

# Nasdaq Fund Network (NFN) Web Service Reports

Updated: July 26, 2024

## Table of Contents

Nasdaq Fund Network (NFN) Web Service Reports .....	1
Overview .....	3
Web Service Reports .....	3
Secured Website Access.....	3
Architecture .....	4
General Information .....	4
Sample code calls .....	5
End Point: RefreshKey .....	7
Sample code calls .....	9
End Point: RefreshKey .....	10
Hours of Operation .....	12
Release Notes .....	12
Upcoming Changes.....	12
Past Changes .....	12
NFN Daily List(s).....	12
Web Service Parameters.....	12
NFN Daily List File Format .....	13
Security Level Details .....	13
Closing Record ( <i>REMOVED as of 10/21/2024</i> ).....	52
Event Code Descriptions .....	52
Daily List Processing Summary .....	55
NFN Daily List Posting Time.....	58
NFN Directory .....	59
Web Service Parameters .....	59
Directory File Format .....	59
Documentation Posting Service.....	67
Web Service Parameters.....	67
Documentation Posting Service File Format .....	67
Security Level Details .....	67

## NFN Daily List

NFN Product Directory .....	70
Web Service Parameters .....	70
Product Directory Dynamic File Format .....	79
Issuer Directory .....	83
Web Service Parameters .....	83
Issuer Directory File Format .....	83
Valuation Report Web Service Calls .....	84
Web Service Parameters .....	84
Today's Price History Report .....	84
Web Service Parameters .....	84
Ex Date Report.....	85
Web Service Parameters .....	85
Ex-Date Report File Format .....	85
NFN Ex-Date Report Timing .....	91
Appendix A –Documentation Version Control Log .....	92
Ex Date file format changes: .....	95

## Overview

### Web Service Reports

The NFN Daily List is a web-based data product offered by Nasdaq Information, LLC. The NFN Daily List is designed to provide the market data community with issue level security details for NFN instruments. This Nasdaq product includes NFN-related reports:

1. **NFN Daily List:** This component provides advance notification of NFN registration actions such as new instruments, deleted instruments and instrument attribute changes. For the Daily List component, Nasdaq will generate two daily files:
  - a. **Daily List – Advance Notifications:** This file will include all NFN registration actions that were approved by NFN Operations on the current business date for a future System effective date.
  - b. **Daily List – Next Business Day Changes:** This file provides only those NFN registration actions scheduled to take effect on the next business date.
2. **Instrument Directory:** This component file provides security level information for all active instruments in the NFN system at the beginning of the current business day.
3. **Product Directory:** This component provides fund level information for instruments as provided by NFN Issuers. This directory updates every day at the beginning of the current business day.
4. **Issuer Directory:** This component provides a list of all active NFN issuers and the applicable issuer data such as Issuer Description, Assets Under Management, Investor Relations contact information, etc. This directory updates in real time.
5. **Documentation Posting Service:** Nasdaq allows NFN 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 NFN documents available for download.
6. **Ex Date Report:** Nasdaq allows NFN pricing agents to enter advance notifications of Dividend/Interest and Capital Distribution actions. To ensure that the market data community can access these corporate actions on the appropriate ex-date, Nasdaq plans to add an Ex-Date report to the NFN web product.

Please note that the NFN Daily List includes CUSIP numbers. Firms must have an agreement in place with the CUSIP Bureau and appropriate NFN entitlement token in order to see the CUSIP values within the NFN files.

### Secured Website Access

Nasdaq offers NFN website access to NFN Daily List subscribers. Through the NFN website, firms may download all the reports listed above. In addition, Nasdaq will offer the following functionality via the NFN website:

- Search capabilities for the Instrument Directory and Daily List products.
- Ability to view intra-day NFN reporting statistics.
- Ability to download monthly NFN reports such as Instrument counts by pricing agent, Instrument counts by issuer, Updates by instrument type and Updates by time interval.

Firms should be able to log into the NFN website at <https://nfn.nasdaq.com> to take advantage of the new functionality. For details on the NFN website functionality, please reach out to [NFNOps@nasdaq.com](mailto:NFNops@nasdaq.com).

## Architecture

### General Information

As of **November 22, 2021**, Nasdaq will allow NFN – Nasdaq Fund Network users to use JWT bearer token to call valuation reports.

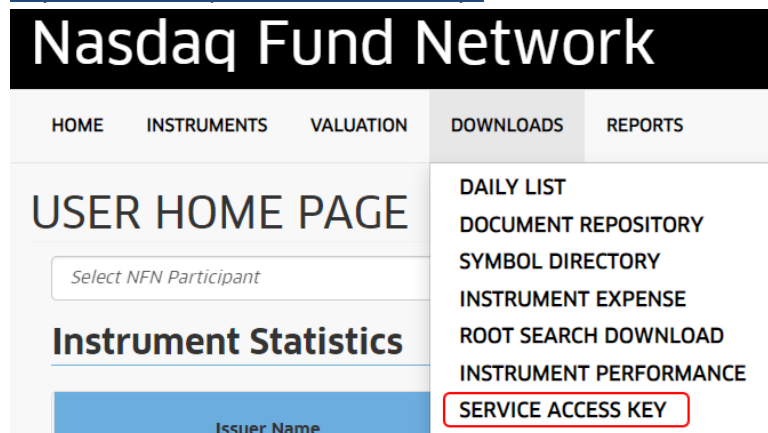
In addition, NFN adopted MFA – Multi-Factor Authentication to access the NFN Web Service. NFN Data Service Valuation Report users no longer require valid security certificate. Please contact [Nasdaq Trading Services](#) at +1 212 231 5180 if you need assistance enrolling into MFA or password reset.

Please visit <https://nfn.nasdaq.com> and follow instruction to enroll in MFA logon.

### Follow these steps to generate JWT bearer token:

First, users need to generate permanent access key which will be used to generate temporary JWT bearer token later. This access key will expire after one year.

- Login to NFN Web Service and navigate to Download → Service Access Key page  
<https://nfn.nasdaq.com/ServiceAccess.aspx>



- Click Generate Service Access Key button as shown in the following screenshot
- System will generate a Current Active Key as shown below
- Copy the Current Active Key

### SERVICE ACCESS KEY

Select NFN Participant ▼

User Name \_\_\_\_\_

Current Active Key neJ8c\_\_\_\_\_

Expiration Date 11/9/2022

By pressing this button you will invalidate current Access Key.

By pressing this button you will delete Access Key for selected user.

Generate Service Access Key

Delete Access Key

Second, to generate temporary JWT token:

- End point URL: <https://nfn.nasdaq.com/servicecall/tempsession>
- Http method: POST
- Content-Type should be "application/x-www-form-urlencoded"
- Form field: username, password, accesskey
- Enter username, password and paste the accesskey copied from the NFN Web Service in step one.
- Expected output: JSON {"data": "[JWT value]"} }
- Sample output  
{"data": "eyJhbGciOiJIodHRwOi8vd3d3LnczLm9yZy8yMDAxLzA0L3htbGRzaWctbW9yZSNoWFJLXNoYTI1NiIsInR5cCI6IkpXVCJ9.eyJsb2FkljojZTI2SjVidHNMNIBxbC9veGMvaHp6WDhCMWVNVm8ydGRaVFA5YkNlc1NRS0pFbnpyWExJanVBK282RE9XR085ciJ9.L9ZjysPJgB9tiYtuDAcUdFTSxPIITpUTMnc\_QBovH-M"} }
- Temporary token will expire in 30 minutes of inactivity

The NFN Registration Service data files will be accessible to subscribers via Secured Web Service. In order to access the files, NFN Daily List subscribers must have a valid access key, user ID and password from Nasdaq.

Nasdaq strongly recommends that firms create web service calls to retrieve the NFN Daily List and NFN Instrument Directory files.

Nasdaq has modified the authentication process for fetching files from the NFN Secure Web Service.

All programmatically generated calls should contain client access key issued by Nasdaq

For security reasons, Nasdaq recommends that firms access the NFN web services via "POST" (user credentials passed via form post) method. The following is an example call that can be used to retrieve files:

#### Sample code calls

The following is an example call that can be used to retrieve files:

#### Sample code call in Powershell:

Add-Type -AssemblyName System.Web

##### Step One Establish Temp Session and retrieve JWT#####

\$username = "\*\*\*\*\*"

\$password = "\*\*\*\*\*"

\$accesskey = "\*\*\*\*\*"

\$url="https://nfn.nasdaq.com/servicecall/tempsession"

\$body = @{} }

```
$body.add("username",$username)
$body.add("password",$password)
$body.add("accesskey",$accesskey)
```

## It is assumed that correct credentials used no error checking is provided

```
$response = (Invoke-WebRequest -Uri $url -ContentType "application/x-www-form-urlencoded" -Body $body -
Method POST -UseBasicParsing).Content | ConvertFrom-Json
$jwt = $response.data
```

##Write-Output \$jwt

##### Step Two configure and make call to the service #####

##### In this case we are using valuation service and write output in temp file #####

```
$dict=@{}
$dict.add("Content-Type", "application/json")
$dict.add("Authorization", [string]::Format("Bearer {0}", $jwt))
```

```
curl -Headers $dict "https://nfn.nasdaq.com/servicecall/InstrumentDirectory.ashx?Date=11-29-2010&Type=pipe "
-o "c:\temp\temp.txt"
```

### Sample code call in Python

## Imports

```
import requests
```

```
import json
```

## Put Login Details

```
username='*****'
```

```
password='*****'
```

```
accesskey='*****'
```

# Authenticate

```
url_new = "https://nfn.nasdaq.com/servicecall/tempsession"
```

```
payload = {'username': username, 'password': password, 'accesskey': accesskey}
```

```
headers = {'Content-Type': 'application/x-www-form-urlencoded'}
```

```
response = requests.post(url_new, data=payload, headers=headers)
```

#extract JWT

```
data = json.loads(response.text)
```

```
jwt_token=data['data']
```

```
url='https://nfn.nasdaq.com/servicecall/DLNextDay.ashx?type=CSV'
```

```
headers = {'Content-Type': 'application/json', 'Authorization': 'Bearer ' + jwt_token}
```

```
response = requests.request('GET', url, headers=headers)
```

```
## Work with response  
print(response.text)
```

In the sample code above, clients need to make the necessary adjustments in the highlighted text. For example, client should replace username and password with their unique assigned logon credentials from Nasdaq. Clients also need to present an Access key. Clients should replace the code report parameters as needed.

#### End Point: RefreshKey

- NFN has added an endpoint for Users to refresh their Service Access Key via POST.
- To Create initial Access key user still needs install TOTP app on the phone and generate Access key using same process they are using now.
- New end point is: <https://nfn.nasdaq.com/servicecall/refreshkey>.
- In order to use endpoint above, the user must establish session by Posting username, password, VALID not Expired Access Key (<https://nfn.nasdaq.com//servicecall/tempsession>)

No parameters post to <https://nfn.nasdaq.com/servicecall/refreshkey> should be done. Post should have Authorization header with Valid not Expired bearer JWT token generated in temp session call. In response user will receive following data:

```
{  
  "Key": "1IOX0Uvrhx0l8iHbv0k79N3clmV3b0RdUdmP1Adt5DLRqW8kv6tTgi9PPAHvRR3Wg7STtG7/Ohnu+zXJ0wC  
GbQ==",  
  "Expired": "2024-02-01T15:04:09.5092681-05:00"  
}
```

#### **IMPORTANT NOTES:**

- This will need to be done by the user **PRIOR** to the current Access Key expiring. If the current key has expired the user will have to log in to <https://nfn.nasdaq.com> using MFA and regenerate the Access Key manually.
- Once refreshed, the previous Access Key will be invalidated. If the user did not save new Access Key, the user will have to login to <https://nfn.nasdaq.com> using MFA and retrieve/regenerate the Access Key manually.
- Once the new Access Key is generated, the temporary session used to do so will be terminated. The user will need to re-establish new session using new Access key.

#### **New process as of October 21, 2024**

Please visit <https://newnfn.nasdaq.com> and follow instruction to enroll in MFA logon.



User ID

Password

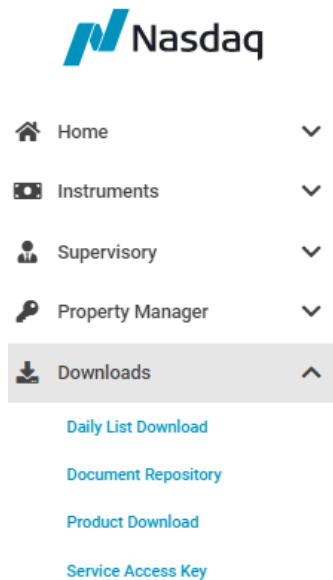
MFA Code

LOGIN

**Follow these steps to generate JWT bearer token:**

First, users need to generate permanent access key which will be used to generate temporary JWT bearer token later. This access key will expire after one year.

- Login to NFN Web Service and navigate to Download → Service Access Key page  
<https://newnfn.nasdaq.com/ServiceAccess.aspx>



- Click Generate Service Access Key button as shown in the following screenshot
- System will generate a Current Active Key as shown below
- Copy the Current Active Key



Second, to generate temporary JWT token:

- End point URL: <https://newnfn.nasdaq.com/servicecall/tempsession>
- Http method: POST



- Content-Type should be "application/x-www-form-urlencoded"
- Form field: username, password, accesskey
- Enter username, password and paste the accesskey copied from the NFN Web Service in step one.
- Expected output: JSON {"data": "[JWT value]"}
  - Sample output  
{"data": "eyJhbGciOiJodHRwOi8vd3d3LnczLm9yZy8yMDAxLzA0L3htbGRzaWctbW9yZSNoZWJlXNoYTI1NiIsInR5cCI6IkpXVCJ9.eyJsb2FkljoiZTI2SIVldHNMNlBxbC9veGMvaHp6WDhCMWVNVm8ydGRaVFA5YkNlc1NRS0pFbnpyWExJanVBK282RE9XR085ciJ9.L9ZjysPJgB9tiYtuDAcUdFTSxPIITpUTMnc\_QBovH-M"}
    - Temporary token will expire in 30 minutes of inactivity

The NFN Registration Service data files will be accessible to subscribers via Secured Web Service. In order to access the files, NFN Daily List subscribers must have a valid access key, user ID and password from Nasdaq.

Nasdaq strongly recommends that firms create web service calls to retrieve the NFN Daily List and NFN Instrument Directory files.

Nasdaq has modified the authentication process for fetching files from the NFN Secure Web Service.

All programmatically generated calls should contain client access key issued by Nasdaq

For security reasons, Nasdaq recommends that firms access the NFN web services via "POST" (user credentials passed via form post) method. The following is an example call that can be used to retrieve files:

### Sample code calls

The following is an example call that can be used to retrieve files:

#### Sample code call in Powershell:

```
Add-Type -AssemblyName System.Web
##### Step One Establish Temp Session and retrieve JWT#####
$username = "*****"
$password = "*****"
$accesskey = "*****"
$url="https://newnfn.nasdaq.com/servicecall/tempsession"
$body = @{}
$body.add("username",$username)
$body.add("password",$password)
$body.add("accesskey",$accesskey)

## It is assumed that correct credentials used no error checking is provided

$response = (Invoke-WebRequest -Uri $url -ContentType "application/x-www-form-urlencoded" -Body $body -
Method POST -UseBasicParsing).Content | ConvertFrom-Json
$jwt = $response.data

##Write-Output $jwt

##### Step Two configure and make call to the service #####
##### In this case we are using valuation service and write output in temp file #####

$dict=@{}
```

```
$dict.add("Content-Type", "application/json")
$dict.add("Authorization", [string]::Format("Bearer {0}", $jwt))

curl -Headers $dict "https://newnfn.nasdaq.com/servicecall/InstrumentDirectory.ashx?Date=11-29-2010" -o
"c:\temp\temp.txt"
```

### Sample code call in Python

```
## Imports
import requests
import json

## Put Login Details
username=*****
password=*****
accesskey=*****

# Authenticate
url_new = "https://newnfn.nasdaq.com/servicecall/tempsession"

payload = {'username': username, 'password': password, 'accesskey': accesskey}
headers = {'Content-Type': 'application/x-www-form-urlencoded'}
response = requests.post(url_new, data=payload, headers=headers)

#extract JWT
data = json.loads(response.text)
jwt_token=data['data']

url='https://newnfn.nasdaq.com/servicecall/DLNextDay.ashx'
headers = {'Content-Type': 'application/json', 'Authorization': 'Bearer ' + jwt_token}
response = requests.request('GET', url, headers=headers)

## Work with response
print(response.text)
```

In the sample code above, clients need to make the necessary adjustments in the highlighted text. For example, client should replace username and password with their unique assigned logon credentials from Nasdaq. Clients also need to present an Access key. Clients should replace the code report parameters as needed.

### End Point: RefreshKey

- NFN has added an endpoint for Users to refresh their Service Access Key via POST.
- To Create initial Access key user still needs install TOTP app on the phone and generate Access key using same process they are using now.
- New end point is: <https://newnfn.nasdaq.com/servicecall/refreshkey>.
- In order to use endpoint above, the user must establish session by Posting username, password, VALID not Expired Access Key (<https://newnfn.nasdaq.com//servicecall/tempsession>)
- No parameters post to <https://newnfn.nasdaq.com/servicecall/refreshkey> should be done. Post should have Authorization header with Valid not Expired bearer JWT token generated in temp session call.

In response user will receive following data:

```
{
```

```
"Key": "1lOX0Uvrhx0l8iHbv0k79N3clmV3b0RdUdmP1Adt5DLRqW8kv6tTgi9PPAHvRR3Wg7STtG7/Ohnu+zXJ0wC  
GbQ==",  
"Expired": "2024-02-01T15:04:09.5092681-05:00"  
}
```

**IMPORTANT NOTES:**

- This will need to be done by the user **PRIOR** to the current Access Key expiring. If the current key has expired the user will have to log in to <https://newnfn.nasdaq.com> using MFA and regenerate the Access Key manually.
- Once refreshed, the previous Access Key will be invalidated. If the user did not save new Access Key, the user will have to login to <https://newnfn.nasdaq.com> using MFA and retrieve/regenerate the Access Key manually.
- Once the new Access Key is generated, the temporary session used to do so will be terminated. The user will need to re-establish new session using new Access key.

## Hours of Operation

The NFN web service reports outlined in this document are available for download from Monday mornings at 12:00 a.m., Eastern Time (ET) through Friday evenings at 11 p.m., ET.

The NFN posting times for each report are as follows:

Report Name	Initial Posting Time	Final Posting Time	Notes
NFN Daily Lists – All Versions	Between 11:00 a.m., ET and 1 p.m., ET	6:00 p.m., ET	Nasdaq attempts to post file by 12 noon, ET. After initial posting, Nasdaq attempts to limit the NFN Daily List changes to corrections only.
Instrument Directory	7:00 a.m., ET		Since the NFN Symbol Directory contains only active instruments, it is rare for the contents to change intraday.
Ex-Date Report	8:00 a.m., ET	8:05 p.m., ET	Nasdaq dynamically updates the Ex-Date report as pricing agents enter dividend and capital distribution data into the NFN system. For the most complete data, Nasdaq recommends that firms pull the report after 8:05 p.m., ET

## Release Notes

### Upcoming Changes

- Launch of the New.NFN Secure Web Service on or about **October 21, 2024**
- New NFN URL for registration site and reports: <https://newnfn.nasdaq.com>
- Announcing changes to the NFN reports detailed in their respective tables below

### Past Changes

On or about **April 24, 2023**, Nasdaq will add the Distribution Frequency value indicated below:

Code	Value
D	Distributes on Termination

## NFN Daily List(s)

### Web Service Parameters

To retrieve the NFN Directory, Web Service Users shall need to enter a call with the following parameters:

## NFN Daily List

- **Daily List File Name:** As noted below, Nasdaq offers two versions of the NFN Daily List. User should specify “DLAdvance” or “DLNextDay”.
- **Date of Daily List:** Data should be entered in MM-DD-YYYY or MM/DD/YYYY format.
- **Symbol for Daily List:** Data should be 5-11 characters, following the symbol format requirements.
- **File Type:** Data should indicate requested file format. Options: “XML” for XML formatted text, “pipe” for pipe (|) delimited text, “CSV” for CSV formatted text, or “JSON” for a JSON format.
  - File type will be requested via Accept HTTP Header. Supported values for Accept Header are: text/csv, text/json, text/pipe, text/xml

<https://nfn.nasdaq.com/servicecall/DLAdvance.ashx?Date=MM-DD-YYYY&Type=pipe>

<https://nfn.nasdaq.com/servicecall/DLNextDay.ashx?Date=MM-DD-YYYY&Type=pipe>

<https://nfn.nasdaq.com/servicecall/DLAdvance.ashx?Symbol=XXXXXXXXXX&Type=pipe>

<https://nfn.nasdaq.com/servicecall/DLNextDay.ashx?Symbol=XXXXXXXXXX&Type=pipe>

### New NFN Web Service calls as of October 21, 2024:

<https://newnfn.nasdaq.com/servicecall/DLAdvance.ashx?Date=MM-DD-YYYY>

<https://newnfn.nasdaq.com/servicecall/DLNextDay.ashx?Date=MM-DD-YYYY>

<https://newnfn.nasdaq.com/servicecall/DLAdvance.ashx?Symbol=XXXXXXXXXX>

<https://newnfn.nasdaq.com/servicecall/DLNextDay.ashx?Symbol=XXXXXXXXXX>

### NFN Daily List File Format

Each business day, Nasdaq will post two NFN Daily List files with the same basic file format:

- **NFN Daily List – Advance Notifications:** This file will include all NFN registration actions that were approved by NFN Operations on the current business date regardless of the effective date. This advance notification file will be stored as a pipe-delimited text file. For the Web Service file name parameter, please use **DLAdvance**.
- **NFN Daily List – Next Business Day Changes:** This file provides only those NFN registration actions scheduled to take effect on the next business day. This next day file will be stored as a pipe-delimited text file. For the Web Service file name parameter, please use **DLNextDay**.

The file format for both files will be the same. The NFN Daily List files will include a message header row with the field headings. Following the message header row, the individual security-level records will be sorted in ascending order by System Effective Date and then ascending alphabetic order by Symbol field.

As the last record in the file, the system will provide the Web Service parameters as well as the Note for the Day.

### Security Level Details

Data Field	Field Format	Description
Posting Date	Date, MM/DD/YYYY	Denotes the date on which the NFN Daily List record was generated. Date field is stored in MM/DD/YYYY format.

