> <li>• Event Comment</li> <li>• Reinstatement Flag</li> <li>• Redemption Date</li> <li>• Expiration Date fields</li> </ul>   | Text (1000)          |

| Data Field  | Description   | Field Size/Attribute |
|---|---|----------------------|
| Delisting Reason  | The reason an issue is to be deleted from Nasdaq Listing. Allowed values: <ul style="list-style-type: none"> <li>Acquisition/Merger</li> <li>Added to OTCBB</li> <li>Added to other OTC</li> <li>ADR Program Termination</li> <li>Called for Redemption</li> <li>Company Choice/Corporate Reorganization Pending</li> <li>Company Choice/Regulatory Matter Pending</li> <li>Corporate Reorganization (already effective)</li> <li>Expiration</li> <li>Form 15</li> <li>Liquidation</li> <li>Listed on NYSE</li> <li>Listed on NYSE Amex</li> <li>Listed on NYSE ARCA</li> <li>Listed on CBOE</li> <li>Listed on NCM</li> <li>Listed on NGM</li> <li>Listed on NGS</li> <li>Listed on BATS</li> <li>Listed on IEXG</li> <li>Other</li> <li>Regulatory/Non-Compliance</li> <li>Removed from Listing &amp; Registration</li> </ul> | Varchar (100)        |
| Downgrade Reason  | The reason an issue is changing Market Categories. Allowable values: <ul style="list-style-type: none"> <li>Qualification Issue</li> <li>Company Request</li> </ul>   | Varchar (60)         |
| <p><b>From this point on, all data is as of the Nasdaq Daily List Date - not the Effective date.</b> For a future effective Nasdaq Daily List entry, these fields will be the CURRENT Day not the future Effective Date. For instance, for a Symbol Change due to a stock split, the following data fields will be the current information not the next day's resulting information that is based on the stock split.</p> |   |                      |
| Expiration Date   | The date that a security (preferred issue, unit, warrant for instance) is expiring.   | MM/DD/YYYY           |
| Separation Date   | The date that a unit or warrant is separating from the associated common stock.   | MM/DD/YYYY           |
| Description   | Text describing the characteristics of the Issue.   | Varchar (255)        |

| Data Field     | Description  | Field Size/Attribute |
|----------------|--|----------------------|
| Issue Type     | <p>The type of issue: common, preferred, etc.<br/> Allowed values:</p> <ul style="list-style-type: none"> <li>• A - American Depositary Shares</li> <li>• B - Bond</li> <li>• C - Common Stock</li> <li>• F - Depository Receipt</li> <li>• I - 144A</li> <li>• L - Limited Partnership</li> <li>• N - Notes</li> <li>• O - Ordinary Shares</li> <li>• P - Preferred Stock</li> <li>• Q - Other Securities</li> <li>• R - Right</li> <li>• S - Shares of Beneficial Interest</li> <li>• T - Convertible Debenture</li> <li>• U - Unit</li> <li>• V - Units/Benif Int</li> <li>• W - Warrant</li> </ul>   | Varchar (1)          |
| Issue Sub-Type | <p>Allowed Values:</p> <ul style="list-style-type: none"> <li>• A - Preferred Trust Securities</li> <li>• B - Index-Based Derivative</li> <li>• C - Common Shares</li> <li>• CB - Commodity Based Trust Shares</li> <li>• CF - Commodity Futures Trust Shares</li> <li>• CL - Commodity-Linked Securities</li> <li>• CM - Commodity Index Trust Shares</li> <li>• CT - Currency Trust Shares</li> <li>• CU - Commodity-Currency-Linked Securities</li> <li>• CW - Currency Warrants</li> <li>• D - Global Depositary Shares</li> <li>• E - ETF-Portfolio Depository Receipt</li> <li>• EG - Equity Gold Shares</li> <li>• EI - ETN-Equity Index-Linked Securities</li> <li>• EM - NextShares</li> <li>• EN – Exchange-Traded Notes</li> <li>• FI - ETN-Fixed Income-Linked Securities</li> <li>• FL - ETN-Futures-Linked Securities</li> <li>• G - Global Shares</li> <li>• H - Debt-Based Derivative</li> <li>• I - ETF-Index Fund Shares</li> <li>• IX - Index-Linked Exchangeable Notes</li> <li>• K - Callable Common Stock</li> <li>• L - Contingent Litigation Right</li> <li>• LL - Identifies securities of companies</li> </ul> | Varchar (2)          |