NFN Daily List

Data Field	Field Format	Description																														
Posting Time	Time, HHMMSS	Denotes the time that the NFN Daily List entry was generated or last updated. The time will be stated in HHMMSS format. The time is based on US Eastern Time.																														
System Effective Date	Date, MM/DD/YYYY	Denotes the date that the NFN instrument registration change will be effective in the NFN system. Date field is stored in MM/DD/YYYY format.																														
Event Code	Text up to 50 characters	<div>Indicates the type of registration action associated with the NFN instrument. Allowable values are:</div> <table><tr><th colspan="2">Event Codes</th></tr><tr><td>Addition</td><td></td></tr><tr><td>Deletion</td><td></td></tr><tr><td>Replacement</td><td></td></tr><tr><td>Attribute Change</td><td></td></tr><tr><td>Restore</td><td></td></tr><tr><td>Withdraw – Addition</td><td></td></tr><tr><td>Withdraw – Deletion</td><td></td></tr><tr><td>Withdraw – Replacement</td><td></td></tr><tr><td>Withdraw - Attribute Change</td><td></td></tr><tr><td>Withdraw – Restore</td><td></td></tr></table>	Event Codes		Addition		Deletion		Replacement		Attribute Change		Restore		Withdraw – Addition		Withdraw – Deletion		Withdraw – Replacement		Withdraw - Attribute Change		Withdraw – Restore									
Event Codes																																
Addition																																
Deletion																																
Replacement																																
Attribute Change																																
Restore																																
Withdraw – Addition																																
Withdraw – Deletion																																
Withdraw – Replacement																																
Withdraw - Attribute Change																																
Withdraw – Restore																																
Issuer Corporate Action Date	Date, MM/DD/YYYY	<div>Denotes the date that the NFN issuer will enact (enacted) the instrument change action on its side. Date field is stored in MM/DD/YYYY format.</div> <div>Note: The Issuer Corporate Action Date shall be populated for Attribute Change and Deletion event codes only.</div>																														
Instrument Type / Tier – Current	2 characters, alphanumeric	<div>Denotes the NFN security class and listing tier for the instrument at the time of the Daily List posting. Allowable values are:</div> <table><tr><th>Code</th><th>Value</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>SP</td><td>Structured Product</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr><tr><td>MA</td><td>Managed Accounts</td></tr><tr><td>CT</td><td>Collective Investment Trust (CIT)</td></tr><tr><td>SA</td><td>Separate Accounts</td></tr><tr><td>HF</td><td>Hedge Fund</td></tr><tr><td>DD</td><td>Demand Deposit Account</td></tr></table>	Code	Value	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	SP	Structured Product	AP	Alternative Investment Product (AIP)	EM	NextShares Exchange Traded Managed Fund	MA	Managed Accounts	CT	Collective Investment Trust (CIT)	SA	Separate Accounts	HF	Hedge Fund	DD	Demand Deposit Account
Code	Value																															
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																															
SP	Structured Product																															
AP	Alternative Investment Product (AIP)																															
EM	NextShares Exchange Traded Managed Fund																															
MA	Managed Accounts																															
CT	Collective Investment Trust (CIT)																															
SA	Separate Accounts																															
HF	Hedge Fund																															
DD	Demand Deposit Account																															

Data Field	Field Format	Description																														
		<p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the NFN issue type for the instrument being replaced in the system.</li><li>For attribute change actions, this field will reflect the NFN issue type in system on the Daily List posting date.</li><li>For deletion actions, this field will reflect the NFN issue type for the instrument being removed from the system.</li><li>For restore actions, this field will not be populated.</li></ul>																														
Instrument Type / Tier – New	2 characters, alphanumeric	<p>Denotes the NFN security class and listing tier for the instrument as of the System Effective Date. Allowable values are:</p> <table><tr><th>Code</th><th>Value</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>SP</td><td>Structured Product</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr><tr><td>MA</td><td>Managed Accounts</td></tr><tr><td>CT</td><td>Collective Investment Trust (CIT)</td></tr><tr><td>SA</td><td>Separate Accounts</td></tr><tr><td>HF</td><td>Hedge Fund</td></tr><tr><td>DD</td><td>Demand Deposit Account</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the NFN issue type for the instrument being added to the system.</li><li>For replacement actions, this field will reflect the NFN issue type for the instrument being added to the system.</li><li>For attribute change actions, this field will reflect the NFN issue type as of the System effective date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the NFN issue type for the instrument being reinstated to the NFN system.</li></ul>	Code	Value	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	SP	Structured Product	AP	Alternative Investment Product (AIP)	EM	NextShares Exchange Traded Managed Fund	MA	Managed Accounts	CT	Collective Investment Trust (CIT)	SA	Separate Accounts	HF	Hedge Fund	DD	Demand Deposit Account
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## NFN Daily List

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Instrument Code – Current	1 character, alphanumeric	<div>Indicates the investment strategy or sub-category for the NFN instrument at the time of the Daily List posting. The allowable values are:</div> <table><thead><tr><th>Code</th><th>Value</th></tr></thead><tbody><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>Interval Fund</td></tr><tr><td>Z</td><td>Tender Offer Fund</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></td><td></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 – Growth</td></tr><tr><td>S</td><td>Structured Product – Income</td></tr><tr><td>T</td><td>Structured Product – Digital</td></tr><tr><td>U</td><td>Structured Product – Growth and Income</td></tr><tr><td>V</td><td>Structured Product – Commodity / FX</td></tr><tr><td>W</td><td>Structured Product – Rates</td></tr><tr><td>L</td><td>Structured Product – Other</td></tr><tr><td colspan="2"><i>Alternative Investment Products (Type AP)</i></td></tr><tr><td>B</td><td>Managed Future Fund</td></tr><tr><td>F</td><td>Fund of Hedge Fund</td></tr><tr><td>I</td><td>Non-Traded REIT</td></tr><tr><td>J</td><td>Non-Traditional Hedge Fund (Registered)</td></tr><tr><td>K</td><td>Commodity Pool Fund</td></tr><tr><td>P</td><td>Private Equity Offering</td></tr><tr><td colspan="2"><i>NextShares Exchange Traded Managed Funds (Type EM)</i></td></tr><tr><td>Q</td><td>NextShares</td></tr><tr><td colspan="2"><i>Hedge Fund (Type HF)</i></td></tr><tr><td>H</td><td>Hedge Fund</td></tr><tr><td colspan="2"><i>Collective Investment Trust (Type CT)</i></td></tr><tr><td>1</td><td>Collective Investment Trust</td></tr><tr><td colspan="2"><i>Managed Accounts (Type MA)</i></td></tr></tbody></table>	Code	Value	<i>Mutual Funds (Types MF and MS)</i>		O	Mutual Fund – Open End	C	Mutual Fund – Closed End	Y	Interval Fund	Z	Tender Offer Fund	<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 – Growth	S	Structured Product – Income	T	Structured Product – Digital	U	Structured Product – Growth and Income	V	Structured Product – Commodity / FX	W	Structured Product – Rates	L	Structured Product – Other	<i>Alternative Investment Products (Type AP)</i>		B	Managed Future Fund	F	Fund of 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	<i>Hedge Fund (Type HF)</i>		H	Hedge Fund	<i>Collective Investment Trust (Type CT)</i>		1	Collective Investment Trust	<i>Managed Accounts (Type MA)</i>	
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## NFN Daily List

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Instrument Code – New	1 character, alphanumeric	<p>Indicates the investment strategy or sub-category for the NFN instrument on the stated System Effective Date. The allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td colspan="2">Mutual Funds (Types MF and MS)</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>Interval Fund</td></tr><tr><td>Z</td><td>Tender Offer Fund</td></tr><tr><td colspan="2">Money Market Funds (Types \$\$ and \$S)</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></td><td></td></tr><tr><td colspan="2">Unit Investment Trust (Type US)</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">Annuities (Type AN)</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">Structured Products (Type SP)</td></tr><tr><td>R</td><td>Structured Product – Index: Autocall</td></tr><tr><td>S</td><td>Structured Product – Single Stock</td></tr></table>	Code	Value	Mutual Funds (Types MF and MS)		O	Mutual Fund – Open End	C	Mutual Fund – Closed End	Y	Interval Fund	Z	Tender Offer Fund	Money Market Funds (Types \$\$ and \$S)		A	Money Market Fund – General Purpose	G	Money Market Fund – Government Securities	X	Money Market Fund – Tax Exempt Securities			Unit Investment Trust (Type US)		D	Unit Investment Trust – Debt Securities	E	Unit Investment Trust – Equity Securities	Annuities (Type AN)		M	Annuity – Variable	N	Annuity – Equity Indexed	Structured Products (Type SP)		R	Structured Product – Index: Autocall	S	Structured Product – Single Stock
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Data Field	Field Format	Description
		T Structured Product – Index: Buffer/Barrier Enhanced Upside
		U Structured Product – Index: Principal Protected
		V Structured Product – Commodity / FX
		W Structured Product – Rates
		L Structured Product – Other
		<i>Alternative Investment Products (Type AP)</i>
		B Managed Future Fund
		F Fund of 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
		<i>Hedge Fund (Type HF)</i>
		H Hedge Fund
		<i>Collective Investment Trust (Type CT)</i>
		1 Collective Investment Trust
		<i>Managed Accounts (Type MA)</i>
		2 Separately Managed Accounts (SMA)
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		<i>Demand Deposit Account (Type DD)</i>
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		<p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the NFN issue category for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the NFN issue category for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the NFN issue category as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the NFN issue category for the instrument being reinstated to the NFN system.</li> </ul>
Symbol – Current	11 characters, alphanumeric	<p>Denotes the Nasdaq-assigned identifier for NFN instrument at the time of the NFN Daily List file posting.</p> <p>The processing rules by action are as follows:</p>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will reflect the symbol for the instrument being replaced in the system.</li> <li>For attribute change actions, this field will reflect the symbol in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the symbol for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Symbol – New	11 characters, alphanumeric	<p>Denotes the new Nasdaq-assigned identifier for NFN instrument as of the System Effective Date.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the symbol for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the symbol for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the symbol as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the symbol for the instrument being reinstated to the NFN system.</li> </ul>
CUSIP – Current	9 characters, alphanumeric	<p>Denote the CUSIP in the NFN system for the instrument at the time of the NFN Daily List file posting. Please note that Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will reflect the CUSIP for the instrument being replaced in the system.</li> <li>For attribute change actions, this field will reflect the CUSIP in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the CUSIP for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
CUSIP – New	9 characters, alphanumeric	Denotes the CUSIP number, as being reported by the NFN Issuer, for the NFN instrument as of the System Effective Date. Please note that Nasdaq will only populate this field

Data Field	Field Format	Description
		<p>for recipient firms with a valid CUSIP license and entitlement token.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the CUSIP for the instrument being added to the system.</li> <li>• For replacement actions, this field will reflect the CUSIP for the instrument being added to the system.</li> <li>• For attribute change actions, this field will reflect the CUSIP as of the System effective date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the CUSIP for the instrument being reinstated to the NFN system.</li> </ul>
Instrument Name – Current	Text up to 150 characters	<p>Denotes the Issue Name in the NFN system for the instrument at the time of the NFN Daily List file posting.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will reflect the Issue Name for the instrument being replaced in the system.</li> <li>• For instrument attribute change actions, this field will reflect the Issue Name in system on the Daily List posting date.</li> <li>• For deletion actions, this field will reflect the Issue Name for the instrument being removed from the system.</li> <li>• For restore actions, this field will not be populated.</li> </ul>
Instrument Name – New	Text up to 150 characters	<p>Denotes the Issue Name for NFN instrument as of the System Effective Date.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Issue Name for the instrument being added to the system.</li> <li>• For replacement actions, this field will reflect the Issue Name for the instrument being added to the system.</li> <li>• For attribute change actions, this field will reflect the Issue Name as of the System effective date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Issue Name of the instrument being reinstated to the NFN system.</li> </ul>

NFN Daily List

Data Field	Field Format	Description
Issuer Name – Current	Text up to 75 characters	<p>Denotes the name of the Issuer / Sponsor for the NFN instrument at the time of the NFN Daily List file posting.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will reflect the Issuer Name for the instrument being replaced in the system.</li> <li>• For attribute change actions, this field will reflect the Issuer Name in system on the Daily List posting date.</li> <li>• For deletion actions, this field will reflect the Issuer Name for the instrument being removed from the system.</li> <li>• For restore actions, this field will not be populated.</li> </ul>
Issuer Name – New	Text up to 75 characters	<p>Denotes the name of the Issuer / Sponsor for the NFN instrument as of the System Effective Date.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Issuer Name for the instrument being added to the system.</li> <li>• For replacement actions, this field will reflect the Issuer Name for the instrument being added to the system.</li> <li>• For attribute change actions, this field will reflect the Issuer Name as of the System effective date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Issuer Name for the instrument being reinstated to the NFN system.</li> </ul>
Exchange Code for Listed Instruments – Current	4 characters, alphanumeric	<p>Denotes the <a href="#">ISO 10383 Market Identification Codes (MICs)</a> for the primary listing market center for the NFN instrument at the time of the Daily List posting.</p> <p>Note: This field will be populated for closed-end funds / exchange traded funds and structured products only.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will not be populated.</li> <li>• For attribute change actions, this field will reflect the Listing Exchange Code in system on the Daily List posting date.</li> </ul>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For deletion actions, this field will reflect the Listing Exchange Code for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Exchange Code for Listed Instruments – New	4 characters, alphanumeric	<p>Denotes the <a href="#">ISO 10383 Market Identification Codes (MICs)</a> for the primary listing market center for the NFN instrument as of the System Effective Date.</p> <p>Note: This field will be populated for closed-end funds / exchange traded funds and structured products only.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Listing Exchange Code for the instrument being added to the system.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Listing Exchange Code as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Listing Exchange Code for the instrument being reinstated to the NFN system.</li> </ul>
Exchange Symbol For Listed Instruments – Current	11 characters, alphanumeric	<p>Denotes the ticker identifier for the NFN instrument on its primary listing market at the time of the Daily List posting.</p> <p>Note: This field will only be populated if the exchange code field above is populated.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Listing Exchange Code in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the Listing Exchange Code for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Exchange Symbol For Listed Instruments – New	11 characters, alphanumeric	<p>Denotes the ticker identifier for the NFN instrument on its primary listing market as of the System Effective Date.</p> <p>Note: This field will only be populated if the exchange code field above is populated.</p>

NFN Daily List

Data Field	Field Format	Description
		<p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Listing Exchange Symbol for the instrument being added to the system.</li> <li>• For replacement actions, this field will not be populated.</li> <li>• For attribute change actions, this field will reflect the Listing Exchange Symbol as of the System effective date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Listing Exchange Symbol for the instrument being reinstated to the NFN system.</li> </ul>
Newspaper Category – Current	20 characters, alphanumeric (inclusive of spaces)	<p>Denotes the heading to be displayed in print media stock tables in for the NFN Issuer / Fund Family as of the Daily List posting date. This field will only be populated if the NFN Fund Type – Current field value is equal to MF (Mutual Fund – News Media List) or \$\$ (Money Market Fund – News Media List).</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will not be populated.</li> <li>• For NFN attribute change actions, this field will reflect the Newspaper Heading in system on the Daily List posting date.</li> <li>• For deletion actions, this field will reflect the Newspaper Heading for the instrument being removed from the system.</li> <li>• For restore actions, this field will not be populated.</li> </ul>
Newspaper Category – New	20 characters, alphanumeric (inclusive of spaces)	<p>Denotes the heading to be displayed in print media stock tables in for the NFN Issuer / Fund Family as of the System Effective Date.</p> <p>Note: This field should only be populated if the NFN Fund Type – New field value is equal to MF (Mutual Fund – News Media List) or \$\$ (Money Market Fund – News Media List).</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Newspaper Heading for the instrument being added to the system.</li> <li>• For replacement actions, this field will not be populated.</li> <li>• For attribute change actions, this field will reflect the Newspaper Heading as of the System Effective Date.</li> </ul>

NFN Daily List

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Newspaper Heading for the instrument being reinstated to the NFN system.</li> </ul>
Newspaper Abbreviation – Current	16 characters, alphanumeric (inclusive of spaces)	<p>Denotes the descriptive symbol to be displayed in the print media stock tables for the NFN instrument as of System Effective Date.</p> <p>Note: This field should only be populated if the NFN Fund Type – Current field value is equal to MF or \$\$.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Newspaper Symbol in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the Newspaper Symbol for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Newspaper Abbreviation – New	16 characters, alphanumeric (inclusive of spaces)	<p>Denotes the descriptive symbol to be displayed in the print media stock tables for the NFN instrument as of System Effective Date.</p> <p>Note: This field should only be populated if the NFN Fund Type – New field value is equal to MF or \$\$.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Newspaper Symbol for the instrument being added to the system.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Newspaper Symbol as of the System Effective Date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Newspaper Symbol for the instrument being reinstated to the NFN system.</li> </ul>
Pricing Agent – Current (Removing effective 10/21/2024)	Text up to 150 characters	<p>Denotes the name of the firm responsible for submitting valuation data for NFN instrument at the time of the Daily List posting.</p> <p>The processing rules by action are as follows:</p>



NFN Daily List

Data Field	Field Format	Description																		
		<ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the Pricing Agent for the instrument being replaced in the system.</li><li>For attribute change actions, this field will reflect the Pricing Agent in system on the Daily List posting date.</li><li>For deletion actions, this field will reflect the Pricing Agent for the instrument being removed from the system.</li><li>For restore actions, this field will not be populated.</li></ul>																		
Pricing Agent – New (Removing effective 10/21/2024)	Text up to 150 characters	<p>Denotes the name of the firm responsible for submitting valuation data for NFN instrument as of the System Effective Date.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Pricing Agent for the instrument being added to the system.</li><li>For replacement actions, this field will reflect the Pricing Agent for the instrument being added to the system.</li><li>For attribute change actions, this field will reflect the Pricing Agent as of the System effective date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Pricing Agent for the instrument being reinstated to the NFN system.</li></ul>																		
Pricing Frequency – Current	1 character, alphanumeric	<p>Denotes the pricing frequency for the NFN instrument as of the Daily List posting date. Allowable values are:</p> <table><thead><tr><th>Code</th><th>Value</th></tr></thead><tbody><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Bi-weekly</td></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annual</td></tr></tbody></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the NFN Pricing Frequency for the instrument being replaced in the system.</li></ul>	Code	Value	I	Intraday	D	Daily	W	Weekly	B	Bi-weekly	M	Monthly	Q	Quarterly	S	Semi-Annual	A	Annual
Code	Value																			
I	Intraday																			
D	Daily																			
W	Weekly																			
B	Bi-weekly																			
M	Monthly																			
Q	Quarterly																			
S	Semi-Annual																			
A	Annual																			

Data Field	Field Format	Description																		
		<ul style="list-style-type: none"><li>For attribute change actions, this field will reflect the NFN Pricing Frequency in system on the Daily List posting date.</li><li>For deletion actions, this field will reflect the NFN Pricing Frequency for the instrument being removed from the system.</li><li>For restore actions, this field will not be populated.</li></ul>																		
Pricing Frequency – New	1 character, alphanumeric	<p>Denotes the expected pricing frequency for the NFN instrument as of System Effective Date. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Bi-weekly</td></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annual</td></tr></table> <p>Please note that, if the Issuer does not provide this information, the default pricing frequency will be Daily.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the NFN Pricing Frequency for the instrument being added to the system.</li><li>For replacement actions, this field will reflect the NFN Pricing Frequency for the instrument being added to the system.</li><li>For attribute change actions, this field will reflect the NFN Pricing Frequency as of the System effective date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the NFN Pricing Frequency for the instrument being reinstated to the NFN system.</li></ul>	Code	Value	I	Intraday	D	Daily	W	Weekly	B	Bi-weekly	M	Monthly	Q	Quarterly	S	Semi-Annual	A	Annual
Code	Value																			
I	Intraday																			
D	Daily																			
W	Weekly																			
B	Bi-weekly																			
M	Monthly																			
Q	Quarterly																			
S	Semi-Annual																			
A	Annual																			
Country of Issuance	2 characters, alphanumeric	Denotes the primary registration location for the issuance as of System Effective Date. For this field, Nasdaq will use <a href="#">ISO 3166 country codes</a> .																		
ISIN – Current	12 characters, alphanumeric	Denotes the ISIN for the NFN Instrument at the time of the Daily List posting. The ISIN should map to the country of issuance.																		
ISIN – New	12 characters, alphanumeric	Denotes the ISIN for the NFN Instrument as of the System Effective Date. The ISIN should map to the country of issuance.																		