| Data Field            | Description   | Field Size/Attribute       |
|-----------------------|---|----------------------------|
|                       | <p>that are set up as a Limited Liability Company (LLC)</p> <ul style="list-style-type: none"> <li>• M - Equity-Based Derivative</li> <li>• MF - Managed Fund Shares</li> <li>• ML - ETN-Multi-Factor Index-Linked Securities</li> <li>• MP - Master Limited Partnership</li> <li>• MT - Managed Trust Securities</li> <li>• N - NY Registry Shares</li> <li>• O - Open Ended Mutual Fund</li> <li>• P - Privately Held Security</li> <li>• Q – Closed End Funds</li> <li>• PU - Partnership Units</li> <li>• R - Reg-S</li> <li>• RC - Commodity-Redeemable Commodity-Linked Securities</li> <li>• RF - ETN-Redeemable Futures-Linked Securities</li> <li>• RT – REIT – Real Estate Investment Trust</li> <li>• RU - Commodity-Redeemable Currency-Linked Securities</li> <li>• S - SEED</li> <li>• T - Tracking Stock</li> <li>• TC - Trust Certificates</li> <li>• TU - Trust Units</li> <li>• U - Portal</li> <li>• V - Contingent Value Right</li> <li>• W - Trust Issued Receipts</li> <li>• Z – NA – Not Applicable</li> </ul> |                            |
| When Issued Flag      | <p>Indicates if the issue is in the When Issued state. Allowed Values:</p> <ul style="list-style-type: none"> <li>• Y – Yes, When Issued</li> <li>• N – No not When-Issued.</li> </ul>  | Varchar (1)                |
| When Distributed Flag | <p>Indicates if the issue is in the When Distributed state. Allowed Values:</p> <ul style="list-style-type: none"> <li>• Y – Yes, When Distributed</li> <li>• N – No, not When-Distributed.</li> </ul>  | Varchar (1)                |
| SIC Code              | A four character numeric code providing a logical grouping of issues based on type of business.   | Varchar (4)                |
| Trade Unit Quantity   | The normal, generally accepted unit of trading for a security, also known as a "round lot". The trade unit (round lot) for common stocks is usually 100. Any purchase or sale of less than the trade unit is considered an "odd lot".   | Varchar (6)                |
| Transfer Agent        | The custodial firm responsible for administrative duties concerning the issue. A semicolon in this field will separate multiple values.   | Varchar (64) times 4 = 256 |

| Data Field           | Description   | Field Size/Attribute |
|----------------------|---|----------------------|
| TSO                  | The number of issued and outstanding shares for the specified security as used by Nasdaq in the calculation of Nasdaq index values. The number of total shares outstanding used by Nasdaq for index calculation reflects the value most recently reported for the security by the issuing corporation, via required SEC filings or other communication with Nasdaq, as adjusted for any corporate actions such as stock dividends. However, use and display of a newly reported value may be briefly delayed pending review for accuracy and/or the facilitation of the management of the indices. Also, values for certain non-U.S. securities may not include all shares globally issued and outstanding. | Varchar (18)         |
| TSO Date             | The effective date of the TSO.  | MM/DD/YYYY           |
| Insider Holdings     | The number of shares held by insiders (directors, executives, etc.) at the firm.  | Varchar (15)         |
| Float                | The number of shares available for transaction in the secondary market.   | Varchar (15)         |
| Old Financial Status | The current day's financial status indicator of a Nasdaq-listed issuer. Financial status indicator denotes if a Nasdaq issuer is delinquent in its regulatory filings, below Nasdaq continuing listing requirements, and/or bankrupt. Allowed Values: <ul style="list-style-type: none"> <li>• D-Deficient</li> <li>• E-Delinquent</li> <li>• Q-Bankrupt</li> <li>• N-Normal</li> <li>• G-Deficient and Bankrupt</li> <li>• H-Deficient and Delinquent</li> <li>• J-Delinquent and Bankrupt</li> <li>• K-Deficient, Delinquent, and Bankrupt</li> </ul>   | Text (40)            |



| Data Field               | Description  | Field Size/Attribute |
|--------------------------|--|----------------------|
| New Financial Status     | <p>The new or changed financial status indicator of a Nasdaq-listed issuer. This field will only be populated for records where the issue event field is “Financial Status Changes” Allowed Values:</p> <ul style="list-style-type: none"> <li>• D-Deficient</li> <li>• E-Delinquent</li> <li>• Q-Bankrupt</li> <li>• N-Normal</li> <li>• G-Deficient and Bankrupt</li> <li>• H-Deficient and Delinquent</li> <li>• J-Delinquent and Bankrupt</li> <li>• K-Deficient, Delinquent, and Bankrupt</li> </ul>  | Text (40)            |
| Notes for Day            | <p>Free form text allowing for the entry of notes pertaining to the entire Nasdaq Daily List for the day. This data can be potentially one row that will be a free form text field allowing for entry of notes pertaining to the Nasdaq Market.</p> <p>Please Note: In the event that there are no updates to the Nasdaq Daily List, at approximately 3:00 p.m., Eastern Time, the text file will be posted containing no data except for the field names and a Note for the Day explaining that there will be no updates for the day. Vendors should be prepared to handle a text file with only field names and a Note for the Day in the absence of any Nasdaq Daily List data.</p> | Text (1000)          |
| IPO Flag                 | <p>Indicates if the issue is conducting an Initial Public Offering (IPO). Allowed Values:</p> <ul style="list-style-type: none"> <li>• Y – Yes, the security is an IPO</li> <li>• N – No, the security is not an IPO</li> </ul> <p>This flag will be set to “Y” for those securities that are conducting an IPO, for the following events:</p> <ul style="list-style-type: none"> <li>• Security Additions</li> <li>• Anticipated Security Additions</li> </ul>  | Varchar (1)          |
| Country of Incorporation | Provides the country where the issuer of a Nasdaq-listed security was incorporated.  | Varchar (2)          |
| Leveraged ETP Flag       | <p>Indicates if the issue is a leveraged Nasdaq-listed exchange-traded fund (ETP). Allowed Values:</p> <ul style="list-style-type: none"> <li>• Y – Yes, the security is a leveraged ETP</li> <li>• N – No, the security is not a leveraged ETP</li> </ul>   | Char (1)             |

| Data Field          | Description   | Field Size/Attribute |
|---------------------|---|----------------------|
| Leveraged ETP Ratio | Indicates the ratio at which the leveraged ETP operates as compared to the underlying index.  | Varchar (5)          |
| Inverse ETP Flag    | Indicates if the issue is an inverse Nasdaq-listed exchange-traded fund (ETP). Allowed Values: <ul style="list-style-type: none"> <li>• Y – Yes, the security is an inverse ETP</li> <li>• N – No, the security is not an inverse ETP</li> </ul>  | Char (1)             |
| LULD Tier Indicator | Indicates the tier that a security will be monitored in relation to the Limit Up-Limit Down rule. <ul style="list-style-type: none"> <li>• 1 – NMS Stocks included in the S&amp;P 500 Index, the Russell 1000 Index, and the exchange-traded products (“ETP”) listed on Schedule 1 in the <a href="#">SEC approval order</a>.</li> <li>• 2 – All NMS Stocks other than those in Tier 1.</li> <li>• 0 – Not Applicable (Rights and Warrants are excluded from the plan)</li> </ul> | Char (1)             |

## Nasdaq Dividends Daily List - Definitions & Data Fields

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### File Format without CUSIP Data

#### Secure FTP Directory Path/File Name

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

IPAddress\Trader\DailyListRV\Dividends\dirvmmdyyyy

#### File Format:

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

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

### File Format with CUSIP Data

#### Secure FTP Directory Path/File Name

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

IPAddress\Trader\DailyList\Dividends\dimmdyyy

**File Format:**

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

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

**Definitions & Data Fields for Both Formats**

| Data Field      | Description   |
|-----------------|---|
| Daily List Date | The date and time the Nasdaq Daily List was distributed. All times are military time and Eastern Time (ET).   |
| Market Category | The Market Category of a security.<br><br>Allowed Values effective July 3, 2006: <ul style="list-style-type: none"><li>• B - OTCBB</li><li>• G - Nasdaq Global Market<sup>SM</sup></li><li>• P - Private Placement Securities</li></ul> |