# NFN Daily List

Data Field	Field Format	Description
Currency	3 characters, alphanumeric	Denotes the currency in which the NFN instrument will submit valuation data as of System Effective Date. Nasdaq will use the <a href="#">GitHub currency alphabetic codes</a> for this field. The default value is "USD".
Inception Date	Date, MM/DD/YYYY	<p>Denotes the date that the NFN Instrument was created by the NFN Issuer. Field will be stated in MM/DD/YYYY format if available.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Inception Date for the instrument being added.</li> <li>• For replacement actions, this field will reflect the Inception Date for the instrument being added.</li> <li>• For attribute change actions, this field will reflect the Inception Date in the NFN system for the security.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the inception date for the instrument being reinstated to the NFN system.</li> </ul>
NAV on Inception Date (New field name as of October 21, 2024)	11 characters, alphanumeric	<p>Denotes the net asset value (NAV) for the NFN instrument as of the Inception Date. Data format: \$\$\$\$\$\$.dddd. Refer to the Pricing Currency field for the denomination for the NAV.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Inception Date NAV for the instrument being added.</li> <li>• For replacement actions, this field will reflect the Inception Date NAV for the instrument being added.</li> <li>• For attribute change actions, this field will reflect the updated inception date NAV if provided by the issuer.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the inception date NAV for the instrument being reinstated to the NFN system if available.</li> </ul>
Initial Net Assets	15 characters, alphanumeric	<p>Denotes the initial total net assets for the NFN instrument as of the Inception Date. Data format: \$\$\$\$\$\$\$\$\$\$\$\$\$\$. Refer to the Pricing Currency field for the denomination for the Total Net Assets.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Total Net Assets - Inception Date for the instrument being added.</li> </ul>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For replacement actions, this field will reflect the Total Net Assets - Inception Date for the instrument being added.</li> <li>For attribute change actions, this field will reflect the updated Total Net Assets - Inception Date if provided by the issuer.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Total Net Assets - Inception Date for the instrument being reinstated to the NFN system if available.</li> </ul>
Minimum Initial Subscription	12 characters, alphanumeric	<p>Denotes the Minimum Initial Subscription amount for the NFN instrument as of the Corporate Action Date. Data format: \$\$\$\$\$\$.dd. Refer to the Pricing Currency field for the denomination for the subscription amount. Please note that Minimum Initial Subscription is an optional data entry field.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Minimum Initial Subscription for the instrument being added.</li> <li>For replacement actions, this field will reflect the Minimum Initial Subscription for the instrument being added.</li> <li>For attribute change actions, this field will reflect the Minimum Initial Subscription as of the Corporate Action Date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Minimum Initial Subscription for the instrument being reinstated to the NFN system.</li> </ul>
Minimum Incremental Subscription	12 characters, alphanumeric	<p>Denotes the Minimum Initial Subscription amount for the NFN instrument as of the Corporate Action Date. Data format: \$\$\$\$\$\$.dd. Refer to the Pricing Currency field for the denomination for the subscription amount. Please note that Minimum Initial Subscription is an optional data entry field.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Minimum Incremental Subscription for the instrument being added.</li> <li>For replacement actions, this field will reflect the Minimum Incremental Subscription for the instrument being added.</li> <li>For attribute change actions, this field will reflect the Minimum Incremental Subscription as of the Corporate Action Date.</li> </ul>

Data Field	Field Format	Description						
		<ul style="list-style-type: none"><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Minimum Incremental Subscription for the instrument being reinstated to the NFN system.</li></ul>						
Open To New Investors	1 character, alphanumeric	<p>Denotes if the NFN Instrument is open or closed to new investors as of the Corporate Action Date. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>F</td><td>Closed to new investors</td></tr><tr><td>T</td><td>Open to new investors</td></tr></table> <p>Please note that, if the issuer does not provide this flag, the default value will be “T”.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Flag for the instrument being added.</li><li>For replacement actions, this field will reflect the Flag for the instrument being added.</li><li>For attribute change actions, this field will reflect the Flag as of the Corporate Action Date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, the field will reflect the Flag for the instrument being reinstated to the NFN system.</li></ul>	Code	Value	F	Closed to new investors	T	Open to new investors
Code	Value							
F	Closed to new investors							
T	Open to new investors							
Number of Shareholders	12 characters, alphanumeric	<p>Denotes the number of shareholders for the NFN instrument as of the date listed in the field below.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Number of Shareholders for the instrument being added.</li><li>For replacement actions, this field will reflect the Number of Shareholders for the instrument being added.</li><li>For attribute change actions, this field will reflect the Number of Shareholders as of the date listed below.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Number of Shareholders from the most recent NFN application for the instrument being reinstated to the NFN system.</li></ul>						

## NFN Daily List

Data Field	Field Format	Description
Number of Shareholders Date	Date, MM/DD/YYYY	Indicates the "As of" Date associated with the Number of Shareholders field above. Field will be stated in MM/DD/YYYY format if available. This field will only be populated if the Number of Shareholders is provided.
Total Shares Outstanding	12 characters, alphanumeric	<p>Denotes the number of total shares outstanding (TSO) for the NFN instrument as of date listed in the field below.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the TSO for the instrument being added.</li> <li>• For replacement actions, this field will reflect the TSO for the instrument being added.</li> <li>• For attribute change actions, this field will reflect the TSO as of the date listed below.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the TSO from the most recent NFN application for the instrument being reinstated to the NFN system.</li> </ul>
Total Shares Outstanding Date	Date, MM/DD/YYYY	Indicates the "As of" Date associated with the TSO field above. Field will be stated in MM/DD/YYYY format if available. This field will only be populated if the TSO is provided.
Total Net Assets	15 characters, alphanumeric	<p>Denotes the Total Net Assets (in actual currency units) for the NFN instrument as of the date listed in the field below. Data Format: \$\$\$\$\$\$\$\$\$\$. Refer to the Pricing Currency field for the denomination for the Total Net Assets.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Total Net Assets for the instrument being added.</li> <li>• For replacement actions, this field will reflect the Total Net Assets for the instrument being added.</li> <li>• For attribute change actions, this field will reflect the Total Net Assets as of the date listed below.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Total Net Assets from the latest NFN application for the instrument being reinstated to the NFN system.</li> </ul> <p><u>Note:</u> NFN allows firms to report Total Net Assets via the NFN Valuation Module on a daily basis. Once a security is active on the NFN system, firms should use the Nasdaq Fund Network Data Service product for Total Net Asset information.</p>

NFN Daily List

Data Field	Field Format	Description
Total Net Assets Date	Date, MM/DD/YYYY	Indicates the "As of" Date associated with the Total Net Assets field above. Field will be stated in MM/DD/YYYY format if available. This field will only be populated if the Total Net Assets is provided.
Deposit Date – Current	Date, MM/DD/YYYY	<p>Indicates the current date in the NFN system for the trust deposit. Field will be stated in MM/DD/YYYY format. This field will only be populated for UIT and Structured Product registrations.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will reflect the Deposit Date for the instrument being removed.</li> <li>• For attribute change actions, this field will reflect the Deposit Date on the Daily List posting date.</li> <li>• For deletion actions, this field will reflect the Deposit Date for the instrument being deleted.</li> <li>• For restore actions, this field will not be populated.</li> </ul>
Deposit Date – New	Date, MM/DD/YYYY	<p>Indicates the new date in the NFN system for the trust deposit. Field will be stated in MM/DD/YYYY format. This field will only be populated for UIT and Structured Product instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Deposit Date for instrument being added.</li> <li>• For replacement actions, this field will reflect the Deposit Date for the instrument being added.</li> <li>• For attribute change actions, this field will reflect the Deposit Date as of the System Effective Date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Deposit Date for the instrument being instated to the NFN system.</li> </ul>
Termination Date – Current	Date, MM/DD/YYYY	<p>Indicates the scheduled maturity or termination date for the NFN instrument on the Daily List posting date. Field will be stated in MM/DD/YYYY format if available. This field will only be populated for UIT and Structured Product instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will not be populated.</li> <li>• For replacement actions, this field will reflect the Termination Date for the instrument being removed.</li> </ul>

Data Field	Field Format	Description														
		<ul style="list-style-type: none"><li>For attribute change actions, this field will reflect the Termination Date as of the System Effective Date.</li><li>For deletion actions, this field will reflect the Termination Date for the instrument being deleted.</li><li>For restore actions, this field will not be populated.</li></ul>														
Termination Date – New	Date, MM/DD/YYYY	<p>Indicates the scheduled maturity or termination date for the NFN instrument as of the System Effective Date. Field will be stated in MM/DD/YYYY format if available. This field will only be populated for UIT and Structured Product instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Termination Date for instrument being added.</li><li>For replacement actions, this field will reflect the Termination Date for the instrument being added.</li><li>For attribute change actions, this field will reflect the Termination Date as of the System Effective Date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Termination Date from the most recent NFN application for the instrument being reinstated to the NFN system.</li></ul>														
Distribution Frequency – Current	1 character, alphanumeric	<p>Indicates the current distribution frequency for the instrument in the NFN system on the Daily List posting date. Allowable values are:</p> <table><thead><tr><th>Code</th><th>Value</th></tr></thead><tbody><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annual</td></tr><tr><td>D</td><td>Distributes on Termination</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></tbody></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the Distribution Frequency for the instrument being removed.</li><li>For attribute change actions, this field will reflect the Distribution Frequency as of the Daily List posting date.</li></ul>	Code	Value	M	Monthly	Q	Quarterly	S	Semi-Annual	A	Annual	D	Distributes on Termination	<space>	Not available
Code	Value															
M	Monthly															
Q	Quarterly															
S	Semi-Annual															
A	Annual															
D	Distributes on Termination															
<space>	Not available															



Data Field	Field Format	Description														
		<ul style="list-style-type: none"><li>For deletion actions, this field will reflect the Distribution Frequency for the instrument being deleted.</li><li>For restore actions, this field will not be populated.</li></ul>														
Distribution Type – Current	2 characters, alphanumeric	<p>Indicates the current distribution type listed in the NFN system for the instrument. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>C</td><td>Cash</td></tr><tr><td>R</td><td>Reinvest</td></tr><tr><td>W</td><td>Wrap</td></tr><tr><td>RC</td><td>Reinvest Cash</td></tr><tr><td>RW</td><td>Reinvest Wrap</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the Distribution Type for the instrument being removed.</li><li>For attribute change actions, this field will reflect the Distribution Type as of the Daily List posting date.</li><li>For deletion actions, this field will reflect the Distribution Type for the instrument being deleted.</li><li>For restore actions, this field will not be populated.</li></ul>	Code	Value	C	Cash	R	Reinvest	W	Wrap	RC	Reinvest Cash	RW	Reinvest Wrap	<space>	Not available
Code	Value															
C	Cash															
R	Reinvest															
W	Wrap															
RC	Reinvest Cash															
RW	Reinvest Wrap															
<space>	Not available															
Distribution Frequency – New	1 character, alphanumeric	<p>Indicates the expected distribution frequency for the instrument. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annual</td></tr><tr><td>D</td><td>Distributes on Termination</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Distribution Frequency for instrument being added.</li><li>For replacement actions, this field will reflect the Distribution Frequency for the instrument being added.</li></ul>	Code	Value	M	Monthly	Q	Quarterly	S	Semi-Annual	A	Annual	D	Distributes on Termination	<space>	Not available
Code	Value															
M	Monthly															
Q	Quarterly															
S	Semi-Annual															
A	Annual															
D	Distributes on Termination															
<space>	Not available															

Data Field	Field Format	Description														
		<ul style="list-style-type: none"><li>For attribute change actions, this field will reflect the Distribution Frequency as of the System Effective Date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Distribution Frequency for the instrument being reinstated to the NFN system.</li></ul>														
Distribution Type – New	2 characters, alphanumeric	<p>Indicates the planned distribution type reported by the Issuer for the NFN instrument. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>C</td><td>Cash</td></tr><tr><td>R</td><td>Reinvest</td></tr><tr><td>W</td><td>Wrap</td></tr><tr><td>RC</td><td>Reinvest Cash</td></tr><tr><td>RW</td><td>Reinvest Wrap</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Distribution Type for instrument being added.</li><li>For replacement actions, this field will reflect the Distribution Type for the instrument being added.</li><li>For attribute change actions, this field will reflect the Distribution Type as of the System Effective Date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Distribution Type for the instrument being reinstated to the NFN system.</li></ul>	Code	Value	C	Cash	R	Reinvest	W	Wrap	RC	Reinvest Cash	RW	Reinvest Wrap	<space>	Not available
Code	Value															
C	Cash															
R	Reinvest															
W	Wrap															
RC	Reinvest Cash															
RW	Reinvest Wrap															
<space>	Not available															
Par Value Per Share/Unit	13 characters, alphanumeric	<p>Denotes the face value amount for the NFN instrument as of the System Effective Date. Data format will be: \$\$\$\$\$\$.dddddd. Refer to the Pricing Currency field for the denomination for the Par Value amount. Please note that the Par Value Per Unit/Share field may only be populated for UIT securities.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Par Value for instrument being added.</li><li>For replacement actions, this field will reflect the Par Value for the instrument being added.</li><li>For attribute change actions, this field will reflect the Par Value as of the System Effective Date.</li><li>For deletion actions, this field will not be populated.</li></ul>														

Data Field	Field Format	Description																														
		<ul style="list-style-type: none"><li>For restore actions, this field will reflect the Par Value for the instrument being reinstated to the NFN system.</li></ul>																														
Deletion Reason	1 character, alphanumeric	<p>Denotes the reason why the NFN instrument is being deleted from the system. This field will only be populated for deletion actions. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>L</td><td>Liquidated</td></tr><tr><td>E</td><td>Terminated / Expired</td></tr><tr><td>M</td><td>Merged</td></tr><tr><td>A</td><td>Acquired</td></tr><tr><td>I</td><td>Removed at Issuer Request</td></tr><tr><td>Q</td><td>Removed by Nasdaq</td></tr><tr><td>P</td><td>Issuance Postponed</td></tr><tr><td>C</td><td>Issuance Cancelled</td></tr><tr><td>R</td><td>Instrument Reorganization</td></tr><tr><td>V</td><td>Instrument Conversion</td></tr><tr><td>B</td><td>Auto Call</td></tr><tr><td>U</td><td>Issuer Call</td></tr><tr><td>T</td><td>Matured</td></tr><tr><td>&lt;space&gt;</td><td>Not applicable</td></tr></table>	Code	Value	L	Liquidated	E	Terminated / Expired	M	Merged	A	Acquired	I	Removed at Issuer Request	Q	Removed by Nasdaq	P	Issuance Postponed	C	Issuance Cancelled	R	Instrument Reorganization	V	Instrument Conversion	B	Auto Call	U	Issuer Call	T	Matured	<space>	Not applicable
Code	Value																															
L	Liquidated																															
E	Terminated / Expired																															
M	Merged																															
A	Acquired																															
I	Removed at Issuer Request																															
Q	Removed by Nasdaq																															
P	Issuance Postponed																															
C	Issuance Cancelled																															
R	Instrument Reorganization																															
V	Instrument Conversion																															
B	Auto Call																															
U	Issuer Call																															
T	Matured																															
<space>	Not applicable																															
Symbol for Merger / Acquisition	11 characters, alphanumeric	<p>Indicates the NFN Symbol for the surviving instrument in the event of a merger or acquisition.</p> <p>This field will be populated for Deletion events if the Deletion Reason is “M” (Merged), “A” (Acquired), or “R” (Reorganization). Nasdaq will populate this field if it is entered by the NFN Issuer even if the surviving instrument is not part of the NFN system.</p> <p>This field will also be populated for Deletion events if the Deletion Reason is “V” (Conversion). For instrument conversions, NFN Daily List will carry a deletion record for the old asset class as well as an addition record for the new asset class value. Firms may use the CUSIP / Symbol fields in the deletion record to map data as appropriate.</p>																														
CUSIP for Merger / Acquisition	9 characters, alphanumeric	<p>Indicates the CUSIP number for the surviving instrument in the event of a merger or acquisition. Please note that Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.</p> <p>This field will be populated for Deletion events if the Deletion Reason is “M” (Merged), “A” (Acquired), or “R” (Reorganization). Nasdaq will populate this field if it is entered by the NFN Issuer even if the surviving instrument is not part of the NFN system.</p>																														

Data Field	Field Format	Description								
		This field will also be populated for Deletion events if the Deletion Reason is “V” (Conversion). For instrument conversions, NFN Daily List will carry a deletion record for the old asset class as well as an addition record for the new asset class value. Firms may use the CUSIP / Symbol fields in the deletion record to map data as appropriate.								
Document Available	1 character, alphanumeric	<div>Denotes if supporting documentation will be posted to the NFN service on the stated effective date. Allowable values are:</div> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. Supporting documentation will be available for this corporate action on stated system effective date</td></tr><tr><td>F</td><td>False. Supporting documentation will not be posted to NFN Daily List for this corporate action.</td></tr><tr><td>&lt;space.</td><td>Not applicable</td></tr></table>	Code	Value	T	True. Supporting documentation will be available for this corporate action on stated system effective date	F	False. Supporting documentation will not be posted to NFN Daily List for this corporate action.	<space.	Not applicable
Code	Value									
T	True. Supporting documentation will be available for this corporate action on stated system effective date									
F	False. Supporting documentation will not be posted to NFN Daily List for this corporate action.									
<space.	Not applicable									
NSCC Clearing Eligible – Current	1 character, alphanumeric	<div>Denotes if the NFN instrument is currently National Securities Clearing Corporation (NSCC) eligible. Allowable values are:</div> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this instrument is NSCC clearing eligible.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN issuer did not provide NSCC eligibility status.</td></tr></table> <div>The processing rules by action are as follows:</div> <ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will reflect the NSCC eligibility flag for the instrument being removed.</li><li>For attribute change actions, this field will reflect the NSCC eligibility flag as of the Daily List posting date.</li><li>For deletion actions, this field will reflect the NSCC eligibility flag for the instrument being deleted.</li><li>For restore actions, this field will not be populated.</li></ul>	Code	Value	T	True. NFN issuer has indicated that this instrument is NSCC clearing eligible.	F	False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.	<space>	Not available. NFN issuer did not provide NSCC eligibility status.
Code	Value									
T	True. NFN issuer has indicated that this instrument is NSCC clearing eligible.									
F	False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.									
<space>	Not available. NFN issuer did not provide NSCC eligibility status.									
NSCC Clearing Eligible – New	1 character, alphanumeric	<div>Denotes if the NFN instrument will be National Securities Clearing Corporation (NSCC) eligible as of the stated System effective date. The allowable values are:</div> <table><tr><th>Code</th><th>Value</th></tr></table>	Code	Value						
Code	Value									

Data Field	Field Format	Description						
		<table><tr><td>T</td><td>True. NFN issuer has indicated that this instrument is NSCC clearing eligible.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN issuer did not provide NSCC eligibility status.</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>• For addition actions, this field will reflect the NSCC eligibility flag for instrument being added.</li><li>• For replacement actions, this field will reflect the NSCC eligibility flag for the instrument being added.</li><li>• For attribute change actions, this field will reflect the NSCC eligibility flag as of the System Effective Date.</li><li>• For deletion actions, this field will not be populated.</li><li>• For restore actions, this field will reflect the NSCC eligibility flag for the instrument being reinstated to the NFN system.</li></ul>	T	True. NFN issuer has indicated that this instrument is NSCC clearing eligible.	F	False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.	<space>	Not available. NFN issuer did not provide NSCC eligibility status.
T	True. NFN issuer has indicated that this instrument is NSCC clearing eligible.							
F	False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.							
<space>	Not available. NFN issuer did not provide NSCC eligibility status.							
Test Symbol Flag	1 character, alphanumeric	<p>Denotes if the instrument is set up as a live or test issue currently in the NFN system. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>NFN Test Symbol. Instrument is intended for test use only.</td></tr><tr><td>F</td><td>NFN Live Symbol. Instrument is set up as live / production in NFN system.</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>• For addition actions, this field will be populated.</li><li>• For replacement actions, this field will reflect the Test Symbol Flag for both incoming and outgoing symbols.</li><li>• For attribute change actions, this field will reflect the Test Symbol Flag as of the Daily List posting date.</li><li>• For deletion actions, this field will reflect the Test Symbol Flag for the instrument being deleted.</li><li>• For restore actions, this field will reflect Test Symbol Flag for instrument being reinstated.</li></ul>	Code	Value	T	NFN Test Symbol. Instrument is intended for test use only.	F	NFN Live Symbol. Instrument is set up as live / production in NFN system.
Code	Value							
T	NFN Test Symbol. Instrument is intended for test use only.							
F	NFN Live Symbol. Instrument is set up as live / production in NFN system.							
Symbol Reuse Flag	1 character, alphanumeric	<p>Denotes if the NFN symbol was previously used for a different instrument. The allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr></table>	Code	Value				
Code	Value							

Data Field	Field Format	Description																		
		<table><tr><td>T</td><td>True. NFN Symbol is being reused. NFN Symbol was previously used in NFN system for a different instrument.</td></tr><tr><td>F</td><td>False. NFN Symbol is being assigned in NFN system for first time.</td></tr><tr><td>&lt;space&gt;</td><td>Symbol Reuse Flag is not supported for event code.</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>• For addition actions, this field will be populated.</li><li>• For replacement actions, this field will reflect the Symbol Reuse status for incoming symbols.</li><li>• For attribute change actions, this field will reflect the Symbol Reuse status for the NFN Symbol – New field.</li><li>• For deletion actions, this field will not be supported.</li><li>• For restore actions, this field will not be supported.</li></ul>	T	True. NFN Symbol is being reused. NFN Symbol was previously used in NFN system for a different instrument.	F	False. NFN Symbol is being assigned in NFN system for first time.	<space>	Symbol Reuse Flag is not supported for event code.												
T	True. NFN Symbol is being reused. NFN Symbol was previously used in NFN system for a different instrument.																			
F	False. NFN Symbol is being assigned in NFN system for first time.																			
<space>	Symbol Reuse Flag is not supported for event code.																			
Instrument Registration – Current	1 character, alphanumeric	<p>Denotes the current regulatory agency responsible for registration and/or oversight of NFN instrument. The allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>S</td><td>U.S. Securities and Exchange Commission (SEC)</td></tr><tr><td>M</td><td>Instrument is filed with Municipal Securities Rulemaking Board (MSRB)</td></tr><tr><td>C</td><td>Commodity Futures Trading Commission (CTFC)</td></tr><tr><td>X</td><td>SEC Registration Exemption</td></tr><tr><td>N</td><td>Not Registered with U.S. Regulatory Agency</td></tr><tr><td>U</td><td>UCITS</td></tr><tr><td>A</td><td>Canadian Securities Administration (CSA)</td></tr><tr><td>O</td><td>Other</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>• For addition actions, this field will not be populated.</li><li>• For replacement actions, this field will instrument registration for outgoing instrument.</li><li>• For attribute change actions, this field will reflect the current Instrument Registration in the NFN system.</li><li>• For deletion actions, this field will reflect the instrument registration for deleted instrument.</li></ul>	Code	Value	S	U.S. Securities and Exchange Commission (SEC)	M	Instrument is filed with Municipal Securities Rulemaking Board (MSRB)	C	Commodity Futures Trading Commission (CTFC)	X	SEC Registration Exemption	N	Not Registered with U.S. Regulatory Agency	U	UCITS	A	Canadian Securities Administration (CSA)	O	Other
Code	Value																			
S	U.S. Securities and Exchange Commission (SEC)																			
M	Instrument is filed with Municipal Securities Rulemaking Board (MSRB)																			
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U	UCITS																			
A	Canadian Securities Administration (CSA)																			
O	Other																			