| Data Field              | Description   |
|-------------------------|---|
|                         | <ul style="list-style-type: none"> <li>• Q - Nasdaq Global Select Market<sup>SM</sup></li> <li>• R - OTC Securities</li> <li>• S - Nasdaq Capital Market<sup>SM</sup></li> <li>• BOND - BOND</li> <li>• POR - Portal</li> </ul>   |
| Issue Symbol            | The symbol of the issue experiencing the dividend.  |
| Company Name            | The name of the issuing company for the fund.   |
| Declaration Date        | The date the dividend was declared. The date format is MM/DD/YYYY.  |
| Amount                  | <p>The amount of a dividend. The following codes are used:</p> <ul style="list-style-type: none"> <li>• apx = approximate</li> <li>• ann = annual</li> <li>• cdn = Canadian</li> <li>• ext = extra</li> <li>• fnl = final</li> <li>• inc = Increase</li> <li>• SA = semiannual</li> <li>• stk = stock div</li> <li>• spl = special</li> </ul>                     |
| Payment Freq            | <p>If available, the value indicates the payment frequency of the dividend. The allowed values will be as follows:</p> <ul style="list-style-type: none"> <li>• M – Monthly</li> <li>• O – Others</li> <li>• P – Special</li> <li>• Q – Quarterly</li> <li>• S – Semi-Annual</li> <li>• A – Annual</li> <li>• Null – Data not Available or Applicable.</li> </ul> |
| X-Date                  | The X-Date of a dividend. The X-date represents the date that the issue will be quoted without ("ex") the value of the dividend. The date format is MM/DD/YYYY.   |
| Record Date             | The record date of a dividend. The record date represents the date that all holders of record are entitled to the dividend payment. The date format is MM/DD/YYYY.  |
| Payment Date            | The payment date of a dividend. The payment date represents the date that all holders of record receive the dividend. The date format is MM/DD/YYYY.  |
| NOTES for Each Dividend | <p>Free form text allowing for entry of notes pertaining to the single entry. This field contains relevant information regarding the dividend and/or comments pertaining to the following:</p> <ul style="list-style-type: none"> <li>• Declaration Date</li> <li>• Amount</li> <li>• X-Date</li> <li>• Record Date</li> <li>• Payment Date</li> </ul>            |
| Dividend Type Id        | <p>This field will contain an indicator to depict the type of Corporate Action occurring to the Issue. The allowed values are as follows:</p> <ul style="list-style-type: none"> <li>• XC - Cash Dividend</li> </ul>  |

| Data Field   | Description   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• CS - Cash and Stock Dividend or Split</li> <li>• XR - Ex-Rights</li> <li>• XW - Ex-Warrants</li> <li>• RS - Reverse Split</li> <li>• SO - Spin Off</li> <li>• CP - Stock Div. payable in another Company</li> <li>• XS - Stock Dividend or Split</li> <li>• XX - Other</li> </ul>  |
| Stock Amount   | <p>When applicable, a numeric factor relating the ratio of the stock dividend. For Example:</p> <ul style="list-style-type: none"> <li>• The factor for a 2/1 stock split would be 2</li> <li>• The factor for a 2/1 reverse split would be .5</li> <li>• The factor for a 3/2 stock split would be 1.5</li> <li>• The factor for a stock dividend of 10% would be 1.10.</li> </ul> <p>The factors reflect the amount that Nasdaq adjusted the stock price by on the X-Date. In cases where the Factor values differ from the Amount values, the factor will always take precedence. This occurs frequently with ADS and ADR issues types; where Nasdaq is occasionally obligated to adjust on X-Date based on an approximate value. Other cases can result from truncation or rounding, but the factor will always reflect the field the stock price is adjusted by. Also, please note that entries without an X-Date do not get adjusted, even though a factor may be provided.</p> |
| Cash Amount  | <p>When applicable, this field will contain a numeric factor relating the ratio of the cash dividend. For example, the factor for an 8-cent dividend would be .08.</p> <p>Please note:<br/>In instances where a Nasdaq-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the GROSS amount.</p>   |
| <p>CUSIP</p> <p><b>Please note: This field will only be available within the Daily List with CUSIP Data file. The Daily List file will not contain this field.</b></p> | <p>Represents the CUSIP effective on the date the Nasdaq Dividend Daily List is published.</p> <p>CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard &amp; Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard &amp; Poor's. Since Nasdaq neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: Nasdaq is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.</p>   |