Data Field	Field Format	Description																		
		<ul style="list-style-type: none"><li>For restore actions, this field will not be supported.</li></ul>																		
Instrument Registration – New	1 character, alphanumeric	<p>Denotes the regulatory agency responsible for registration and/or oversight of NFN instrument as of stated system effective date. The allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>S</td><td>U.S. Securities and Exchange Commission (SEC)</td></tr><tr><td>M</td><td>Instrument is filed with Municipal Securities Rulemaking Board (MSRB)</td></tr><tr><td>C</td><td>Commodity Futures Trading Commission (CTFC)</td></tr><tr><td>X</td><td>SEC Registration Exemption</td></tr><tr><td>N</td><td>Not Registered with U.S. Regulatory Agency</td></tr><tr><td>U</td><td>UCITS</td></tr><tr><td>A</td><td>Canadian Securities Administration (CSA)</td></tr><tr><td>O</td><td>Other</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will be populated.</li><li>For replacement actions, this field will instrument registration for incoming instrument.</li><li>For attribute change actions, this field will reflect the updated Instrument Registration for the NFN system.</li><li>For deletion actions, this field will not be supported.</li><li>For restore actions, this field will reflect the Instrument Registration for the reinstated instrument.</li></ul>	Code	Value	S	U.S. Securities and Exchange Commission (SEC)	M	Instrument is filed with Municipal Securities Rulemaking Board (MSRB)	C	Commodity Futures Trading Commission (CTFC)	X	SEC Registration Exemption	N	Not Registered with U.S. Regulatory Agency	U	UCITS	A	Canadian Securities Administration (CSA)	O	Other
Code	Value																			
S	U.S. Securities and Exchange Commission (SEC)																			
M	Instrument is filed with Municipal Securities Rulemaking Board (MSRB)																			
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N	Not Registered with U.S. Regulatory Agency																			
U	UCITS																			
A	Canadian Securities Administration (CSA)																			
O	Other																			
Investor Type – Current	1 character, alphanumeric	<p>Denotes the current target investor class for an instrument. The allowable values will be:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Institutional Investors</td></tr><tr><td>R</td><td>Retail Investors, Both Retail and Institutional Investors</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table>	Code	Value	I	Institutional Investors	R	Retail Investors, Both Retail and Institutional Investors	<space>	Not available										
Code	Value																			
I	Institutional Investors																			
R	Retail Investors, Both Retail and Institutional Investors																			
<space>	Not available																			
Investor Type – New	1 character, alphanumeric	<p>Denotes the new target investor class for an instrument. The allowable values will be:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Institutional Investors</td></tr><tr><td>R</td><td>Retail Investors, Both Retail and Institutional Investors</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table>	Code	Value	I	Institutional Investors	R	Retail Investors, Both Retail and Institutional Investors	<space>	Not available										
Code	Value																			
I	Institutional Investors																			
R	Retail Investors, Both Retail and Institutional Investors																			
<space>	Not available																			

Data Field	Field Format	Description
Instrument Class- New	Text up to 50 characters	<p>Denotes the Share Class for the NFN instrument.</p> <p>Please note this field is only populated for all instruments with Mutual Funds, Money Market Funds, Annuities, and Alternative Investment Product Instrument Types.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Instrument Class for the instrument being added to the system.</li> <li>• For replacement actions, this field will reflect the Instrument Class for the instrument being added to the system.</li> <li>• For attribute change actions, this field will reflect the Instrument Class as of the Inception date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Instrument Class of the instrument being reinstated to the NFN system.</li> </ul>
Instrument Class- Current	Text up to 50 characters	<p>Denotes the Share Class for the NFN instrument.</p> <p>Please note this field is only populated for all instruments with Mutual Funds, Money Market Funds, Annuities, and Alternative Investment Product Instrument Types.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will reflect the Instrument Class for the instrument being added to the system.</li> <li>• For replacement actions, this field will reflect the Instrument Class for the instrument being added to the system.</li> <li>• For attribute change actions, this field will reflect the Instrument Class as of the Inception date.</li> <li>• For deletion actions, this field will not be populated.</li> <li>• For restore actions, this field will reflect the Instrument Class of the instrument being reinstated to the NFN system.</li> </ul>
Product Symbol- New	13 characters, alphanumeric	<p>Denotes the Product Symbol for NFN instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>• For addition actions, this field will be created by NFN Operations and instruments assigned.</li> <li>• For replacement actions, this field not be populated for UITs.</li> <li>• For attribute change actions, this field will not change with attribute changes.</li> <li>• For deletion actions, this field will not be populated.</li> </ul>



Data Field	Field Format	Description
Product Symbol-Current	13 characters, alphanumeric	<p>Denotes the Product Symbol for NFN instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will be created by NFN Operations and instruments assigned.</li> <li>For replacement actions, this field not be populated for UITs.</li> <li>For attribute change actions, this field will not change with attribute changes.</li> <li>For deletion actions, this field will not be populated.</li> </ul>
Nasdaq Security Master	10 characters, alphanumeric	<p>Denotes the Nasdaq Security Master, as created by the NFN system, for the NFN instrument as of the System Effective Date.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Nasdaq Security Master for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the Nasdaq Security Master for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Nasdaq Security Master as of the System effective date.</li> <li>For deletion actions, this field will reflect the Nasdaq Security Master for the instrument being removed from the system.</li> <li>For restore actions, this field will reflect the Nasdaq Security Master for the instrument being reinstated to the NFN system.</li> </ul>
Vehicle Legal Structure – Current	100 characters, alphanumeric	<p>Indicates how the instrument is currently represented or registered as with a regulation body.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Vehicle Legal Structure in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the Vehicle Legal Structure for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Vehicle Legal Structure – New	100 characters, alphanumeric	<p>Indicates how the instrument is represented or registered as with a regulation body.</p> <p>The processing rules by action are as follows:</p>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For addition actions, this field will be populated.</li> <li>For replacement actions, this field will reflect instrument registration for incoming instrument.</li> <li>For attribute change actions, this field will reflect the updated Instrument Registration for the NFN system.</li> <li>For deletion actions, this field will not be supported.</li> <li>For restore actions, this field will reflect the Vehicle Legal Structure for the reinstated instrument.</li> </ul>
Instrument Performance – Current	40 characters, alphanumeric	<p>Indicates the current performance of the instrument: Aggregate or Model. This field will only be populated for Managed Accounts and Separate Accounts.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the Instrument Performance in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the Instrument Performance for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
Instrument Performance – New	40 characters, alphanumeric	<p>Indicates the new performance of the instrument: Aggregate or Model. This field will only be populated for Managed Accounts and Separate Accounts.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will be populated.</li> <li>For replacement actions, this field will not be populated.</li> <li>For attribute change actions, this field will reflect the updated Instrument Performance for the NFN system.</li> <li>For deletion actions, this field will not be supported.</li> <li>For restore actions, this field will reflect the Instrument Performance for the reinstated instrument.</li> </ul>
Rebalance Frequency – Current	50 characters, alphanumeric	<p>Indicates the current frequency of buying and selling securities of the portfolio to set the weight of each asset class back to its original state of investment strategy. This field will only be populated for Managed Accounts and Separate Accounts.</p> <p>The processing rules by action are as follows:</p>

Data Field	Field Format	Description										
		<ul style="list-style-type: none"><li>For addition actions, this field will not be populated.</li><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the Rebalance Frequency in system on the Daily List posting date.</li><li>For deletion actions, this field will reflect the Rebalance Frequency for the instrument being removed from the system.</li><li>For restore actions, this field will not be populated.</li></ul>										
Rebalance Frequency – New	50 characters, alphanumeric	<p>Indicates the new frequency of buying and selling securities of the portfolio to set the weight of each asset class back to its original state of investment strategy. This field will only be populated for Managed Accounts and Separate Accounts.</p> <table><tr><th>Value</th></tr><tr><td>Intraday</td></tr><tr><td>Daily</td></tr><tr><td>Weekly</td></tr><tr><td>Monthly</td></tr><tr><td>Bi-Monthly</td></tr><tr><td>Quarterly</td></tr><tr><td>Semi-Annual</td></tr><tr><td>Annually</td></tr><tr><td>Other</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will be populated.</li><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the updated Rebalance Frequency for the NFN system.</li><li>For deletion actions, this field will not be supported.</li><li>For restore actions, this field will reflect the Rebalance Frequency for the reinstated instrument.</li></ul>	Value	Intraday	Daily	Weekly	Monthly	Bi-Monthly	Quarterly	Semi-Annual	Annually	Other
Value												
Intraday												
Daily												
Weekly												
Monthly												
Bi-Monthly												
Quarterly												
Semi-Annual												
Annually												
Other												
Number of Accounts	10 characters, alphanumeric	<p>Denotes the number of accounts for the instrument. This field will only be populated for Managed Accounts and Separate Accounts.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Number of Accounts for the instrument being added.</li></ul>										

Data Field	Field Format	Description								
		<ul style="list-style-type: none"><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the Number of Accounts as of the date listed below.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Number of Accounts from the most recent NFN application for the instrument being reinstated to the NFN system.</li></ul>								
Number of Accounts Date	Date, MM/DD/YYYY	Indicates the “As of” Date associated with the Number of Accounts field. Field will be stated in MM/DD/YYYY format if available. This field will only be populated if the Number of Accounts is provided.								
GIPS Compliant	1 character, alpha	<p>Denotes that the Instrument is compliant with the Global Investment Performance Standards (GIPS). This field will only be populated for Managed Accounts, Separate Accounts, and Collective Investment Trusts. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this instrument is GIPS Compliant.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this instrument is not GIPS Compliant.</td></tr><tr><td></td><td></td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the GIPS Compliance status for instrument being added.</li><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the GIPS Compliance flag as of the Daily List posting date.</li><li>For deletion actions, this field will reflect the GIPS Compliance flag for the instrument being deleted.</li><li>For restore actions, this field will not be populated.</li></ul>	Code	Value	T	True. NFN issuer has indicated that this instrument is GIPS Compliant.	F	False. NFN issuer has indicated that this instrument is not GIPS Compliant.		
Code	Value									
T	True. NFN issuer has indicated that this instrument is GIPS Compliant.									
F	False. NFN issuer has indicated that this instrument is not GIPS Compliant.									
Insured	20 characters, alphanumeric	<p>Denotes whether the instrument is insured by FDIC or others, for Demand Deposit Accounts only. Allowable values are:</p> <table><tr><th>Value</th></tr><tr><td>FDIC</td></tr><tr><td>Other</td></tr><tr><td>Not Applicable</td></tr></table> <p>The processing rules by action are as follows:</p>	Value	FDIC	Other	Not Applicable				
Value										
FDIC										
Other										
Not Applicable										

Data Field	Field Format	Description						
		<ul style="list-style-type: none"><li>For addition actions, this field will reflect the Insured status for instrument being added.</li><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the Insured status as of the System Effective Date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Insured status for the instrument being reinstated to the NFN system.</li></ul>						
Insured Amount	9 characters, numeric	<p>Indicates the amount of investment in Demand Deposit Account that is being insured. Data Format: \$\$\$\$\$\$.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Insured Amount for the instrument being added.</li><li>For replacement actions, this field will not be populated.</li><li>For attribute change actions, this field will reflect the Insured Amount as of the date listed below.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Insured Amount from the latest NFN application for the instrument being reinstated to the NFN system.</li></ul>						
Notes for Daily List Record	Text up to 300 characters	<p>Denotes any special processing notes from NFN Operations related to the NFN instrument’s action.</p> <p>Please note that it is Nasdaq’s practice for the NFN Operations team to populate this notes field for corrected actions, withdrawn actions and restore actions.</p> <p>Please also note that it is Nasdaq’s practice to show the most recent note associated with the instrument action on the Next Day version of the NFN Daily List.</p>						
Model Portfolio	1 characters, Alpha	<p>Denotes that the Instrument is a Model Portfolio. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. The instrument is a Model Portfolio.</td></tr><tr><td>F</td><td>False. The instrument is not a Model Portfolio.</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Flag for the instrument being added.</li></ul>	Code	Value	T	True. The instrument is a Model Portfolio.	F	False. The instrument is not a Model Portfolio.
Code	Value							
T	True. The instrument is a Model Portfolio.							
F	False. The instrument is not a Model Portfolio.							

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For replacement actions, this field will reflect the Flag for the instrument being added.</li> <li>For attribute change actions, this field will reflect the Flag as of the Corporate Action Date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, the field will reflect the Flag for the instrument being reinstated to the NFN system.</li> </ul> <p>Please note that Nasdaq will populate this field as “N” if not provided by the Issuer.</p>
FIGI - Current (New field as of 10/21/2024)	12 characters, alphanumeric	<p>Denotes the FIGI identifier as assigned by Bloomberg</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will not be populated.</li> <li>For replacement actions, this field will reflect the FIGI for the instrument being replaced in the system.</li> <li>For instrument attribute change actions, this field will reflect the FIGI in system on the Daily List posting date.</li> <li>For deletion actions, this field will reflect the FIGI for the instrument being removed from the system.</li> <li>For restore actions, this field will not be populated.</li> </ul>
FIGI - New (New field as of 10/21/2024)	12 characters, alphanumeric	<p>Denotes the FIGI identifier as assigned by Bloomberg</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the FIGI for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the FIGI for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the FIGI as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the FIGI for the instrument being reinstated to the NFN system</li> </ul>
SRRI (New field as of 10/21/2024)	1 character, numeric	<p>Denotes the measurement of Risk and Reward of a UCITS instrument.</p> <p>Please note this field is required for UCITS registered instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the SRRI for the instrument being added to the system.</li> </ul>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For replacement actions, this field will not reflect the SRRI for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the SRRI as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the SRRI for the instrument being reinstated to the NFN system.</li> </ul>
SRRI Record Date (New field as of 10/21/2024)	Date, MM/DD/YYYY	<p>Denotes the date of the SRRI rating.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the SRRI Record Date for the instrument being added to the system.</li> <li>For replacement actions, this field will not reflect the SRRI Record Date for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the SRRI Record Date as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the SRRI Record Date for the instrument being reinstated to the NFN system.</li> </ul> <p>UCITS field</p>
Minimal Initial Subscription Amount in Shares (New field as of 10/21/2024)	4 characters, numeric	<p>Denotes the Minimal Initial Subscription Amount in Shares for the NFN instrument as of the Corporate Action date. Data format XXXX.</p> <p>Please note that the Minimal Initial Subscription Amount in Shares is an optional data field for UCITS registered instruments.</p> <ul style="list-style-type: none"> <li>The processing rules by action are as follows:For addition actions, this field will reflect the Minimal Initial Subscription Amount in Shares for the instrument being added to the system.</li> <li>For replacement actions, this field will not reflect the Minimal Initial Subscription Amount in Shares for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Minimal Initial Subscription Amount in Shares as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> </ul>

Data Field	Field Format	Description																				
		<ul style="list-style-type: none"><li>For restore actions, this field will reflect the Minimal Initial Subscription Amount in Shares for the instrument being reinstated to the NFN system.</li></ul>																				
Minimal Subsequent Subscription Amount in Shares (New field as of 10/21/2024)	4 characters, numeric	<p>Denotes the Minimal Subsequent Subscription Amount in Shares for the NFN instrument as of the Corporate Action date. Data format XXXX.</p> <p>Please note that the Minimal Subsequent Subscription Amount in Shares is an optional data field for UCITS registered instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Minimal Subsequent Subscription Amount in Shares for the instrument being added to the system.</li><li>For replacement actions, this field will not reflect the Minimal Subsequent Subscription Amount in Shares for the instrument being added to the system.</li><li>For attribute change actions, this field will reflect the Minimal Subsequent Subscription Amount in Shares as of the System effective date.</li><li>For deletion actions, this field will not be populated.</li><li>For restore actions, this field will reflect the Minimal Subsequent Subscription Amount in Shares for the instrument being reinstated to the NFN system.</li></ul>																				
Frequency of Subscription (New field as of 10/21/2024)	1 character, alpha	<p>Denotes Frequency of Subscription as indicated in the KIDD for UCITS registered instruments on NFN.</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Monthly</td></tr><tr><td>M</td><td>Bi-Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annually</td></tr><tr><td>O</td><td>Other</td></tr></table> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"><li>For addition actions, this field will reflect the Frequency of Subscription for the instrument being added to the system.</li><li>For replacement actions, this field will not reflect the Frequency of Subscription for the instrument being added to the system.</li></ul>	Code	Value	I	Intraday	D	Daily	W	Weekly	B	Monthly	M	Bi-Monthly	Q	Quarterly	S	Semi-Annual	A	Annually	O	Other
Code	Value																					
I	Intraday																					
D	Daily																					
W	Weekly																					
B	Monthly																					
M	Bi-Monthly																					
Q	Quarterly																					
S	Semi-Annual																					
A	Annually																					
O	Other																					



Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For attribute change actions, this field will reflect the Frequency of Subscription as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Frequency of Subscription for the instrument being reinstated to the NFN system.</li> </ul> <p>UCITS field</p>
529 State (New field as of 10/21/2024)	2 characters, alpha	<p>Denotes the sponsor state for the 529 instrument. For this field Nasdaq will use <a href="#">ISO 3166 US state codes</a>.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the 529 State for the instrument being added to the system.</li> <li>For replacement actions, this field will not reflect the 529 State for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the 529 State as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the 529 State for the instrument being reinstated to the NFN system.</li> </ul>
Share Class Launch Date (New field as of 10/21/2024)	Date, MM/DD/YYYY	<p>Denotes the Share Class Launch Date for the NFN registered instrument.</p> <p>Please note that the Share Class Launch Date is an optional data field for UCITS registered instruments.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Share Class Launch Date for the instrument being added to the system.</li> <li>For replacement actions, this field will not reflect the Share Class Launch Date for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Share Class Launch Date as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Share Class Launch Date for the instrument being reinstated to the NFN system.</li> </ul>

NFN Daily List

Data Field	Field Format	Description
<b>Last Primary Trade Date</b> (New field as of 10/21/2024)	Date, MM/DD/YYYY	<p>Denotes the last date the instrument prices in the primary market.</p> <p>Please note Last Primary Trade Date is an optional Unit Investment Trust (UIT) field.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Last Primary Trade Date for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the Last Primary Trade Date for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Last Primary Trade Date as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> </ul> <p>For restore actions, this field will reflect the Last Primary Trade Date for the instrument being reinstated to the NFN system.</p>
<b>Closed Date</b> (New field as of 10/21/2024)	Date, MM/DD/YYYY	<p>Denotes the date the NFN instrument primary market phase closes.</p> <p>Please note Closed Date is an optional Unit Investment Trust (UIT) field.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Closed Date for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the Closed Date for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Closed Date as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Closed Date for the instrument being reinstated to the NFN system.</li> </ul>
<b>Secondary Date</b> (New field as of 10/21/2024)	Date, MM/DD/YYYY	<p>Denotes the first date that the NFN instrument trades in the secondary market.</p> <p>Please note Secondary Date is an optional Unit Investment Trust (UIT) field.</p> <p>The processing rules by action are as follows:</p>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Secondary Date for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the Secondary Date for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Secondary Date as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Secondary Date for the instrument being reinstated to the NFN system.</li> </ul>
Minimum Initial IRA (New field as of 10/21/2024)	12 characters, numeric	<p>Denotes the Minimum Initial IRA per account you can purchase of a Unit Investment Trust (UIT). Data format XXXXXXXX.xx.</p> <p>Please note Minimum Initial IRA is an optional Unit Investment Trust (UIT) field.</p> <p>The processing rules by action are as follows:</p> <ul style="list-style-type: none"> <li>For addition actions, this field will reflect the Minimum Initial IRA for the instrument being added to the system.</li> <li>For replacement actions, this field will reflect the Minimum Initial IRA for the instrument being added to the system.</li> <li>For attribute change actions, this field will reflect the Minimum Initial IRA as of the System effective date.</li> <li>For deletion actions, this field will not be populated.</li> <li>For restore actions, this field will reflect the Minimum Initial IRA for the instrument being reinstated to the NFN system.</li> </ul>
System Note (New field as of 10/21/2024)	Text up to 300 characters	<p>Denotes any special processing notes from NFN Operations for the current business day that are not NFN instrument specific.</p> <p>This field <b>does not</b> apply to the individual Daily List records, this field is previously part of the "Closing Record" and is the field previously known as "Note for Day".</p>

**Closing Record (REMOVED as of 10/21/2024)**

Data Field	Field Format	Description
Parameter (Removed as of 10/21/2024)	40 characters, alphanumeric (including special characters)	Restatement of the file query parameter as entered by the user.  Daily List File Name: DLAdvance or DLNextDay  Date of Daily List: MM/DD/YYYY
Note for Day (Removed as of 10/21/2024)	Text up to 300 characters	Denotes any special processing notes from NFN Operations for the current business day that are not NFN instrument specific.

**Event Code Descriptions**

As noted above, each NFN Daily List record includes an Event Code to denote the type of record change that is being reported. In the table below, Nasdaq outlines how the Event Codes will be generated.

Event Codes	Event Description	Daily List Version	Daily List Processing Notes
Addition	A new NFN registration application submitted with final documentation	Advanced Notification  Next Day	Supported on all versions of Daily List files.  On the Advanced Notification list, NFN Operations will post an Addition record as soon as it notified of the planned action. If the issuer changes its plans, NFN Operations may post multiple Addition records to the Advanced Notification list.  On the Next Day list, NFN will only show the final Addition record.
Deletion	A delete instrument request for an existing NFN instrument	Advanced Notification  Next Day	Supported on all versions of the Daily List files.  On the Advanced Notification list, NFN Operations will post a Deletion record as soon as it notified of the planned action. If the issuer changes its plans, NFN Operations may post multiple Deletion records to the Advanced Notification list.  On the Next Day list, NFN will only show the final Deletion record.
Replacement	A combined action in which a firm is adding a new instrument at the same time as it is deleting an expiring instrument	Advanced Notification  Next Day	Supported on all versions of Daily List files.  On the Advanced Notification list, NFN Operations will post a Replacement record as soon as it notified of the planned action. If the issuer changes its plans, NFN Operations may post multiple Replacement records to the Advanced Notification list.  On the Next Day list, NFN will only show the final Replacement record.

# NFN Daily List

Attribute Change	A modification to one of the security attributes for a live NFN instrument. Firms should compare current and new field values to determine the fields impacted by the change request.	Advance Notifications  Next Day	Supported on all versions of Daily List files.  Corporate Action Date = Date NFN Issuer reported that the security change action was instituted on its end.  On the Advanced Notification list, NFN Operations will post an Attribute Change record as soon as it notified of the planned action. If the issuer changes its plans, NFN Operations may post multiple Attribute Change records to the Advanced Notification list.  On the Next Day list, NFN will only show the final Attribute Change record.
Restore	A reversal of a NFN instrument deletion.	Advanced Notification  Next Day	If an instrument is removed from the NFN system in error, Nasdaq will use the Restore event code to reverse the Deletion action. Given that most firms want to resume pricing of an instrument as quickly as possible, the Restore records should always appear in the Next Day file.
Withdraw – Addition	A cancellation of a previously announced Addition to the NFN system.	Advanced Notification  Next Day	As noted above, Nasdaq will be adding Withdraw event codes to notify the vendor community of a cancelled NFN listing action.  The Withdraw event should always appear on the Advanced Notification list.  The Withdraw event will only appear on the Next Day list, however, if the issuer waits to the last minute to notify NFN Operations of the cancelled action.
Withdraw – Deletion	A cancellation of a previously announced Deletion from the NFN system.	Advanced Notification  Next Day	As noted above, Nasdaq will be adding Withdraw event codes to notify the vendor community of a cancelled NFN listing action.  The Withdraw event should always appear on the Advanced Notification list.  The Withdraw event will only appear on the Next Day list, however, if the issuer waits to the last minute to notify NFN Operations of the cancelled action.
Withdraw – Replacement	A cancellation of a previously announced Replacement action on the NFN system.	Advanced Notification  Next Day	As noted above, Nasdaq will be adding Withdraw event codes to notify the vendor community of a cancelled NFN listing action.  The Withdraw event should always appear on the Advanced Notification list.

# NFN Daily List

			The Withdraw event will only appear on the Next Day list, however, if the issuer waits to the last minute to notify NFN Operations of the cancelled action.
Withdraw – Attribute Change	A cancellation of a previously announced Attribute Change.	Advanced Notification Next Day	<p>As noted above, Nasdaq will be adding Withdraw event codes to notify the vendor community of a cancelled NFN listing action.</p> <p>The Withdraw event should always appear on the Advanced Notification list.</p> <p>The Withdraw event will only appear on the Next Day list, however, if the issuer waits to the last minute to notify NFN Operations of the cancelled action.</p>
Withdraw – Restore	A cancellation of a previously announced NFN instrument restore	Advanced Notification Next Day	Although Nasdaq would rarely, if ever, use this event code, it could theoretically need to withdraw a NFN instrument restore action. If it were to need to cancel the action, the Withdraw event would appear on both the Advanced Notification and Next Day lists.

### Daily List Processing Summary

The following table summarizes each data field will be populated by Event Code.

- X = Required
- O = Optional
- Blank = NA

Field	Daily List Action					Security Limitations or Notes
	Addition	Replacement	Attribute Change	Deletion	Restore	
System Effective Date	X	X	X	X	X	
Event Code	X	X	X	X	X	
Corporate Action Date			X	X		
Instrument Type / Tier – Current		Outgoing Instrument	X	X		
Instrument Type / Tier – New	X	Incoming Instrument	X		X	
Instrument Code – Current		Outgoing Instrument	X	X		
Instrument Code – New	X	Incoming Instrument	X		X	
Symbol – Current		Outgoing Instrument	X	X		
Symbol – New	X	Incoming Instrument	X		X	
CUSIP – Current		Outgoing Instrument	X	X		
CUSIP – New	X	Incoming Instrument	X		X	
Instrument Name – Current		Outgoing Instrument	X	X		
Instrument Name - New	X	Incoming Instrument	X		X	
Issuer Name - Current		Outgoing Instrument	X	X		
Issuer Name - New	X	Incoming Instrument	X		X	
Exchange Code for Listed Instruments – Current			O	O		Closed End Funds, Structured Products, NextShares
Exchange Code for Listed Instruments – New	O		O		O	Closed End Funds, Structured Products, NextShares
Exchange Symbol for Listed Instruments – Current			O	O		Closed End Funds, Structured Products, NextShares
Exchange Symbol for Listed Instruments – New	O		O		O	Closed End Funds, Structured Products, NextShares
Newspaper Heading - Current			O	O		Mutual Funds - News Media; Money Market Fund - New Media
Newspaper Heading – New	O		O		O	
Newspaper Symbol – Current			O	O		Mutual Funds - News Media; Money Market Fund - New Media
Newspaper Symbol – New	O		O		O	
Pricing Agent - Current		Outgoing Instrument	X	X		

## NFN Daily List

Field	Daily List Action					Security Limitations or Notes
	Addition	Replacement	Attribute Change	Deletion	Restore	
Pricing Agent - New	X	Incoming Instrument	X		X	
Pricing Frequency – Current		Outgoing Instrument	X	X		
Pricing Frequency – New	X	Incoming Instrument	X		X	
Country of Issuance	X	Incoming Instrument	X	X	X	Default value is US
ISIN - Current		Outgoing Instrument	O	X	O	Required for international listings
ISIN – New	O	Incoming Instrument	O	X	O	Required for international listings
Currency	X	Incoming Instrument	X	X	X	Default value is USD
Inception Date	X	Incoming Instrument	X		X	
NAV on Inception Date	O	Incoming Instrument	O		O	
Initial Net Assets	O	Incoming Instrument	O		O	
Minimum Initial Subscription	O	Incoming Instrument	O		O	
Minimum Incremental Subscription	O	Incoming Instrument	O		O	
Open To New Investors	X	Incoming Instrument	X		X	Default value is Y
Number of Shareholders	O	Incoming Instrument	O		O	News media list funds must provide either shareholder or asset information at time of listing / tier upgrade
Number of Shareholders Date	O	Incoming Instrument	O		O	
Total Shares Outstanding (TSO)	O	Incoming Instrument	O		O	
TSO Date	O	Incoming Instrument	O		O	
Total Net Assets	O	Incoming Instrument	O		O	News media list funds must provide either shareholder or asset information at time of listing / tier upgrade
Total Net Assets Date	O	Incoming Instrument	O		O	
Deposit Date - Current		Outgoing Instrument	O	O		Required for UITs
Deposit Date - New	O	Incoming Instrument	O		O	Required for UITs
Termination Date – Current		Outgoing Instrument	O	O		Required for UITs
Termination Date - New	O	Incoming Instrument	O		O	Required for UITs
Distribution Frequency – Current		Outgoing Instrument	O	O		Required for UITs
Distribution Frequency – New	O	Incoming Instrument	O		O	Required for UITs
Distribution Type – Current		Outgoing Instrument	O	O		Required for UITs
Distribution Type - New	O	Incoming Instrument	O		O	Required for UITs



## NFN Daily List

Field	Daily List Action					Security Limitations or Notes
	Addition	Replacement	Attribute Change	Deletion	Restore	
Par Value Per Share/Unit	O	Incoming Instrument	O	O	O	
Deletion Reason				X		
Symbol for Merger / Acquisition				O		Populated only if deletion reason is A, M, R or V
CUSIP for Merger / Acquisition				O		Populated only if deletion reason is A, M, R or V
Document Available	X	X	X	X	X	
NSCC Clearing Eligible - Current		Outgoing Instrument	O	O		
NSCC Clearing Eligible – New	O	Incoming Instrument	O		O	
Test Symbol Flag	X	Both	X	X	X	
Symbol Reuse Flag	X	Incoming Instrument	New Symbol			
Instrument Registration – Current		Outgoing Instrument	X	X		
Instrument Registration – New	X	Incoming Instrument	X		X	
Investor Type – Current	O	Outgoing Instrument	O	O		
Investor Type – New	O	Incoming Instrument	O		O	
Instrument Class – Current		Outgoing Instrument	X	X		
Instrument Class – New	X	Incoming Instrument	X		X	
Product Symbol – Current		Outgoing Instrument	O	O	O	
Product Symbol - New	O	O	O	O	O	
Nasdaq Security Master	X	Incoming Instrument	X	X	X	
Vehicle Legal Structure - Current		Outgoing Instrument	O	O		
Vehicle Legal Structure - New	O	Incoming Instrument	O		O	
Instrument Performance - Current			O	O		Managed Accounts and Separate Accounts
Instrument Performance - New	O		O		O	Managed Accounts and Separate Accounts
Rebalance Frequency - Current			O	O		Managed Accounts and Separate Accounts
Rebalance Frequency - New	O		O		O	Managed Accounts and Separate Accounts
Number of Accounts	O		O		O	Managed Accounts and Separate Accounts
Number of Accounts Date	O		O		O	Managed Accounts and Separate Accounts
Assets Under Management		Outgoing Instrument	O	O		
Assets Under Management Date	O	Incoming Instrument	O		O	
GIPS Compliant	X		X		X	Managed Accounts, Separate Accounts, and Collective Investment Trusts

## NFN Daily List

Field	Daily List Action					Security Limitations or Notes
	Addition	Replacement	Attribute Change	Deletion	Restore	
Insured	O	Incoming Instrument	O		O	Demand Deposit Accounts
Insured Amount	O	Incoming Instrument	O		O	Demand Deposit Accounts
Notes for Daily List entry	O	O	O	O	O	Field will be populated on needed basis.
Model Portfolio	X	Both	X	X	X	
FIGI – Current	O		O	O	O	
FIGI – New	O		O	O	O	
SSRI	O		O	O	O	Required for UCITS
SSRI Record Date	O		O	O	O	Required for UCITS
Min. Initial Subscription Amount in Shares	O		O	O	O	UCITS
Min. Subsequent Subscription Amount in Shares	O		O	O	O	UCITS
Frequency of Subscription	O		O	O	O	UCITS
529 State	O		O	O	O	
Share Class Launch Date	O	O	O	O	O	UCITS
Last Primary Trade Date	O	O	O	O	O	UIT
Closed Date	O	O	O	O	O	UIT
Secondary Date	O	O	O	O	O	UIT
Minimum Initial IRA	O	O	O	O	O	UIT

### NFN Daily List Posting Time

The NFN Daily List posting is a manual process performed by the NFN Operations department. NFN Operations will make every attempt to post the NFN Daily List files by 12 noon, ET. On occasion, NFN Operations may modify a record after the initial NFN Daily List files are posted. Nasdaq, therefore, recommends that firms check the NFN website for NFN Daily List file updates up until 6:00 p.m., Eastern Time.

## NFN Directory

### Web Service Parameters

To retrieve the NFN Directory, Web Service Users shall need to enter a call with the following parameters:

- **Documentation File Name:** User should enter **InstrumentDirectory**.
- **Date of Directory:** Data should be entered in MM-DD-YYYY or MM/DD/YYYY format. This is an optional operator.
- **File Type:** Data should indicate requested file format. Options: "XML" for XML formatted text, "pipe" for pipe (|) delimited text, "CSV" for CSV formatted text, or "JSON" for JSON format.
  - File type will be requested via Accept HTTP Header. Supported values for Accept Header are: text/csv, text/json, text/pipe, type/xml

<https://nfn.nasdaq.com/servicecall/InstrumentDirectory.ashx?Date=MM-DD-YYYY&Type=pipe>

**New NFN Web Service calls as of October 21, 2024:**

<https://newnfn.nasdaq.com/servicecall/InstrumentDirectory.ashx>

### Directory File Format

Nasdaq will update its NFN Directory file to reflect of the active instruments at the start of each business day. Within the file, Nasdaq will include a header row with the field names. Within the file, the individual security records will appear as outlined below in alphabetic order based on the NFN Symbol field. As the last record in the file, Nasdaq will denote the Web Service request date (MM/DD/YYYY) and Web Service request time (HHMMSS).

### Security Level Details

Data Field	Field Format	Description																
Symbol	11 characters, alphanumeric	Denotes the current Nasdaq-assigned identifier for NFN instrument.																
Instrument Name	Text up to 150 characters	Denotes the name of the NFN instrument as it appears on the prospectus document.  Abbreviations may be used for NFN issue names over 150 characters.																
Issuer Name	Text up to 75 characters	Denotes the firm name for the issuer of the NFN instrument.																
Instrument Type / Tier	2 characters, alphanumeric	Denotes the NFN security class and listing tier for the instrument. Allowable values are: <table><tr><th>Code</th><th>Value</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>SP</td><td>Structured Product</td></tr></table>	Code	Value	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	SP	Structured Product
Code	Value																	
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																	
SP	Structured Product																	

Data Field	Field Format	Description																																																												
		<table><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr><tr><td>CT</td><td>Collective Investment Trust</td></tr><tr><td>MA</td><td>Managed Accounts</td></tr><tr><td>SA</td><td>Separate Accounts</td></tr><tr><td>HF</td><td>Hedge Fund</td></tr><tr><td>DD</td><td>Demand Deposit Account</td></tr></table>	AP	Alternative Investment Product (AIP)	EM	NextShares Exchange Traded Managed Fund	CT	Collective Investment Trust	MA	Managed Accounts	SA	Separate Accounts	HF	Hedge Fund	DD	Demand Deposit Account																																														
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Instrument Code	1 character, alphanumeric	<p>Indicates the general investment strategy or sub-category for the NFN instrument. The allowable values are:</p> <table><thead><tr><th>Code</th><th>Value</th></tr></thead><tbody><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>Interval Fund</td></tr><tr><td>Z</td><td>Tender Offer Fund</td></tr><tr><td colspan="2"><i>Money Market Funds (Types \$\$ and \$\$)</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></td><td></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 – Growth</td></tr><tr><td>S</td><td>Structured Product – Income</td></tr><tr><td>T</td><td>Structured Product – Digital</td></tr><tr><td>U</td><td>Structured Product – Growth and Income</td></tr><tr><td>V</td><td>Structured Product – Commodity / FX</td></tr><tr><td>W</td><td>Structured Product – Rates</td></tr><tr><td>L</td><td>Structured Product – Other</td></tr><tr><td colspan="2"><i>Alternative Investment Products (Type AP)</i></td></tr><tr><td>B</td><td>Managed Future Fund</td></tr><tr><td>F</td><td>Fund of Hedge Fund</td></tr><tr><td>I</td><td>Non-Traded REIT</td></tr><tr><td>J</td><td>Non-Traditional Hedge Fund (Registered)</td></tr></tbody></table>	Code	Value	<i>Mutual Funds (Types MF and MS)</i>		O	Mutual Fund – Open End	C	Mutual Fund – Closed End	Y	Interval Fund	Z	Tender Offer Fund	<i>Money Market Funds (Types \$\$ and \$\$)</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 – Growth	S	Structured Product – Income	T	Structured Product – Digital	U	Structured Product – Growth and Income	V	Structured Product – Commodity / FX	W	Structured Product – Rates	L	Structured Product – Other	<i>Alternative Investment Products (Type AP)</i>		B	Managed Future Fund	F	Fund of Hedge Fund	I	Non-Traded REIT	J	Non-Traditional Hedge Fund (Registered)
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Country of Issuance	3 characters, alphanumeric	Denotes listed as the primary registration location for the issuance. For this field, Nasdaq will use <a href="#">ISO 3166 country codes</a> .																														
CUSIP	9 characters, alphanumeric	Denote the current CUSIP as provided by the NFN Issuer.  Please note that Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.																														
ISIN	12 characters, alphanumeric	Denotes the current International Security Identification Number (ISIN) for the NFN Instrument as provided by the NFN Issuer. The ISIN should map to the country of issuance.  (Note: This field is optional for NFN instruments based in the United States.)																														
Currency	3 characters, alphanumeric	Denotes the currency in which the NFN instrument will submit valuation data as of System Effective Date. Nasdaq will use the <a href="#">GitHub currency alphabetic codes</a> for this field. The default value is “USD”.																														
Pricing Agent (Removed as of 10/21/24)	Text up to 150 characters	Denotes the name of the firm responsible for reporting valuation data for the NFN instrument.																														
Pricing Frequency	1 character, alphanumeric	Denotes the frequency at which the NFN pricing agent is expected to report valuation information, such as net asset values (NAVs) and offer / market prices, for the instrument. Allowable values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily (Default)</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Bi-weekly</td></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr></table>	Code	Value	I	Intraday	D	Daily (Default)	W	Weekly	B	Bi-weekly	M	Monthly	Q	Quarterly																
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A	Annually															
Distribution Type	2 characters, alphanumeric	<p>Indicates the distribution type listed in the NFN system for the instrument. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>C</td><td>Cash</td></tr><tr><td>R</td><td>Reinvest</td></tr><tr><td>W</td><td>Wrap</td></tr><tr><td>RC</td><td>Reinvest Cash</td></tr><tr><td>RW</td><td>Reinvest Wrap</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table>	Code	Value	C	Cash	R	Reinvest	W	Wrap	RC	Reinvest Cash	RW	Reinvest Wrap	<space>	Not available
Code	Value															
C	Cash															
R	Reinvest															
W	Wrap															
RC	Reinvest Cash															
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<space>	Not available															
Distribution Frequency	1 character, alphanumeric	<p>Indicates the expected distribution frequency for the instrument. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annual</td></tr><tr><td>A</td><td>Annual</td></tr><tr><td>D</td><td>Distributes on Termination</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table>	Code	Value	M	Monthly	Q	Quarterly	S	Semi-Annual	A	Annual	D	Distributes on Termination	<space>	Not available
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A	Annual															
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<space>	Not available															
Inception Date	10 characters, numeric	Denotes the date on which the NFN instrument was created by the NFN Issuer. Date field is stored in MM/DD/YYYY format.														
Minimal Initial Subscription	12 characters, alphanumeric	<p>Denotes the minimum initial investment amount for a new investor in the NFN instrument.</p> <p>If provided, the value will be stated in \$\$\$\$\$\$.dd format (inclusive of the decimal points).</p> <p>If unavailable, the field will be space filled.</p>														
Minimal Incremental Subscription	12 characters, alphanumeric	<p>Denotes the minimum incremental investment amount for an existing investor in the NFN instrument.</p> <p>If provided, the value will be stated in \$\$\$\$\$\$.dd format (inclusive of the decimal points).</p> <p>If unavailable, the field will be space filled.</p>														
Open To New Investors	1 character, alphanumeric	<p>Denotes if the NFN instrument is closed to new investors. Allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>F</td><td>Closed to New Investors</td></tr><tr><td>T</td><td>Open to New Investors</td></tr></table>	Code	Value	F	Closed to New Investors	T	Open to New Investors								
Code	Value															
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T	Open to New Investors															
Exchange Code for Listed Instruments	4 characters, alphanumeric	Denotes the <a href="#">ISO 10383 Market Identification Codes (MICs)</a> for the primary listing market center for a NFN instrument, if applicable.														

NFN Daily List

Data Field	Field Format	Description								
		(Note: In the U.S., this field is typically populated only for closed-end funds / exchange traded funds or structured products.)								
Exchange Symbol For Listed Instruments	11 characters, alphanumeric	Denotes the ticker identifier assigned by the primary listing market for the NFN instrument, if applicable.								
Newspaper Category	20 characters, alphanumeric	Denotes the fund family heading to be used for the NFN instrument in U.S. newspaper price tables. (Note: This field is only populated for the two news media list fund types – MF and \$\$.)								
Newspaper Abbreviation	16 characters, alphanumeric	Denotes the identifier to be used for the NFN instrument in U.S. newspaper price tables. (Note: This field is only populated for the two news media list fund types – MF and \$\$.)								
Deposit Date	10 character, numeric	Denotes the date on which the NFN instrument is scheduled to deposit. Please note that this field is typically populated for UITs and structured products. Date field is stored in MM/DD/YYYY.								
Termination Date	10 character, numeric	Denotes the date on which the NFN instrument is scheduled to mature or terminate. Please note that this field is typically populated for UITs and structured products. Date field is stored in MM/DD/YYYY.								
Par Value Per Unit / Share	12 characters, alphanumeric	<p>Denotes the par value per share or per unit for a NFN instrument. Please note that this field is typically only populated for debt-based instruments.</p> <p>If provided, the value will be stated in \$\$\$\$\$.dddddd format.</p> <p>If unavailable, this field will be space filled.</p>								
NSCC Clearing Eligible	1 character, alphanumeric	<p>Denotes if the NFN instrument is National Securities Clearing Corporation (NSCC) eligible. The allowable values are:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this instrument is NSCC clearing eligible.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN issuer did not provide NSCC eligibility status.</td></tr></table>	Code	Value	T	True. NFN issuer has indicated that this instrument is NSCC clearing eligible.	F	False. NFN issuer has indicated that this instrument is <u>not</u> NSCC clearing eligible.	<space>	Not available. NFN issuer did not provide NSCC eligibility status.
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<space>	Not available. NFN issuer did not provide NSCC eligibility status.									
Pricing Start Date	10 characters, numeric	<p>Denotes the date on which the NFN instrument started to remit net asset values (NAVs) and other valuation data via the NFN system.</p> <p>Please note that this field may be blank if the instrument has yet to remit valuation data to the NFN system.</p>								

Data Field	Field Format	Description																		
		Since Pricing Start Date and Inception Date may be different values, Nasdaq includes both fields in the NFN Directory file.																		
Instrument Registration	1 character, alpha	Denotes the current regulatory agency responsible for registration and/or oversight of NFN instrument. The allowable values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>S</td><td>U.S. Securities and Exchange Commission (SEC)</td></tr><tr><td>M</td><td>Instrument is filed with Municipal Securities Rulemaking Board (MSRB)</td></tr><tr><td>C</td><td>Commodity Futures Trading Commission (CTFC)</td></tr><tr><td>X</td><td>SEC Registration Exemption</td></tr><tr><td>N</td><td>Not Registered with U.S. Regulatory Agency</td></tr><tr><td>U</td><td>UCITS</td></tr><tr><td>A</td><td>Canadian Securities Administration (CSA)</td></tr><tr><td>O</td><td>Other</td></tr></table>	Code	Value	S	U.S. Securities and Exchange Commission (SEC)	M	Instrument is filed with Municipal Securities Rulemaking Board (MSRB)	C	Commodity Futures Trading Commission (CTFC)	X	SEC Registration Exemption	N	Not Registered with U.S. Regulatory Agency	U	UCITS	A	Canadian Securities Administration (CSA)	O	Other
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O	Other																			
Test Symbol Flag	1 character, alphanumeric	Denotes if the instrument is set up as a live or test issue currently in the NFN system. The allowable values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>NFN Test Symbol. Instrument is intended for test use only</td></tr><tr><td>F</td><td>NFN Live Symbol. Instrument is set up as live / production in NFN system</td></tr></table>	Code	Value	T	NFN Test Symbol. Instrument is intended for test use only	F	NFN Live Symbol. Instrument is set up as live / production in NFN system												
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Investor Type	1 character, alphanumeric	Denotes the target investor class for an instrument. The allowable values will be: <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Institutional Investors</td></tr><tr><td>R</td><td>Retail Investors, Both Retail and Institutional Investors</td></tr><tr><td>&lt;space&gt;</td><td>Not available</td></tr></table>	Code	Value	I	Institutional Investors	R	Retail Investors, Both Retail and Institutional Investors	<space>	Not available										
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R	Retail Investors, Both Retail and Institutional Investors																			
<space>	Not available																			
Instrument Class	50 character, alphanumeric	Denotes the instrument class for an instrument.																		
Product Symbol- New	Text 13 characters	Denotes the Product Symbol for NFN instruments.																		
Nasdaq Security Master	10 characters, alphanumeric	Denotes the Nasdaq Security Master, as created by the NFN system, for the NFN instrument as of the System Effective Date.																		
Vehicle Legal Structure	100 characters, alphanumeric	Indicates how the instrument is currently represented or registered as with a regulation body.																		