| Data Field                   | Description  |
|------------------------------|--|
| QualDiv                      | <p>Indicator used to reflect information provided by an Issuer about the dividend with regard to the taxation of the dividend under the provisions of The Jobs and Growth Tax Relief Reconciliation Act of 2003 (the "2003 Act"). This dividend status may reduce the tax on dividends, subject to all other eligibility requirements contained in the 2003 Act. Allowed Values:</p> <ul style="list-style-type: none"> <li>• Y = Issuer has affirmed that dividend is Qualified under the 2003 Act.</li> <li>• N = Issuer has affirmed that dividend is Not Qualified under the 2003 Act.</li> <li>• U = Issuer has made no affirmation regarding the Qualified vs. Non-Qualified status of the dividend.</li> <li>• NULL = Data not Available</li> </ul> |
| Notes for Day                | <p>Free form text allowing for the entry of notes pertaining to the entire Nasdaq Daily List for the day. This data can be potentially one row that will be a free form text field allowing for entry of notes pertaining to the Nasdaq Market.</p> <p>Please Note: In the event that there are no updates to the Nasdaq Daily List, at approximately 3:00 p.m., Eastern Time, the text file will be posted containing no data except for the field names and a Note for the Day explaining that there will be no updates for the day. Vendors should be prepared to handle a text file with only field names and a Note for the Day in the absence of any Nasdaq Daily List data.</p>   |
| Rights Basis Notes           | <p>Free form text allowing for the entry of the proportionate number of shares of an issue which the owner can purchase at the exercise price for each right owned.</p>  |
| Rights Exercise Price Amount | <p>The exercise price of the rights.</p>   |
| Rights Expiration Date       | <p>The date on which the rights associated with the dividend expire.</p>   |
| Net Amount                   | <p>In instances where a Nasdaq-listed issue has declared a dividend that is subject to certain taxes and fees and there is a GROSS amount and a NET amount, this field will represent the Net amount.</p> <p>If there is only a GROSS amount, this field will be blank.</p>  |

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

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### File Format without CUSIP data

#### Secure FTP Directory Path/File Name

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

IPAddress\Trader\DailyListRV\NextDayXDate\sec46\_rvmmdyyyy

#### File Format:

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

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

### File Format with CUSIP data

#### Secure FTP Directory Path/File Name

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

IPAddress\Trader\DailyList\NextDayXDate\sec46\_mmddyyyy

#### File Format:

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

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

### Definitions & Data Fields for Both Formats

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

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



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

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

## Enhanced Nasdaq Symbol Directory - Definitions & Data Fields

### File Format without CUSIP data

#### File Format:

Symbol | Security Name | Market Category | Test Issue | Financial Status | Round Lot Size | Dual-Listed Flag | Country of Incorporation | Leveraged ETP Flag | Leveraged EPF Ratio | Inverse ETP Flag | LULD Tier Indicator

### File Format with CUSIP data

#### File Format:

Symbol | Security Name | Market Category | Test Issue | Financial Status | Round Lot Size | CUSIP | Country of Incorporation | Leveraged ETP Flag | Leveraged ETP Ratio | Inverse ETP Flag | LULD Tier Indicator

### Definitions & Data Fields for Both Formats

| Data Field       | Description   |
|------------------|---|
| Symbol           | The one to four or five character identifier for each Nasdaq-listed security.   |
| Security Name    | Company issuing the security.   |
| Market Category  | The category assigned to the issue by Nasdaq based on Listing Requirements. Values: <ul style="list-style-type: none"> <li>• Q = Nasdaq Global Select Market<sup>SM</sup></li> <li>• G = Nasdaq Global Market<sup>SM</sup></li> <li>• S = Nasdaq Capital Market</li> </ul>  |
| Test Issue       | Indicates whether or not the security is a test security. Allowed Values: <ul style="list-style-type: none"> <li>• Y = yes, it is a test issue</li> <li>• N = no, it is <b>not</b> a test issue.</li> </ul>   |
| Financial Status | Indicates when an issuer has failed to submit its regulatory filings on a timely basis, has failed to meet Nasdaq's continuing listing standards, and/or has filed for bankruptcy. Values include: <ul style="list-style-type: none"> <li>• D = Deficient: Issuer Failed to Meet Nasdaq Continued Listing Requirements</li> <li>• E = Delinquent: Issuer Missed Regulatory Filing Deadline</li> <li>• Q = Bankrupt: Issuer Has Filed for Bankruptcy</li> <li>• N = Normal (Default): Issuer Is NOT Deficient, Delinquent, or Bankrupt.</li> <li>• G = Deficient and Bankrupt</li> <li>• H = Deficient and Delinquent</li> <li>• J = Delinquent and Bankrupt</li> <li>• K = Deficient, Delinquent, and Bankrupt</li> </ul> |