Data Field	Field Format	Description								
Instrument Performance	40 characters, alphanumeric	Indicates the current performance of the instrument: Aggregate or Model. This field will only be populated for Managed Accounts and Separate Accounts.								
Rebalance Frequency	50 characters, alphanumeric	Indicates the current frequency of buying and selling securities of the portfolio to set the weight of each asset class back to its original state of investment strategy. This field will only be populated for Managed Accounts and Separate Accounts.								
Number of Accounts	10 characters, alphanumeric	Denotes the number of accounts for the instrument. This field will only be populated for Managed Accounts and Separate Accounts.								
Number of Accounts Date	Date, MM/DD/YYYY	Indicates the “As of” Date associated with the Number of Accounts field. Field will be stated in MM/DD/YYYY format if available. This field will only be populated if the Total Net Assets is provided.								
GIPS Compliant	1 character, alpha	Denotes that the Instrument is compliant with the Global Investment Performance Standards. This field will only be populated for Managed Accounts, Separate Accounts, and Collective Investment Trusts. <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this instrument is GIPS Compliant.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this instrument is not GIPS Compliant.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN Issuer did not provide GIPS compliance status.</td></tr></table>	Code	Value	T	True. NFN issuer has indicated that this instrument is GIPS Compliant.	F	False. NFN issuer has indicated that this instrument is not GIPS Compliant.	<space>	Not available. NFN Issuer did not provide GIPS compliance status.
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F	False. NFN issuer has indicated that this instrument is not GIPS Compliant.									
<space>	Not available. NFN Issuer did not provide GIPS compliance status.									
Insured	20 characters, alphanumeric	Denotes whether the instrument is insured by FDIC or others, for Demand Deposit Accounts only. <table><tr><th>Value</th></tr><tr><td>FDIC</td></tr><tr><td>Other</td></tr><tr><td>Not Applicable</td></tr></table>	Value	FDIC	Other	Not Applicable				
Value										
FDIC										
Other										
Not Applicable										
Insured Amount	9 characters, numeric	Indicates the amount of investment in Demand Deposit Account that is being insured. Data Format: \$\$\$\$\$\$.								
Model Portfolio	1 characters, Alpha	Denotes that the instrument is a Model Portfolio. Allowable values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. The instrument is a Model Portfolio.</td></tr><tr><td>F</td><td>False. The instrument is not a Model Portfolio.</td></tr></table> <p>Please note that Nasdaq will populate this field as “F” if not provided by the Issuer.</p>	Code	Value	T	True. The instrument is a Model Portfolio.	F	False. The instrument is not a Model Portfolio.		
Code	Value									
T	True. The instrument is a Model Portfolio.									
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NFN Daily List

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FIGI - Current	12 characters, alphanumeric	Denotes the FIGI identifier as assigned by Bloomberg.																		
FIGI - New	12 characters, alphanumeric	Denotes the FIGI identifier as assigned by Bloomberg.																		
529 State	2 characters, alpha	Denotes the sponsor state for the 529 instrument. For this field Nasdaq will use ISO 3166 US state codes.																		
Frequency of Subscription (New field as of 10/21/2024)	1 character, alpha	Denotes Frequency of Subscription as indicated in the KIDD for UCITS registered instruments on NFN. <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily (Default)</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Bi-weekly</td></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annually</td></tr><tr><td>A</td><td>Annually</td></tr></table>	Code	Value	I	Intraday	D	Daily (Default)	W	Weekly	B	Bi-weekly	M	Monthly	Q	Quarterly	S	Semi-Annually	A	Annually
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Q	Quarterly																			
S	Semi-Annually																			
A	Annually																			
SRRI (New field as of 10/21/2024)	1 character, numeric	Denotes the measurement of Risk and Reward of a UCITS instrument.  Please note this field is required for UCITS registered instruments.																		
SRRI Record Date (New field as of 10/21/2024)	Date, MM/DD/YYYY	Denotes the date of the SRRI rating.																		
FIGI (New field as of 10/21/2024)	12 characters, alphanumeric	Denotes the FIGI identifier as assigned by Bloomberg																		
Share Class Launch Date (New field as of 10/21/2024)	Date, MM/DD/YYYY	Denotes the Share Class Launch Date for the NFN registered instrument.  Please note that the Share Class Launch Date is an optional data field for UCITS registered instruments.																		
Minimal Subsequent Subscription Amount in Shares (New field as of 10/21/2024)	4 characters, numeric	Denotes the Minimal Subsequent Subscription Amount in Shares for the NFN instrument as of the Corporate Action date. Data format XXXX.  Please note that the Minimal Subsequent Subscription Amount in Shares is an optional data field for UCITS registered instruments.																		

Data Field	Field Format	Description
Minimal Initial Subscription Amount in Shares (New field as of 10/21/2024)	4 characters, numeric	Denotes the Minimal Initial Subscription Amount in Shares for the NFN instrument as of the Corporate Action date. Data format XXXX.  Please note that the Minimal Initial Subscription Amount in Shares is an optional data field for UCITS registered instruments.

## Documentation Posting Service

### Web Service Parameters

To retrieve the Documentation Posting Daily List file, Web Service Users shall need to enter a call with the following parameters:

- **Documentation File Name:** User should enter **DocPost.**
- **Date of Documentation File:** Data should be entered in MM-DD-YYYY or MM/DD/YYYY format.
- **File Type:** Data should indicate requested file format. Options: “XML” for XML formatted text, “pipe” for pipe (|) delimited text, “CSV” for CSV formatted text, or “JSON” for JSON format.
  - File type will be requested via Accept HTTP Header. Supported values for Accept Header are: text/csv, text/json, text/pipe, type/xml

<https://nfn.nasdaq.com/servicecall/DocPost.ashx?Date=MM-DD-YYYY&Type=pipe>

**New NFN Web Service calls as of October 21, 2024:**

<https://newnfn.nasdaq.com/servicecall/DocPost.ashx?Date=MM-DD-YYYY>

### Documentation Posting Service File Format

With the implementation of the NFN Daily List, Nasdaq allows Issuers / Pricing Agents to post certain financial documentation for NFN Instruments for the market data vendors to access. To facilitate the retrieval process, Nasdaq will create a daily file that lists the financial documentation with the current day’s posting date.

### Security Level Details

Data Field	Field Format	Description
Posting Date	Date, MM/DD/YYYY	Denotes the date on which the NFN Documentation List file was generated. Date field is stored in MM/DD/YYYY format.
Posting Time	Time, HHMMSS	Denotes the time that the NFN Documentation List file was generated. The time will be stated in HHMMSS format. The time is based on US Eastern Time.
Symbol	11 characters, alphanumeric	Denotes the Nasdaq-assigned identifier for NFN instrument at the time of the NFN Documentation List file posting.  If there is an associated registration action, the Symbol will follow the following rules: <ul style="list-style-type: none"> <li>• For instrument addition actions, the field will match the Symbol – New value from the Daily List – Next Day file.</li> </ul>

NFN Daily List

Data Field	Field Format	Description																														
		<ul style="list-style-type: none"><li>For replacement actions, the field will reflect the Symbol - New value from the Daily List – Next Day file.</li><li>For instrument attribute change actions, the field will reflect the Symbol – Current value from the Daily List – Next Day file.</li><li>For deletion actions, the field will reflect the Symbol – Current value from the Daily List – Next Day file.</li></ul>																														
Instrument Name	Text up to 150 characters	Denotes the Instrument (Issue) Name in the NFN system at the time of the NFN Documentation List file posting.																														
CUSIP	9 characters, alphanumeric	Denotes the CUSIP number in the NFN system at the time of the NFN Documentation List file posting. Please note that Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.																														
Country of Issuance	2 characters, alphanumeric	Denotes listed as the primary registration location for the issuance. For this field, Nasdaq will use <a href="#">ISO 3166 country codes</a> .																														
ISIN	12 characters, alphanumeric	Denotes the International Security Identification Number (ISIN) for the NFN Instrument at the time of the NFN Documentation List file posting. The ISIN should map to the country of issuance.  (Note: This field is optional for NFN instruments based in the United States.)																														
Instrument Type / Tier	2 characters, alphanumeric	Denotes the NFN security class and listing tier for the instrument on the stated System effective date. Allowable values are: <table><tr><th>Code</th><th>Value</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>SP</td><td>Structured Product</td></tr><tr><td>AP</td><td>Alternative Investment Product (AIP)</td></tr><tr><td>EM</td><td>NextShares Exchange Traded Managed Fund</td></tr><tr><td>MA</td><td>Managed Accounts</td></tr><tr><td>CT</td><td>Collective Investment Trust</td></tr><tr><td>SA</td><td>Separate Accounts</td></tr><tr><td>HF</td><td>Hedge Fund</td></tr><tr><td>DD</td><td>Demand Deposit Account</td></tr></table>	Code	Value	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	SP	Structured Product	AP	Alternative Investment Product (AIP)	EM	NextShares Exchange Traded Managed Fund	MA	Managed Accounts	CT	Collective Investment Trust	SA	Separate Accounts	HF	Hedge Fund	DD	Demand Deposit Account
Code	Value																															
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																															
SP	Structured Product																															
AP	Alternative Investment Product (AIP)																															
EM	NextShares Exchange Traded Managed Fund																															
MA	Managed Accounts																															
CT	Collective Investment Trust																															
SA	Separate Accounts																															
HF	Hedge Fund																															
DD	Demand Deposit Account																															
Document Type (New value as of 10/21/2024)	Text up to 50 characters	Indicates the type of financial documentation being posted for the NFN instrument. Allowable values are:																														

Data Field	Field Format	Description																																						
		<table><tr><th colspan="2">Value</th></tr><tr><td colspan="2">Draft Prospectus</td></tr><tr><td colspan="2">Marketing Materials</td></tr><tr><td colspan="2">Monthly Portfolio Holdings</td></tr><tr><td colspan="2">Private Placement Memorandum</td></tr><tr><td colspan="2">Profile or Fact Sheet</td></tr><tr><td colspan="2">Resolution of Name Change</td></tr><tr><td colspan="2">Shareholder Report – Annual</td></tr><tr><td colspan="2">Shareholder Report - Semi-Annual</td></tr><tr><td colspan="2">Statement of Additional Information</td></tr><tr><td colspan="2">Statement of Deletion</td></tr><tr><td colspan="2">Statutory Prospectus</td></tr><tr><td colspan="2">Summary Prospectus</td></tr><tr><td colspan="2">Statement of Reorganization</td></tr><tr><td colspan="2">The Declaration of Trust</td></tr><tr><td colspan="2">Proof of Total Net Assets</td></tr><tr><td colspan="2">Summary Plan Description</td></tr><tr><td colspan="2">KIID</td></tr><tr><td colspan="2">Other</td></tr></table>	Value		Draft Prospectus		Marketing Materials		Monthly Portfolio Holdings		Private Placement Memorandum		Profile or Fact Sheet		Resolution of Name Change		Shareholder Report – Annual		Shareholder Report - Semi-Annual		Statement of Additional Information		Statement of Deletion		Statutory Prospectus		Summary Prospectus		Statement of Reorganization		The Declaration of Trust		Proof of Total Net Assets		Summary Plan Description		KIID		Other	
Value																																								
Draft Prospectus																																								
Marketing Materials																																								
Monthly Portfolio Holdings																																								
Private Placement Memorandum																																								
Profile or Fact Sheet																																								
Resolution of Name Change																																								
Shareholder Report – Annual																																								
Shareholder Report - Semi-Annual																																								
Statement of Additional Information																																								
Statement of Deletion																																								
Statutory Prospectus																																								
Summary Prospectus																																								
Statement of Reorganization																																								
The Declaration of Trust																																								
Proof of Total Net Assets																																								
Summary Plan Description																																								
KIID																																								
Other																																								
File Format	Text up to 10 characters	<p>Denotes the type of file format used for the documentation. Allowable value is:</p> <table><tr><th>Code</th><th>Value</th></tr><tr><td>pdf</td><td>Portable Document Format (PDF)</td></tr></table>	Code	Value	pdf	Portable Document Format (PDF)																																		
Code	Value																																							
pdf	Portable Document Format (PDF)																																							
System Effective Date	Date, MM/DD/YYYY	<p>Denotes the System effective date or release date for the NFN Issuer documentation. For instrument with an associated action, the Release Date is the same as the System effective date. For documentation without an associated action, it is the date that the NFN issuer is releasing the file to the public. Date field is stored in MM/DD/YYYY format.</p>																																						
Event Code	Text up to 50 characters	<p>Indicates if the NFN Issuer updated its registration information at the same time that it posted the document. Allowable values are:</p> <table><tr><th>Value</th></tr><tr><td>Addition</td></tr><tr><td>Deletion</td></tr><tr><td>Replacement</td></tr><tr><td>Attribute Change</td></tr><tr><td>Restore</td></tr><tr><td>&lt;space - no associated action&gt;</td></tr></table> <p>Note: Please refer to Daily List – Next Day file for details on the NFN registration action.</p>	Value	Addition	Deletion	Replacement	Attribute Change	Restore	<space - no associated action>																															
Value																																								
Addition																																								
Deletion																																								
Replacement																																								
Attribute Change																																								
Restore																																								
<space - no associated action>																																								
Documentation URL	URL Address	<p>NFN file name / file path from which the actual document can be accessed and downloaded.</p>																																						

Data Field	Field Format	Description						
Test Symbol Flag	1 character, alphanumeric	Denotes if the instrument is set up as a live or test issue currently in the NFN system. The allowable values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>NFN Test Symbol. Instrument is intended for test use only.</td></tr><tr><td>F</td><td>NFN Live Symbol. Instrument is set up as live / production in NFN system.</td></tr></table>	Code	Value	T	NFN Test Symbol. Instrument is intended for test use only.	F	NFN Live Symbol. Instrument is set up as live / production in NFN system.
Code	Value							
T	NFN Test Symbol. Instrument is intended for test use only.							
F	NFN Live Symbol. Instrument is set up as live / production in NFN system.							
Issuer Name	75 characters, alphanumeric	Denotes the name of the Issuer / Sponsor for the NFN instrument at the time of the NFN Document Posting Service file posting.						
Creation Date	Date, MM/DD/YYYY	Denotes the date the document was created in the NFN system. Date field is stored in MM/DD/YYYY format.						

Once the Documentation List is downloaded, the user may automate access to the individual PDF documents by generating a Web Service request for each of the NFN Documentation File Names provided in the file.

## NFN Product Directory

### Web Service Parameters

To retrieve the NFN Product Directory, Web Service Users shall need to enter a call with the following parameters:

- Issuer CUSIP: First 6 of the CUSIP assigned to the issuer by CUSIP and registered with Nasdaq Fund Network Operations.
- Product Symbol: 13 character Product Symbol assigned by Nasdaq Fund Network Operations. This is an optional operator.
- File Type: Data should indicate requested file format. Options: "XML" for XML formatted text, "pipe" for pipe (|) delimited text, "CSV" for CSV formatted text, or "JSON" for JSON format.  
File type will be requested via Accept HTTP Header. Supported values for Accept Header are: text/csv, text/json, text/pipe, type/xml

[https://nfn.nasdaq.com/servicecall/RootDirectory.ashx?issuercusip=\[issuercusip\]&ROOTSYMBOL=\[rootsymbol\]&Type=pipe](https://nfn.nasdaq.com/servicecall/RootDirectory.ashx?issuercusip=[issuercusip]&ROOTSYMBOL=[rootsymbol]&Type=pipe)

### New NFN Web Service calls as of October 21, 2024:

[https://newnfn.nasdaq.com/servicecall/ProductDirectory.ashx?issuercusip=\[issuercusip\]&PRODUCTSYMBOL=\[productsymbol\]](https://newnfn.nasdaq.com/servicecall/ProductDirectory.ashx?issuercusip=[issuercusip]&PRODUCTSYMBOL=[productsymbol])

### Product Directory File Format

Nasdaq will update its NFN Product Directory file to reflect of the active Products. Within the file, Nasdaq will include a header row with the field names. Within the file, the individual security records will appear as outlined below in alphabetic order based on the Symbol field.

**Security Level Details**

Data Field	Field Format	Description																						
Issuer Name	Text up to 75 characters	Denotes the name of the Issuer / Sponsor for the NFN Product.																						
Product Name	150 characters, alphanumeric	Denotes the name of the NFN Product.																						
SEC Series (New field as of 10/21/2024)	10 characters, alphanumeric	Denotes the SEC Series number as assigned to the fund by the SEC.																						
Investment Type and Style	30 characters, alphanumeric	<div>Denotes aggregate market capitalization and aggregate weighting of price relative to the fundamentals of this assets internal holdings. Allowable values are:</div> <table><tr><th>Value</th></tr><tr><td>Multi Cap Blend</td></tr><tr><td>Multi Cap Growth</td></tr><tr><td>Multi Cap Value</td></tr><tr><td>Multi Cap All Valuation</td></tr><tr><td>Large Cap Blend</td></tr><tr><td>Large Cap Growth</td></tr><tr><td>Large Cap Value</td></tr><tr><td>Large Cap All Valuation</td></tr><tr><td>Mid Cap Blend</td></tr><tr><td>Mid Cap Growth</td></tr><tr><td>Mid Cap Value</td></tr><tr><td>Mid Cap All Valuation</td></tr><tr><td>Small Cap Blend</td></tr><tr><td>Small Cap Growth</td></tr><tr><td>Small Cap Value</td></tr><tr><td>Small Cap All Valuation</td></tr><tr><td>Micro Cap Blend</td></tr><tr><td>Micro Cap Growth</td></tr><tr><td>Micro Cap Value</td></tr><tr><td>Micro Cap All Valuation</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Multi Cap Blend	Multi Cap Growth	Multi Cap Value	Multi Cap All Valuation	Large Cap Blend	Large Cap Growth	Large Cap Value	Large Cap All Valuation	Mid Cap Blend	Mid Cap Growth	Mid Cap Value	Mid Cap All Valuation	Small Cap Blend	Small Cap Growth	Small Cap Value	Small Cap All Valuation	Micro Cap Blend	Micro Cap Growth	Micro Cap Value	Micro Cap All Valuation	Not Assigned
Value																								
Multi Cap Blend																								
Multi Cap Growth																								
Multi Cap Value																								
Multi Cap All Valuation																								
Large Cap Blend																								
Large Cap Growth																								
Large Cap Value																								
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Mid Cap All Valuation																								
Small Cap Blend																								
Small Cap Growth																								
Small Cap Value																								
Small Cap All Valuation																								
Micro Cap Blend																								
Micro Cap Growth																								
Micro Cap Value																								
Micro Cap All Valuation																								
Not Assigned																								
Economic Development	25 characters, alphanumeric	<div>Denotes aggregate weighting of the economic development status of this assets internal holdings. Allowable values are:</div> <table><tr><th>Value</th></tr><tr><td>Developed Markets</td></tr><tr><td>Developing Markets</td></tr><tr><td>Emerging Markets</td></tr><tr><td>Frontier Markets</td></tr><tr><td>Global Markets</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Developed Markets	Developing Markets	Emerging Markets	Frontier Markets	Global Markets	Not Assigned															
Value																								
Developed Markets																								
Developing Markets																								
Emerging Markets																								
Frontier Markets																								
Global Markets																								
Not Assigned																								

Data Field	Field Format	Description						
Sector	40 characters, alphanumeric	Denotes primary equity sector focus inherent to this asset's investment objective. Allowable values are: <ul style="list-style-type: none"><li>Options in this field are subject to change as requested by issuers.</li><li>A current list of options available upon request to NFNOps@nasdaq.com..</li></ul>						
Weighting Method	25 characters, alphanumeric	Denotes primary weighting scheme of this asset's internal holdings. Allowable values are: <table><tr><th>Value</th></tr><tr><td>Cap Weight</td></tr><tr><td>Equal Weight</td></tr><tr><td>Active Discretion</td></tr><tr><td>NA</td></tr></table>	Value	Cap Weight	Equal Weight	Active Discretion	NA	
Value								
Cap Weight								
Equal Weight								
Active Discretion								
NA								
Credit Quality	20 characters, alphanumeric	Denotes aggregate weighting of the credit quality of this assets internal holdings. Allowable values are: <table><tr><th>Value</th></tr><tr><td>All Quality Mix</td></tr><tr><td>High</td></tr><tr><td>Medium</td></tr><tr><td>Low</td></tr><tr><td>Not Assigned</td></tr></table>	Value	All Quality Mix	High	Medium	Low	Not Assigned
Value								
All Quality Mix								
High								
Medium								
Low								
Not Assigned								
Maturity Range	20 characters, alphanumeric	Denotes aggregate weighting of the stated duration of this assets internal holdings. Allowable values are: <table><tr><th>Value</th></tr><tr><td>All Duration Mix</td></tr><tr><td>Short Duration</td></tr><tr><td>Intermediate</td></tr><tr><td>Long Duration</td></tr><tr><td>Not Assigned</td></tr></table>	Value	All Duration Mix	Short Duration	Intermediate	Long Duration	Not Assigned
Value								
All Duration Mix								
Short Duration								
Intermediate								
Long Duration								
Not Assigned								
Fund Investment Category	60 characters, alphanumeric	Denotes general focus and objective of the asset's investment policy. Allowable values are: <ul style="list-style-type: none"><li>Options in this field are subject to change as requested by issuers.</li><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>						
Industry	40 characters, alphanumeric	Denotes specific industry sector focus of this asset's investment policy. Allowable values are: <ul style="list-style-type: none"><li>Options in this field are subject to change as requested by issuers.</li></ul>						