| Data Field  | Description   |
|---|---|
| Round Lot   | Indicates the number of shares that make up a round lot for the given security.   |
| CUSIP<br><b>Please note: This field will only be available within the Nasdaq Daily List with CUSIP Data file. The Nasdaq Daily List file will not contain this field.</b> | This represents the existing CUSIP assigned to the security.  |
| Country of Incorporation  | Provides the country where the issuer of a Nasdaq-listed security was incorporated.   |
| Leveraged ETP Flag  | Indicates if the issue is a leveraged Nasdaq-listed exchange-traded fund (ETP). Allowed Values: <ul style="list-style-type: none"> <li>• Y – Yes, the security is a leveraged ETP</li> <li>• N – No, the security is not a leveraged ETP</li> </ul>   |
| Leveraged ETP Ratio   | Indicates the ratio at which the leveraged ETP operates as compared to the underlying index.  |
| Inverse ETP Flag  | Indicates if the issue is an inverse Nasdaq-listed exchange-traded fund (ETP). Allowed Values: <ul style="list-style-type: none"> <li>• Y – Yes, the security is an inverse ETP</li> <li>• N – No, the security is not an inverse ETP</li> </ul>  |
| LULD Tier Indicator   | Indicates the tier that a security will be monitored in relation to the Limit Up-Limit Down rule. <ul style="list-style-type: none"> <li>• 1 – NMS Stocks included in the S&amp;P 500 Index, the Russell 1000 Index, and the exchange-traded products (“ETP”) listed on Schedule 1 in the <a href="#">SEC approval order</a>.</li> <li>• 2 – All NMS Stocks other than those in Tier 1.</li> <li>• 0 – Not Applicable (Rights and Warrants are excluded from the plan)</li> </ul> |
| File Creation Time:   | The last row of each Symbol Directory text file contains a timestamp that reports the File Creation Time. The file creation time is based on when Nasdaq Trader generates the file and can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: 1217200717:03                                  |

## Dual-Listed Securities File - Definitions & Data Fields

### File Format without CUSIP data

ACT Symbol | Security Name | Exchange | CQS Symbol | ETF | Round Lot Size | Test Issue | Nasdaq Symbol | Dual Listed | CUSIP

### File Format without CUSIP data

#### File Format:

ACT Symbol | Security Name | Exchange | CQS Symbol | ETF | Round Lot Size | Test Issue | Nasdaq Symbol | Dual Listed

### Definitions & Data Fields for Both Formats

| Data Field    | Description   |
|---------------|---|
| ACT Symbol    | <p>Identifier for each security used in <a href="#">ACT</a> and <a href="#">CTCI connectivity protocol</a>. Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters.</p> <p>More information regarding the symbology convention can be found on this <a href="#">website</a>.</p>  |
| Security Name | <p>The name of the security including additional information, if applicable. Examples are security type (common stock, preferred stock, etc.) or class (class A or B, etc.). Allow up to 255 characters.</p>  |
| Exchange      | <p>The listing stock exchange or market of a security.</p> <p>Allowed values are:</p> <ul style="list-style-type: none"> <li>• A = NYSE MKT</li> <li>• N = New York Stock Exchange (NYSE)</li> <li>• P = NYSE ARCA</li> <li>• Z = BATS Global Markets (BATS)</li> <li>• V = Investors' Exchange, LLC (IEXG)</li> </ul>  |
| CQS Symbol    | <p>Identifier of the security used to disseminate data via the SIAC Consolidated Quotation System (CQS) and Consolidated Tape System (CTS) data feeds. Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters.</p> <p>More information regarding the symbology convention can be found on this <a href="#">website</a>.</p> |
| ETF           | <p>Identifies whether the security is an exchange traded fund (ETF). Possible values:</p> <ul style="list-style-type: none"> <li>• Y = Yes, security is an ETF</li> <li>• N = No, security is not an ETF</li> </ul>   |

| Data Field   | Description   |
|--|---|
|  | For new ETFs added to the file, the ETF field for the record will be updated to a value of "Y".   |
| Round Lot Size   | Indicates the number of shares that make up a round lot for the given security. Allow up to 6 digits.   |
| Test Issue   | <p>Indicates whether the security is a test security.</p> <ul style="list-style-type: none"> <li>• Y = Yes, it is a test issue.</li> <li>• N = No, it is <b>not</b> a test issue.</li> </ul>  |
| Nasdaq Symbol  | <p>Identifier of the security used in various Nasdaq connectivity protocols and Nasdaq market data feeds. Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters.</p> <p>More information regarding the symbology convention can be found on this <a href="#">website</a></p>   |
| Dual-Listed Flag   | <p>Indicates that the security is primarily listed on another U.S. exchange and dually-listed on Nasdaq.</p> <ul style="list-style-type: none"> <li>• Y = Yes, this is a dual-listed security.</li> </ul>   |
| <p>CUSIP</p> <p><b>Please note: This field will only be available within the Daily List with CUSIP Data file. The Daily List file will not contain this field.</b></p> | <p>Represents the CUSIP effective on the date the Nasdaq Dividend Daily List is published.</p> <p>CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard &amp; Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard &amp; Poor's. Since Nasdaq neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: Nasdaq is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.</p> |
| File Creation Time:  | <p>The last row of each Symbol Directory text file contains a timestamp that reports the File Creation Time. The file creation time is based on when Nasdaq Trader generates the file and can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: File Creation Time: 1026201217:03     </p>  |

# Mutual Funds Daily List - Definitions & Data Fields

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

**Please note: Effective October 17, 2011**, Nasdaq ceased to populate the legacy MFQS Daily List on the Nasdaq Trader website. Nasdaq Daily List subscribers will continue to have access to historical MFQS corporate action data via the Nasdaq Trader website until further notice. Nasdaq introduced the MFQS Daily List / MFQS Registration Service. The new MFQS Daily List is delivered via the secured web service call as well as MFQS website.

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

### **Secure FTP Directory Path/File Name**

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

IPAddress\Trader\DailyListRV\MutualFunds\mfrvmmdyyyy

### **File Format:**

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

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

### **Secure FTP Directory Path/File Name**

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

IPAddress\Trader\DailyList\MutualFunds\mfmmdyyyy

### **File Format:**

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

## Definitions & Data Fields for Both Formats

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

| Data Field    | Description   |
|---------------|---|
| Effective Day | The date that the event is effective.   |
| Fund Event    | <p>The category of the change to the affected security.</p> <p>Allowed Values:</p> <ul style="list-style-type: none"> <li>• Additions</li> <li>• Corrections - Additions/Deletions</li> <li>• Corrections - Name/Symbol Changes</li> <li>• Corrections - Newspaper Changes</li> <li>• Corrections - Transfers</li> <li>• Corrections - UIT Replacements</li> <li>• Deletions</li> <li>• Name/Symbol Change</li> <li>• Newspaper Change</li> <li>• Fund Family Change</li> <li>• Transfers</li> <li>• UIT Replacement</li> </ul> |
| Fund Type     | <p>The type of fund that is affected.</p> <p>Allowed Values:</p> <ul style="list-style-type: none"> <li>• Mutual Funds</li> <li>• Mutual Funds Supplemental List</li> <li>• Money Market</li> <li>• Money Market Supplemental List</li> <li>• UIT Supplemental List</li> <li>• UIT News Media List</li> <li>• Structured Products</li> <li>• Annuities</li> </ul>   |



| Data Field             | Description  |
|------------------------|--|
| Fund Code              | <p>Depicts if the subcategory of security.</p> <p>Allowed Values:</p> <p>For Mutual Funds:</p> <ul style="list-style-type: none"> <li>• Open End</li> <li>• Closed End</li> </ul> <p>For Unit Investment Trusts:</p> <ul style="list-style-type: none"> <li>• Equity</li> <li>• Fixed Income</li> </ul> <p>For Money Market Funds:</p> <ul style="list-style-type: none"> <li>• General Purpose</li> <li>• Government Securities</li> <li>• Tax Exempt Securities</li> </ul> <p>For Structured Products:</p> <ul style="list-style-type: none"> <li>• Access Transactions</li> <li>• Tax Driven Structure</li> <li>• Buffered Note</li> <li>• Principal Protected Note</li> <li>• Levered Note</li> <li>• Enhanced Income Note</li> </ul> <p>For Annuities:</p> <ul style="list-style-type: none"> <li>• Equity Indexed</li> <li>• Variable</li> </ul> |
| Fund Symbol            | The symbol of the fund that is being affected.   |
| Company Name           | The name of the issuing company for the fund.  |
| Exchange Traded Symbol | The symbol that a closed end fund trades under on the listed exchange (See next field).  |
| Exchange               | <p>The exchange that a closed end fund trades on.</p> <ul style="list-style-type: none"> <li>• American Stock Exchange</li> <li>• New York Stock Exchange</li> <li>• Nasdaq</li> <li>• US Regional Stock Exchange</li> <li>• Other Listed Market</li> <li>• Does not trade on an exchange</li> </ul>   |
| New Symbol             | The new symbol of the fund experiencing a symbol change.   |
| New Company Name       | The new name of the fund experiencing a name change.   |