Data Field	Field Format	Description											
		<ul style="list-style-type: none"><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>											
Leverage Amount Limits	20 characters, alphanumeric	Denotes amount of leverage inherent to this asset's aggregate internal holdings. Allowable values are: <table><tr><th>Value</th></tr><tr><td>1.00x</td></tr><tr><td>1.25X</td></tr><tr><td>1.50X</td></tr><tr><td>2X</td></tr><tr><td>3X</td></tr><tr><td>4X</td></tr><tr><td>Not Assigned</td></tr></table>	Value	1.00x	1.25X	1.50X	2X	3X	4X	Not Assigned			
Value													
1.00x													
1.25X													
1.50X													
2X													
3X													
4X													
Not Assigned													
Liquidity Category	40 characters, alphanumeric	Denotes estimate of this asset's ability to be bought or sold. Allowable values are: <table><tr><th>Value</th></tr><tr><td>Highly Liquid Investments</td></tr><tr><td>Moderately Liquid Investments</td></tr><tr><td>Less Liquid Investments</td></tr><tr><td>Illiquid Investments</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Highly Liquid Investments	Moderately Liquid Investments	Less Liquid Investments	Illiquid Investments	Not Assigned					
Value													
Highly Liquid Investments													
Moderately Liquid Investments													
Less Liquid Investments													
Illiquid Investments													
Not Assigned													
Macro Region	30 characters, alphanumeric	Denotes aggregate weighting of the regional exposures of this asset's internal holdings. Allowable values are: <table><tr><th>Value</th></tr><tr><td>Asia</td></tr><tr><td>Europe</td></tr><tr><td>Global</td></tr><tr><td>Latin America</td></tr><tr><td>Pacific (Excluding Japan)</td></tr><tr><td>MEA</td></tr><tr><td>Nordic</td></tr><tr><td>North America</td></tr><tr><td>Non-United States</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Asia	Europe	Global	Latin America	Pacific (Excluding Japan)	MEA	Nordic	North America	Non-United States	Not Assigned
Value													
Asia													
Europe													
Global													
Latin America													
Pacific (Excluding Japan)													
MEA													
Nordic													
North America													
Non-United States													
Not Assigned													
Portfolio Management Style	25 characters, alphanumeric	Denotes attributes of this asset's internal portfolio construction. Allowable values are: <table><tr><th>Value</th></tr><tr><td>Active Qualitative</td></tr><tr><td>Core</td></tr><tr><td>Active Other</td></tr><tr><td>Active Qualitative</td></tr></table>	Value	Active Qualitative	Core	Active Other	Active Qualitative						
Value													
Active Qualitative													
Core													
Active Other													
Active Qualitative													

Data Field	Field Format	Description										
			<table><tr><td>Active Quantitative</td></tr><tr><td>Enhanced Index</td></tr><tr><td>Growth</td></tr><tr><td>Long Short</td></tr><tr><td>Passive Other</td></tr><tr><td>Passive Qualitative</td></tr><tr><td>Passive Quantitative</td></tr><tr><td>Other</td></tr><tr><td>Not Assigned</td></tr></table>	Active Quantitative	Enhanced Index	Growth	Long Short	Passive Other	Passive Qualitative	Passive Quantitative	Other	Not Assigned
Active Quantitative												
Enhanced Index												
Growth												
Long Short												
Passive Other												
Passive Qualitative												
Passive Quantitative												
Other												
Not Assigned												
Benchmark 1 (New field name as of 10/21/2024)	75 characters, alphanumeric (inclusive of spaces)	Denotes an array of modern portfolio statistics of this asset versus the benchmark. <ul style="list-style-type: none"><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>										
Benchmark 1 Percentage (New field as of 10/21/2024)	7 characters, alphanumeric	Denotes the percentage for Benchmark 1 expressed as a decimal.  Benchmark 1 is reported as XXX.xxx.										
Benchmark 2 (New field name as of 10/21/2024)	75 characters, alphanumeric (inclusive of spaces)	Denotes an array of modern portfolio statistics of this asset versus the benchmark. <ul style="list-style-type: none"><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>										
Benchmark 2 Percentage (New field as of 10/21/2024)	7 characters, alphanumeric	Denotes the percentage for Benchmark 2 expressed as a decimal.  Benchmark 2 is reported as XXX.xxx.										
Benchmark 3 (New field name as of 10/21/2024)	75 characters, alphanumeric (inclusive of spaces)	Denotes an array of modern portfolio statistics of this asset versus an alternative benchmark. <ul style="list-style-type: none"><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>										
Benchmark 3 Percentage (New field as of 10/21/2024)	7 characters, alphanumeric	Denotes the percentage for Benchmark 3 expressed as a decimal.  Benchmark 3 is reported as XXX.xxx.										
Portfolio Type	25 characters, alphanumeric	Denotes long term portfolio alignment concerning assets classes. Allowable values are: <table><tr><th>Value</th></tr><tr><td>Balanced / Multi-Asset</td></tr><tr><td>Equity</td></tr><tr><td>Fixed Income</td></tr><tr><td>Money Market</td></tr><tr><td>Alternatives</td></tr><tr><td>Hedge Funds</td></tr></table>		Value	Balanced / Multi-Asset	Equity	Fixed Income	Money Market	Alternatives	Hedge Funds		
Value												
Balanced / Multi-Asset												
Equity												
Fixed Income												
Money Market												
Alternatives												
Hedge Funds												

Data Field	Field Format	Description							
			<table><tr><td>Real Estate</td></tr><tr><td>Other Fund</td></tr><tr><td>Not Assigned</td></tr></table>	Real Estate	Other Fund	Not Assigned			
Real Estate									
Other Fund									
Not Assigned									
Product Symbol	13 characters, alphanumeric	Denotes 13 character symbol assigned to the Product by NFN.							
Product Website	Up to 2048 characters, alphanumeric	Denotes internet address to be used by public investors.							
Investment Focus	40 characters, alphanumeric	Denotes long term investment category governed by management. Allowable values are: <ul style="list-style-type: none"><li>Options in this field are subject to change as requested by issuers.</li><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>							
Peer Group	100 characters, alphanumeric	Denotes assets sharing similar investment categories. <ul style="list-style-type: none"><li>Options in this field are subject to change as requested by issuers.</li><li>A current list of options available upon request to NFNOps@nasdaq.com.</li></ul>							
Total Real Estate Area	12 characters, numeric	Denotes the total area for the fund in square feet or square meters.							
Unit of Measurement	15 characters, alpha	<table><tr><th>Value</th></tr><tr><td>Square Feet</td></tr><tr><td>Square Meters</td></tr></table>		Value	Square Feet	Square Meters			
Value									
Square Feet									
Square Meters									
Real Estate Portfolio Occupancy	7 characters, alphanumeric	Denotes the percentage of rented or used space to the Total Real Estate Area as of the Real Estate Portfolio Occupancy Date.  Real Estate Portfolio Occupancy is reported as XXX.xxx.							
Real Estate Portfolio Occupancy Date	Date, MM/DD/YYYY	Denotes the date for the Real Estate Portfolio Occupancy.							
Zero Redemption (New values as of 10/21/2024)	1 character, alpha	Denotes the fund eligibility for Zero Redemption. Available values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this fund eligible for Zero Redemption.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this fund is not eligible for Zero Redemption.</td></tr></table>		Code	Value	T	True. NFN issuer has indicated that this fund eligible for Zero Redemption.	F	False. NFN issuer has indicated that this fund is not eligible for Zero Redemption.
Code	Value								
T	True. NFN issuer has indicated that this fund eligible for Zero Redemption.								
F	False. NFN issuer has indicated that this fund is not eligible for Zero Redemption.								

Data Field	Field Format	Description									
		<space>	Not available. NFN Issuer did not provide Zero Redemption status.								
Zero Redemption Months	2 characters, numeric	Denotes the number of months for Zero Redemption.									
Zero Redemption Fee	7 characters, alphanumeric	Denotes the Zero Redemption fee as a percentage for the designated time frame.  Zero Redemption Fee is reported as XXX.xxx.									
Early Redemption Term (New values as of 10/21/2024)	1 character, alpha	Denoted if the fund is eligible for Early Redemption. Available values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this fund eligible for Early Redemption.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this fund is not eligible for Early Redemption.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN Issuer did not provide Early Redemption status.</td></tr></table>		Code	Value	T	True. NFN issuer has indicated that this fund eligible for Early Redemption.	F	False. NFN issuer has indicated that this fund is not eligible for Early Redemption.	<space>	Not available. NFN Issuer did not provide Early Redemption status.
Code	Value										
T	True. NFN issuer has indicated that this fund eligible for Early Redemption.										
F	False. NFN issuer has indicated that this fund is not eligible for Early Redemption.										
<space>	Not available. NFN Issuer did not provide Early Redemption status.										
Early Redemption Term Start Month	2 characters, numeric	Denotes the start month, in number of months, for the Early Redemption Term.									
Early Redemption Term End Month	2 characters, numeric	Denotes the end month, in number of months, for the Early Redemption Term.									
Early Redemption Term Fee	7 characters, alphanumeric	Denotes the Early Redemption Term fee as a percentage for the designated time frame.  Early Redemption Term Fee is reported as XXX.xxx.									
Tiered Redemption (New values as of 10/21/2024)	1 character, alpha	Denotes if the fund is eligible for Tiered Redemption. Available values are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this fund eligible for Tiered Redemption.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this fund is not eligible for Tiered Redemption.</td></tr><tr><td>&lt;space&gt;</td><td>Not available. NFN Issuer did not provide Tiered Redemption status.</td></tr></table>		Code	Value	T	True. NFN issuer has indicated that this fund eligible for Tiered Redemption.	F	False. NFN issuer has indicated that this fund is not eligible for Tiered Redemption.	<space>	Not available. NFN Issuer did not provide Tiered Redemption status.
Code	Value										
T	True. NFN issuer has indicated that this fund eligible for Tiered Redemption.										
F	False. NFN issuer has indicated that this fund is not eligible for Tiered Redemption.										
<space>	Not available. NFN Issuer did not provide Tiered Redemption status.										
Tiered Redemption Start Month	2 characters, numeric	Denotes the month, in numbers of months, in which Tiered Redemption begins.									
Tiered Redemption End Month	2 characters, numeric	Denotes the month, in numbers of months, in which Tiered Redemption ends.									

Data Field	Field Format	Description								
Tiered Redemption Fee	7 characters, alphanumeric	Denotes the Tiered Redemption Fee as a percentage for the designated time frame.  Tiered Redemption Fee is reported as XXX.xxx.								
Full Redemption Months	3 characters, numeric	Denotes the months, in numbers of months for Full Redemption.								
Up Front Commission	7 characters, alphanumeric	Denotes the upfront offering fees of the fund as a percentage.  Up Front Commission is reported as XXX.xxx.								
Trailing Commission	7 characters, alphanumeric	Denotes the trailing commission for the fund as a percentage.  Trailing Commission is reported as XXX.xxx.								
Management Oversight	50 characters, alphanumeric	Denotes the management oversight of the fund. Available options are: <table><tr><th>Value</th></tr><tr><td>Independent Board of Directors</td></tr><tr><td>Independent Board of Directors (by proxy)</td></tr><tr><td>CEO/Management</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Independent Board of Directors	Independent Board of Directors (by proxy)	CEO/Management	Not Assigned			
Value										
Independent Board of Directors										
Independent Board of Directors (by proxy)										
CEO/Management										
Not Assigned										
Non-Traded REIT Structure	100 characters, alphanumeric	Denotes the Non-Traded REIT Structure. Available options are: <table><tr><th>Value</th></tr><tr><td>Non-Traded REIT with Perpetual Life</td></tr><tr><td>Non-Traded REIT with Life Cycle</td></tr><tr><td>Offering Type</td></tr><tr><td>Not Assigned</td></tr></table>	Value	Non-Traded REIT with Perpetual Life	Non-Traded REIT with Life Cycle	Offering Type	Not Assigned			
Value										
Non-Traded REIT with Perpetual Life										
Non-Traded REIT with Life Cycle										
Offering Type										
Not Assigned										
Investor Suitability	100 characters, alphanumeric	Denotes the investor suitability for the fund.								
Is Structured UCITS (New field as of 10/21/2024)	1 character, alpha	Denotes if the Product is a structured UCITS. <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this is a Structured UCITS</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this is not a Structured UCITS</td></tr><tr><td>&lt;space&gt;</td><td>Not applicable</td></tr></table>	Code	Value	T	True. NFN issuer has indicated that this is a Structured UCITS	F	False. NFN issuer has indicated that this is not a Structured UCITS	<space>	Not applicable
Code	Value									
T	True. NFN issuer has indicated that this is a Structured UCITS									
F	False. NFN issuer has indicated that this is not a Structured UCITS									
<space>	Not applicable									
Is EU Directive Relevant (New field as of 10/21/2024)	1 character, alpha	Denotes if the Product is EU Directive Relevant. <table><tr><th>Code</th><th>Value</th></tr></table>	Code	Value						
Code	Value									

Data Field	Field Format	Description																			
		T	True. NFN issuer has indicated that this is EU Directive Relevant.																		
		F	False. NFN issuer has indicated that this is not EU Directive Relevant.																		
		<space>	Not applicable																		
Type of EU Directive (New field as of 10/21/2024)	20 characters, alphanumeric	Denotes the type of EU directive <table><tr><th>Value</th></tr><tr><td>UCITS</td></tr><tr><td>AIF</td></tr><tr><td>Other</td></tr></table>		Value	UCITS	AIF	Other														
Value																					
UCITS																					
AIF																					
Other																					
Is UK Offshore Fund Authorized by FCA (New field as of 10/21/2024)	1 character, alpha	Denotes if the Product is UK Offshore Fund Authorized by FCA. <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this is UK Offshore Fund Authorized by FCA.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this is not UK Offshore Fund Authorized by FCA</td></tr><tr><td>&lt;space&gt;</td><td>Not applicable</td></tr></table>		Code	Value	T	True. NFN issuer has indicated that this is UK Offshore Fund Authorized by FCA.	F	False. NFN issuer has indicated that this is not UK Offshore Fund Authorized by FCA	<space>	Not applicable										
Code	Value																				
T	True. NFN issuer has indicated that this is UK Offshore Fund Authorized by FCA.																				
F	False. NFN issuer has indicated that this is not UK Offshore Fund Authorized by FCA																				
<space>	Not applicable																				
Is UK Offshore Fund Recognized by FCA (New field as of 10/21/2024)	1 character, alpha	Denotes if the Product is UK Offshore Fund Recognized by FCA. <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. NFN issuer has indicated that this is UK Offshore Fund Recognized by FCA.</td></tr><tr><td>F</td><td>False. NFN issuer has indicated that this is not UK Offshore Fund Recognized by FCA.</td></tr><tr><td>&lt;space&gt;</td><td>Not applicable</td></tr></table>		Code	Value	T	True. NFN issuer has indicated that this is UK Offshore Fund Recognized by FCA.	F	False. NFN issuer has indicated that this is not UK Offshore Fund Recognized by FCA.	<space>	Not applicable										
Code	Value																				
T	True. NFN issuer has indicated that this is UK Offshore Fund Recognized by FCA.																				
F	False. NFN issuer has indicated that this is not UK Offshore Fund Recognized by FCA.																				
<space>	Not applicable																				
Strategy Inception Date (New field as of 10/21/2024)	Date, MM/DD/YYYY	Denotes the Inception Date for the UIT Strategy.																			
Series Offering Frequency (New field as of 10/21/2024)	1 character, alphanumeric	Denotes the Offering Frequency of the UIT series. <table><tr><th>Code</th><th>Value</th></tr><tr><td>I</td><td>Intraday</td></tr><tr><td>D</td><td>Daily (Default)</td></tr><tr><td>W</td><td>Weekly</td></tr><tr><td>B</td><td>Bi-weekly</td></tr><tr><td>M</td><td>Monthly</td></tr><tr><td>Q</td><td>Quarterly</td></tr><tr><td>S</td><td>Semi-Annually</td></tr><tr><td>A</td><td>Annually</td></tr></table>		Code	Value	I	Intraday	D	Daily (Default)	W	Weekly	B	Bi-weekly	M	Monthly	Q	Quarterly	S	Semi-Annually	A	Annually
Code	Value																				
I	Intraday																				
D	Daily (Default)																				
W	Weekly																				
B	Bi-weekly																				
M	Monthly																				
Q	Quarterly																				
S	Semi-Annually																				
A	Annually																				

Data Field	Field Format	Description										
Portfolio Supervisor (New field as of 10/21/2024)	30 characters, alphanumeric	Denotes the Portfolio Supervisor for the series.										
Portfolio Sub Advisor (New field as of 10/21/2024)	100 characters, alphanumeric	Denotes the portfolio sub advisor or consultant for the series.										
Tax Structure (New field as of 10/21/2024)	3 characters, alphanumeric		<table><tr><th>Code</th><th>Value</th></tr><tr><td>G</td><td>Grantor Trust</td></tr><tr><td>R</td><td>Regulated Investment Company</td></tr><tr><td>NA</td><td>Not Assigned</td></tr></table>	Code	Value	G	Grantor Trust	R	Regulated Investment Company	NA	Not Assigned	
Code	Value											
G	Grantor Trust											
R	Regulated Investment Company											
NA	Not Assigned											
Objective (New field as of 10/21/2024)	500 characters, alphanumeric	Denotes the goal of the investment as described in the prospectus.										
Investment Description (New field as of 10/21/2024)	500 characters, alphanumeric	Denotes how the investment will achieve the objective as described in the prospectus.										

### Product Directory Dynamic File Format

Within the Product Directory file are dynamic tables that provide information for the multi select options in the Product directory. These files follow the above options with headers.

- The headers for the Product Directory files are 5 "=", followed by the Category Name, padded with "=" to 100 characters.

### Asset Category

Denotes the broad focus and objective of this asset's exposure.

For a current list of options [are available upon request from NFNops@nasdaq.com](mailto:NFNops@nasdaq.com).

Data Field	Field Format	Description
Header	100 characters	5 "=", "Asset Category", Padded "=" to 100
Asset Category	40 characters, alphanumeric	Denotes the options for this field. Options in this field are subject to change as requested by issuers. A current list of options available upon request to NFNops@nasdaq.com.
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.

### Portfolio Top Holdings

Denotes the broad focus and objective of this asset's exposure. NFN Portfolio Top Holdings download will be limited to the top 20 holdings. For full holdings report, you can send a request to [NFNops@nasdaq.com](mailto:NFNops@nasdaq.com).

Data Field	Field Format	Description
Header	100 characters	5 "=", "Portfolio Top Holdings", "=" to 100

Data Field	Field Format	Description																																										
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.																																										
CUSIP	9 characters, alphanumeric	Denotes the CUSIP number for the security. *Note: Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.																																										
ISIN	12 characters, alphanumeric	Denotes the ISIN for the security.																																										
Security Ticker	30 characters, alphanumeric	Denotes the market ticker for the security.																																										
Percent	28 characters, alphanumeric	Expressed as a percentage. Percentage value compared to net assets of the Fund. XXX.xxxxxxxxxxxxxxxxxxxxxxxxxxx																																										
Update Date	Date, MM/DD/YYYY	Reporting period, date as of which information is reported.																																										
Security Name	Text up to 150 characters	Denotes the Issue Name for the security.																																										
Asset Category	10 characters, alphanumeric	Denotes the type of assets that are categorized by similar characteristics. <table><tr><th>VALUE</th><th>CODE DESCRIPTION</th></tr><tr><td>STIV</td><td>Short-term investment vehicle</td></tr><tr><td>RA</td><td>Repurchase agreement</td></tr><tr><td>EC</td><td>Equity-common</td></tr><tr><td>EP</td><td>Equity-preferred</td></tr><tr><td>DBT</td><td>Debt</td></tr><tr><td>DCO</td><td>Derivative-commodity</td></tr><tr><td>DCR</td><td>Derivative-credit</td></tr><tr><td>DE</td><td>Derivative-equity</td></tr><tr><td>DFE</td><td>Derivative-foreign exchange</td></tr><tr><td>DIR</td><td>Derivative-interest rate</td></tr><tr><td>DO</td><td>Derivatives-other</td></tr><tr><td>SN</td><td>Structured note</td></tr><tr><td>LON</td><td>Loan</td></tr><tr><td>ABS-MBS</td><td>ABS-mortgage backed security</td></tr><tr><td>ABS-APCP</td><td>ABS-asset backed commercial paper</td></tr><tr><td>ABS-CBDO</td><td>ABS-collateralized bond/debt obligation</td></tr><tr><td>ABS-O</td><td>ABS-other</td></tr><tr><td>COMM</td><td>Commodity</td></tr><tr><td>RE</td><td>Real estate</td></tr><tr><td>OTHER</td><td>A brief description is provided.</td></tr></table>	VALUE	CODE DESCRIPTION	STIV	Short-term investment vehicle	RA	Repurchase agreement	EC	Equity-common	EP	Equity-preferred	DBT	Debt	DCO	Derivative-commodity	DCR	Derivative-credit	DE	Derivative-equity	DFE	Derivative-foreign exchange	DIR	Derivative-interest rate	DO	Derivatives-other	SN	Structured note	LON	Loan	ABS-MBS	ABS-mortgage backed security	ABS-APCP	ABS-asset backed commercial paper	ABS-CBDO	ABS-collateralized bond/debt obligation	ABS-O	ABS-other	COMM	Commodity	RE	Real estate	OTHER	A brief description is provided.
VALUE	CODE DESCRIPTION																																											
STIV	Short-term investment vehicle																																											
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DE	Derivative-equity																																											
DFE	Derivative-foreign exchange																																											
DIR	Derivative-interest rate																																											
DO	Derivatives-other																																											
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ABS-MBS	ABS-mortgage backed security																																											
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ABS-O	ABS-other																																											
COMM	Commodity																																											
RE	Real estate																																											
OTHER	A brief description is provided.																																											
Issuer Category	10 characters, alphanumeric	Denotes the type of legal entity that develop, registers and sells securities to finance its operations. <table><tr><th>VALUE</th><th>CODE DESCRIPTION</th></tr></table>	VALUE	CODE DESCRIPTION																																								
VALUE	CODE DESCRIPTION																																											



Data Field	Field Format	Description	
		CORP	Corporate
		UST	U.S. Treasury
		USGA	U.S. government agency
		USGSE	U.S. government sponsored entity
		MUN	Municipal
		NUSS	Non-U.S. sovereign
		PF	Private fund
		RF	Registered fund
		OTHER	A brief description is provided.

### Portfolio Allocation

The Assets internal allocation between stocks, bonds and other.