| Data Field            | Description   |
|-----------------------|---|
| CUSIP                 | The CUSIP number of the Fund undergoing the Name/Symbol Change Only. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Both files will contain CUSIP data, however; the restricted file will only contain CUSIP data for name and symbol entries.   |
| Notes for each Entry  | Free form text allowing for entry of notes pertaining to the single entry.  |
| Notes for Day         | Free form text allowing for entry of notes pertaining to the overall list or entries on a previous day's list.  |
| Pricing Agent         | The firm responsible for the pricing of the fund.   |
| Dep Date              | Date the Unit Investment Trust terminates. The date format is MM/DD/YYYY.   |
| Term Date             | Date the Unit Investment Trust is deposited. The date format is MM/DD/YYYY.   |
| Dist Frequency        | The distribution frequency for the Unit Investment Trust.<br><br>Allowed Values: <ul style="list-style-type: none"> <li>• M-Monthly</li> <li>• Q-Quarterly</li> <li>• S-Semi-annually</li> <li>• A-Annually</li> <li>• O-Other</li> </ul>   |
| Dist Type             | The type of distribution the Unit Investment Trust makes.<br><br>Allowed Values: <ul style="list-style-type: none"> <li>• C - Cash</li> <li>• R - Reinvest</li> <li>• W - Wrap</li> <li>• A - Wrap Cash</li> <li>• P - Wrap Reinvest</li> </ul>   |
| Corporate Action 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.<br><br>The corresponding event and the meaning of the Corporate Action date field are: <ul style="list-style-type: none"> <li>• Addition: the inception date of the fund;</li> <li>• Deletion: date the fund was terminated, liquidated or merged;</li> <li>• Name/Symbol Change: the date the fund name change actually took place.</li> </ul> |
| Fund Family           | The name of the group or fund complex to which a particular fund belongs. For example, the Spartan 500 Index Fund belongs to the Fidelity Investments fund family. For unit investment trusts (UITs) the field will contain the name of the Sponsor firm.   |
| Newspaper Heading     | The title under which the fund will appear in print newspapers.   |
| Newspaper Symbol      | The set of characters that will be used to denote the fund in print Newspapers.   |

## Document Revision Log

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### September 21, 2022

Time at which Daily List can update was changed from 6:35:00 PM EST to 10:00:00 PM EST

### August 22, 2022

LULD Tier Indicator Fields updated to include the value "0".

### November 21, 2017

Nasdaq updated the document to reflect additions to the following allowable values:

- Payment Freq
  - Q - Quarterly
  - O - Others
  - P - Special
- Issue Sub-Type
  - Z – NA, Not Applicable
  - Q - Closed End Funds
  - RT – REIT, Real Estate Investment Trust
  - EM - NextShares

### September 12, 2017

Nasdaq updated the document to reflect changes to the following allowable values:

- Listing Center:
  - V – Investors' Exchange, LLC
- Delisting Reason:
  - Added Listed on IEXG

### October 31, 2012

- Nasdaq added several new fields to the Nasdaq Equity file formats (with and without CUSIP).
  - Country of Incorporation
  - Leveraged ETP Flag
  - Leveraged ETP Ratio
  - Inverse ETP Flag
  - LULD Tier Indicator
- Added details for the enhanced version of the [Nasdaq Symbol Directory](#).
- Added file format for the Dual-Listed Security file.
- Removed the 'Index' field from the following file formats. Please refer to [Global Index Watch \(GIW\)](#) as Nasdaq's complete source for index-related information.
  - Nasdaq Equities Daily List
  - Nasdaq Dividends Daily List
  - Next Day X-Dates Daily List

### May 30, 2012

Nasdaq added one new field to the Nasdaq Equity file formats (with and without CUSIP) — Issue Sub-Type.

### November 1, 2011

Nasdaq updated the document to reflect changes to the following allowable values:

- Listing Center:

Nasdaq - Internal Use; Distribution limited to Nasdaq personnel and authorized third parties subject to confidentiality obligations

- Delisting Reason:
  - Added Listed on Amex with Listed on BATS

### **August 30, 2011**

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

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

### **July 30, 2010**

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

### **March 26, 2010**

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

### **October 20, 2009**

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

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

### **August 25, 2009**

Nasdaq updated the document to reflect changes to the following allowable values:

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

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

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

- Nasdaq Equities Daily List with CUSIP: Added Old CUSIP
- Nasdaq Dividends and Next Day Ex-Date:
  - Rights Basis Notes
  - Rights Exercise Price Amount
  - Rights Expiration Date