Data Field	Field Format	Description																							
Header	100 characters	5 "=", "Portfolio Stratification", "=" to 100																							
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.																							
Description	20 characters, alphanumeric	Denotes the option category for the percentage <table><tr><th>Options</th></tr><tr><td>Cash</td></tr><tr><td>Commodities</td></tr><tr><td>Currencies</td></tr><tr><td>Derivatives</td></tr><tr><td>Domestic Bond</td></tr><tr><td>Domestic Stock</td></tr><tr><td>Foreign Bond</td></tr><tr><td>Foreign Stock</td></tr><tr><td>Other</td></tr><tr><td>Hospitality – Hotel</td></tr><tr><td>Hospitality – Restaurant</td></tr><tr><td>Industrial</td></tr><tr><td>Office</td></tr><tr><td>Medical</td></tr><tr><td>Residential</td></tr><tr><td>Retail (Single Tenant)</td></tr><tr><td>Retail (Multi-Tenant)</td></tr><tr><td>Senior Secured (1<sup>st</sup> Lien)</td></tr><tr><td>Senior Secured (2<sup>nd</sup> Lien)</td></tr><tr><td>Secured Bonds</td></tr><tr><td>Unsecured Bonds</td></tr><tr><td>Bank Loan</td></tr></table>	Options	Cash	Commodities	Currencies	Derivatives	Domestic Bond	Domestic Stock	Foreign Bond	Foreign Stock	Other	Hospitality – Hotel	Hospitality – Restaurant	Industrial	Office	Medical	Residential	Retail (Single Tenant)	Retail (Multi-Tenant)	Senior Secured (1 <sup>st</sup> Lien)	Senior Secured (2 <sup>nd</sup> Lien)	Secured Bonds	Unsecured Bonds	Bank Loan
Options																									
Cash																									
Commodities																									
Currencies																									
Derivatives																									
Domestic Bond																									
Domestic Stock																									
Foreign Bond																									
Foreign Stock																									
Other																									
Hospitality – Hotel																									
Hospitality – Restaurant																									
Industrial																									
Office																									
Medical																									
Residential																									
Retail (Single Tenant)																									
Retail (Multi-Tenant)																									
Senior Secured (1 <sup>st</sup> Lien)																									
Senior Secured (2 <sup>nd</sup> Lien)																									
Secured Bonds																									
Unsecured Bonds																									
Bank Loan																									

## NFN Daily List

Data Field	Field Format	Description	
		Convertible	
		Preferred Stock	
Allocation	XXX.XXX	Expressed as a percentage, total of all Portfolio Stratification options. Percentages will not exceed 100%.	
Update Date	Date, MM/DD/YYYY	Indicates the date the Portfolio Stratification percentages were submitted to NFN.	

### *Country of Sale*

Denotes the Country in which the UCITS is available for sale.

Data Field	Field Format	Description
Header	100 characters	5 "=", "ISO Region/State", "=" to 100
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.
Region State Code (Removing as of 10/21/2024)	2 characters, alphanumeric	Denotes the two character U.S. state abbreviation listed as the primary registration location for the issuance.
Region State (Removing as of 10/21/2024)	20 Characters, alphanumeric	Denotes the name of the state of the primary registration location for the issuance.
Country Code	3 characters, alphanumeric	Denotes the three character country code listed as the primary registration location for the issuance.
Country	100 characters, alphanumeric	Denotes the name of the country of the primary registration location for the issuance.

### *Region Weight*

The assets percent of total exposure to each specific regional location.

Data Field	Field Format	Description
Header	100 characters	5 "=", "Region Weight", "=" to 100
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.
Region	50 characters, alphanumeric	Denotes the region name. A list of options is available upon request from <a href="mailto:NFNOps@nasdaq.com">NFNOps@nasdaq.com</a> .
Region Weight	XXX.XXX	Denotes the percentage of exposure to the specific region, expressed as a percentage. Percentage will not exceed 100%.

## Management

The team of professional in charge of this investment discipline.

Data Field	Field Format	Description
Header	100 characters	5 "=", "Management", "=" to 100
Product Symbol	13 characters, alphanumeric	Denotes the Product Symbol assigned by Nasdaq.
Fund Manager Name	30 characters, alphanumeric	Denotes the Name of the professional in charge of the investment discipline
Management Tenure	Up to 2147483647	Denotes the number of years management has serviced this fund based on Fund Manager Start Date.
Fund Manager Start Date (New format as of 10/21/2024)	Date, YYYY	Denotes the year that the fund manager began managing the fund.
Industry Start (New field as of 10/21/2024)	Date, YYYY	Denotes the year that the Fund Manager started in the industry.

## Issuer Directory

### Web Service Parameters

To retrieve the Issuer Directory, Web Service Users shall need to enter a call with the following parameters:

- **Issuer Directory File Name:** User should enter **Issuer**.
- **File Type:** Data should indicate requested file format. Options: "XML" for XML formatted text, "pipe" for pipe (|) delimited text, "CSV" for CSV formatted text, or "JSON" for JSON format.
  - File type will be requested via Accept HTTP Header. Supported values for Accept Header are: text/csv, text/json, text/pipe, type/xml

<https://nfn.nasdaq.com/servicecall/IssuerDirectory.ashx?type=PIPE>

**New NFN Web Service calls as of October 21, 2024:**

<https://newnfn.nasdaq.com/servicecall/IssuerDirectory.ashx?>

### Issuer Directory File Format

Nasdaq will update its Issuer Directory file to reflect of the active Issuer. Within the file, Nasdaq will include a header row with the field names. Within the file, the individual records will appear as outlined below in alphabetic order based on the Issuer Name field.

### Security Level Details

Data Field	Field Format	Description
Issuer Name	75 characters, alphanumeric	Denotes the name of the Issuer / Sponsor as registered with NFN.
Description	500 characters, alphanumeric	Denotes the description of the Issuer.

Data Field	Field Format	Description
Website	Up to 2048 characters, alphanumeric	Denotes the URL for the Issuer's public website.
Headquarters Location	300 characters, alphanumeric	Denotes the physical address of the Issuer headquarter location.
Total Assets Under Management	10 characters, numeric	Denotes the Total Assets Under Management for the Issuer.
Total Assets Under Management Date	Date, MM/DD/YYYY	Denotes the Date of Total Assets Under Management for the Issuer.
In Business Since	4 characters, numeric	Denotes the year that the Issuer began operation.  Year expressed as YYYY.
Investor Relations Phone	20 characters, numeric	Denotes the phone number for Investor Relations.
Investor Relations Email	400 characters, alphanumeric	Denotes the email address for Investor Relations.
Live Instruments Count	11 characters, alphanumeric	Denotes the number of Live instruments listed with NFN under the issuer.
Investor Invested Assets	11 characters, numeric	Denotes the amount of investor assets invested.

## Valuation Report Web Service Calls

### Web Service Parameters

To retrieve the Valuation Reports, Web Service Users shall need to enter a call with the following parameters:

- **Valuation Report File Name:** User should enter **ValuationReportFund**, or **ValuationReportMoneyMarket**.
- **File Type:** Data should indicate requested file format. Options: "XML" for XML formatted text, "pipe" for pipe (|) delimited text, "CSV" for CSV formatted text, or "JSON" for JSON format.

<https://nfn.nasdaq.com/servicecall/valuation.ashx?reportname=ValuationReportFund&Type=pipe>

<https://nfn.nasdaq.com/servicecall/valuation.ashx?reportname=ValuationReportMoneyMarket&Type=pipe>

<https://nfn.nasdaq.com/servicecall/valuation.ashx?reportname=ValuationReportDIV&Type=pipe>

<https://nfn.nasdaq.com/servicecall/valuation.ashx?reportname=ValuationReportDST&Type=pipe>

## Today's Price History Report

### Web Service Parameters

To retrieve the Ex-Date Report, Web Service Users shall need to enter a call with the following parameters:

- **Today's Price History File Name:** User should enter **CurrentActivity**.
- **Parameters:** Today's Price History can be pulled by **MPID**, **Symbol** or **Test Flag**
- **File Type:** Data should indicate requested file format. Options: "XML" for XML formatted text, "pipe" for pipe (|) delimited text, "CSV" for CSV formatted text, or "JSON" for JSON format.

[https://nfn.nasdaq.com/servicecall/CurrentActivity.ashx?MPID=\[MPID\]&Type=PIPE](https://nfn.nasdaq.com/servicecall/CurrentActivity.ashx?MPID=[MPID]&Type=PIPE)

<https://nfn.nasdaq.com/servicecall/CurrentActivity.ashx?Symbol=ABCDX&Type=PIPE>

<https://nfn.nasdaq.com/servicecall/CurrentActivity.ashx?testflag=true/false&Type=PIPE>

## Ex Date Report

### Web Service Parameters

To retrieve the Ex-Date Report, Web Service Users shall need to enter a call with the following parameters:

- **Ex-Date File Name:** User should enter **ExDate**.
- **Date for Ex-Date File:** User should enter the ex-date filter to be applied to the report. Data should be entered in **MM-DD-YYYY** or **MM/DD/YYYY** format. Please note the following report date limitations:
  - The Ex-Date Report will only return Dividend/Interest or Capital Distribution records entered into the NFN system on or after February 2017.
- **File Type:** Data should indicate requested file format. Options: “XML” for XML formatted text, “pipe” for pipe (|) delimited text, “CSV” for CSV formatted text, or “JSON” for JSON format.

<https://nfn.nasdaq.com/servicecall/exdate.ashx?type=CSV&date=MM/DD/YYYY>

### Ex-Date Report File Format

Nasdaq allows NFN pricing agents to enter advance notifications of Dividend/Interest and Capital Distribution actions. To ensure that the market data community has access to these corporate actions on the appropriate ex-date, Nasdaq is adding the Ex-Date Report to the NFN Daily List product.

### Security Level Details

Data Field	Field Format	Description														
Symbol	11 characters, alphanumeric	Denotes the Nasdaq-assigned identifier for NFN instrument reflected in the Dividend/Interest or Capital Distribution record.														
CUSIP	9 characters, alphanumeric	Denotes the CUSIP number for the NFN instrument in the NFN system at the time that the Ex-Date Report was generated. Please note that Nasdaq will only populate this field for recipient firms with a valid CUSIP license and entitlement token.														
Instrument Type / Tier	2 characters, alphanumeric	<div>Denotes the NFN Fund Type and Listing Tier for the NFN instrument in the NFN system at the time that the Ex-Date Report was generated. The allowable values are:</div> <table><tr><th>Code</th><th>Value</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></table>	Code	Value	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
Code	Value															
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															

Data Field	Field Format	Description																																																																
		SPStructured Product																																																																
		APAlternative Investment Product (AIP)																																																																
		EMNextShares Exchange Traded Managed Fund																																																																
		MAManaged Accounts																																																																
		CTCollective Investment Trust																																																																
		SASeparate Accounts																																																																
		HFHedge Fund																																																																
		DDDemand Deposit Account																																																																
Instrument Code	1 character, alphanumeric	<p>Denotes the Instrument Code for the NFN instrument in the NFN system at the time that the Ex-Date Report was generated. The allowable values are:</p> <table><tr><th>Code</th><th>Value</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>Interval Fund</td></tr><tr><td>Z</td><td>Tender Offer Fund</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></td><td></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 – Growth</td></tr><tr><td>S</td><td>Structured Product – Income</td></tr><tr><td>T</td><td>Structured Product – Digital</td></tr><tr><td>U</td><td>Structured Product – Growth and Income</td></tr><tr><td>V</td><td>Structured Product – Commodity / FX</td></tr><tr><td>W</td><td>Structured Product – Rates</td></tr><tr><td>L</td><td>Structured Product – Other</td></tr><tr><td colspan="2"><i>Alternative Investment Products (Type AP)</i></td></tr><tr><td>B</td><td>Managed Future Fund</td></tr><tr><td>F</td><td>Fund of Hedge Fund</td></tr><tr><td>I</td><td>Non-Traded REIT</td></tr><tr><td>J</td><td>Non-Traditional Hedge Fund (Registered)</td></tr><tr><td>K</td><td>Commodity Pool Fund</td></tr><tr><td>P</td><td>Private Equity Offering</td></tr></table>	Code	Value	<i>Mutual Funds (Types MF and MS)</i>		O	Mutual Fund – Open End	C	Mutual Fund – Closed End	Y	Interval Fund	Z	Tender Offer Fund	<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 – Growth	S	Structured Product – Income	T	Structured Product – Digital	U	Structured Product – Growth and Income	V	Structured Product – Commodity / FX	W	Structured Product – Rates	L	Structured Product – Other	<i>Alternative Investment Products (Type AP)</i>		B	Managed Future Fund	F	Fund of Hedge Fund	I	Non-Traded REIT	J	Non-Traditional Hedge Fund (Registered)	K	Commodity Pool Fund	P	Private Equity Offering
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Data Field	Field Format	Description																										
		<table><tr><td colspan="2">Exchange Traded Managed Funds (Type EM)</td></tr><tr><td>Q</td><td>NextShares</td></tr><tr><td colspan="2">Hedge Fund (Type HF)</td></tr><tr><td>H</td><td>Hedge Fund</td></tr><tr><td colspan="2">Collective Investment Trust (Type CT)</td></tr><tr><td>1</td><td>Collective Investment Trust</td></tr><tr><td colspan="2">Managed Accounts (Type MA)</td></tr><tr><td>2</td><td>Separately Managed Accounts (SMA)</td></tr><tr><td>3</td><td>Unified Managed Accounts (UMA)</td></tr><tr><td colspan="2">Separate Accounts (Type SA)</td></tr><tr><td>4</td><td>Separate Accounts</td></tr><tr><td colspan="2">Demand Deposit Account (Type DD)</td></tr><tr><td>5</td><td>Demand Deposit Account</td></tr></table>	Exchange Traded Managed Funds (Type EM)		Q	NextShares	Hedge Fund (Type HF)		H	Hedge Fund	Collective Investment Trust (Type CT)		1	Collective Investment Trust	Managed Accounts (Type MA)		2	Separately Managed Accounts (SMA)	3	Unified Managed Accounts (UMA)	Separate Accounts (Type SA)		4	Separate Accounts	Demand Deposit Account (Type DD)		5	Demand Deposit Account
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Separate Accounts (Type SA)																												
4	Separate Accounts																											
Demand Deposit Account (Type DD)																												
5	Demand Deposit Account																											
Distribution Message	Text up to 15 characters	<p>Denotes the type of distribution message generated for symbol on the stated ex-date. The allowable values are:</p> <table><tr><th>Code</th><th>Definition</th></tr><tr><td>Income</td><td>Dividend/Interest</td></tr><tr><td>Capital</td><td>Capital Distribution</td></tr></table>	Code	Definition	Income	Dividend/Interest	Capital	Capital Distribution																				
Code	Definition																											
Income	Dividend/Interest																											
Capital	Capital Distribution																											
Action	1 character, alphanumeric	<p>Denotes the Action value entered by the NFN pricing agent in the inbound NFN message format. The allowable values are as follows:</p> <table><tr><th>Code</th><th>Definition</th></tr><tr><td>N</td><td>New corporate action record</td></tr><tr><td>C</td><td>Corrected corporate action record</td></tr><tr><td>X</td><td>Cancelled corporate action record</td></tr></table>	Code	Definition	N	New corporate action record	C	Corrected corporate action record	X	Cancelled corporate action record																		
Code	Definition																											
N	New corporate action record																											
C	Corrected corporate action record																											
X	Cancelled corporate action record																											
Ex Date	Date, MM/DD/YYYY	<p>Denotes the Ex-Date reported for the Dividend/Interest or Capital Distribution message.</p> <p>(Note: The report content is based on the user provided value for this field.)</p>																										
Payment Date	Date, MM/DD/YYYY -or- NA	<p>Denotes the date on which dividends, interest payments or distributions is expected to be distributed to the NFN instrument’s shareholders of record.</p> <p>If a payment date is reported, this field format will be MM/DD/YYYY.</p> <p>If no payment date is entered, this field will be populated as “NA”.</p>																										
Record Date	Date, MM/DD/YYYY -or- NA	<p>Denotes the date on which shareholders must hold fund shares to receive dividend, interest or distributions.</p> <p>If a record date is reported, this field format will be MM/DD/YYYY.</p> <p>If no record date is entered, this field will be populated as “NA”.</p>																										

Data Field	Field Format	Description										
Reinvest Date	Date, MM/DD/YYYY -or- NA	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	Date, MM/DD/YYYY	Denotes the NFN system date associated with the distribution record event.  If UpdateType = New, the Entry Date field will reflect the date that the record was initially entered into the NFN system.  If UpdateType = Corrected or Cancelled, the Entry Date field will reflect the date that the record was last updated in the NFN system.										
Currency	Alphanumeric	Denotes the currency in which the NFN instrument will submit valuation data as of System Effective Date. Nasdaq will use the <a href="#">GitHub currency alphabetic codes</a> for this field. The default value is "USD".										
Cash Distribution Type	Alphanumeric	<div>This field indicates the type of cash distribution being reported in the following cash distribution fields. Allowable values will be:</div> <table><tr><th>Code</th><th>Definition</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.  Please note that Nasdaq will populate this field as "NA" in the event of a stock only dividend or capital distribution.</td></tr></table>	Code	Definition	Dividend	Cash Dividend	Interest	Interest Income	Special	Special Cash Dividend	NA	Not applicable, no cash distribution being reported.  Please note that Nasdaq will populate this field as "NA" in the event of a stock only dividend or capital distribution.
Code	Definition											
Dividend	Cash Dividend											
Interest	Interest Income											
Special	Special Cash Dividend											
NA	Not applicable, no cash distribution being reported.  Please note that Nasdaq will populate this field as "NA" in the event of a stock only dividend or capital distribution.											
Total Cash Distribution	13 characters, alphanumeric	Denotes the total cash dividend or total interest distribution being reported for the NFN instrument. Firms may report the breakdown of cash dividends / interest distribution in the fields that follow.  At the time of data entry, Total Cash Distribution is reported as \$\$\$\$\$\$.dddddd.  Please note that Nasdaq will populate this field as "NA" in the event of a stock only dividend or capital distribution.										
Non-Qualified Cash Distribution	13 characters, alphanumeric	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).										



Data Field	Field Format	Description
		<p>At the time of data entry, non-qualified cash distribution is entered as \$\$\$\$\$\$.dddddd.</p> <p>If non-qualified cash distribution is not entered, the field will be populated as "NA".</p>
Qualified Cash Distribution	13 characters, alphanumeric	<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>At the time of data entry, qualified cash distribution is entered as \$\$\$\$\$\$.dddddd.</p> <p>If qualified cash distribution is not entered, the field will be populated as "NA".</p>
Tax-Free Cash Distribution	13 characters, alphanumeric	<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>At the time of data entry, tax free cash distribution is entered as \$\$\$\$\$\$.dddddd.</p> <p>If tax free cash distribution is not entered, the field will be populated as "NA".</p>
Ordinary Foreign Tax Credit	13 characters, alphanumeric	<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>At the time of data entry, ordinary foreign tax credit is entered as \$\$\$\$\$\$.dddddd.</p> <p>If ordinary foreign tax credit is not entered, the field will be populated as "NA".</p>
Qualified Foreign Tax Credit	13 characters, alphanumeric	<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>At the time of data entry, qualified foreign tax credit is entered as \$\$\$\$\$\$.dddddd.</p> <p>If qualified foreign tax credit is not entered, the field will be populated as "NA".</p>
Stock Dividend Ratio	11 characters, alphanumeric	<p>Denotes the <b>stock split/dividend ratio</b> for a NFN instrument. The field format is as follows:</p> <ul style="list-style-type: none"> <li>If a stock split/dividend is entered, the amount will be stated in the following numeric format: <b>\$\$\$\$.dddddd.</b></li> </ul>

Data Field	Field Format	Description
		<ul style="list-style-type: none"> <li>Examples: <ul style="list-style-type: none"> <li>2-for-1 stock split should be reported as "0002.000000".</li> <li>1-for-2 reverse stock split should be reported as "0000.500000".</li> <li>10% stock dividend would be reported as "0001.100000".</li> </ul> </li> <li>If no stock split/dividend is entered, the field will be populated as "NA".</li> </ul>
Short Term Capital Gain	13 characters, alphanumeric	<p>Denotes the per share amount of short-term capital gains for a NFN 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>At the time of data entry, Short Term Gain is reported as \$\$\$\$\$.dddddd.</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	13 characters, alphanumeric	<p>Denotes the total capital gain for the NFN instrument that is taxed to the shareholder at the long-term capital gains rate.</p> <p>At the time of data entry, Long Term Gain is reported as \$\$\$\$\$.dddddd.</p> <p>Please note that Nasdaq will populate this field as "NA" if no long term gain is entered for stated ex-date.</p>
Unallocated Distributions	13 characters, alphanumeric	<p>Denotes the amount of unassigned term gains being reported for the NFN instrument.</p> <p>At the time of data entry, Unallocated Distributions are reported as \$\$\$\$\$.dddddd.</p> <p>Please note that Nasdaq will populate this field as "NA" if no unallocated distribution value is entered for stated ex-date.</p>
Return Of Capital	13 characters, alphanumeric	<p>Denotes the amount of return of capital (ROC) to the NFN instrument's shareholders. Please note that this value should be entered as a dollar amount (not a percentage).</p> <p>At the time of data entry, Return of Capital is reported as \$\$\$\$\$.dddddd.</p> <p>Please note that Nasdaq will populate this field as "NA" if no return of capital is entered for stated ex-date.</p>
Issuer Name	Text up to 150 characters	Denotes the NFN issuer name associated with the NFN instrument at the time that the Ex-Date Report was generated.
Pricing Agent	Text up to 150 characters	Denotes the NFN pricing agent name associated with the NFN instrument at the time that the Ex-Date Report was generated.

## NFN Daily List

Data Field	Field Format	Description						
Status	Text up to 10 characters	Denotes the current instrument status in NFN system. Allowable values are: <table><tr><th>Value</th><th>Definition</th></tr><tr><td>Live</td><td>Live / production security</td></tr><tr><td>Test</td><td>Test security</td></tr></table>	Value	Definition	Live	Live / production security	Test	Test security
Value	Definition							
Live	Live / production security							
Test	Test security							
ISIN	Text up to 12 characters	Denotes the NFN issuer name associated with Denotes the ISIN for the NFN Instrument at the time of the Daily List posting. The ISIN should map to the country of issuance.						
Nasdaq Security Master	10 characters, alphanumeric	Denotes the Nasdaq Security Master, as created by the NFN system, for the NFN instrument as of the System Effective Date.						
Model Portfolio	1 characters, Alpha	Denotes that the instrument is a Model Portfolio. Allowable fields are: <table><tr><th>Code</th><th>Value</th></tr><tr><td>T</td><td>True. The instrument is a Model Portfolio.</td></tr><tr><td>F</td><td>False. The instrument is not a Model Portfolio.</td></tr></table> <p>Please note that Nasdaq will populate this field as “F” if not provided by the Issuer.</p>	Code	Value	T	True. The instrument is a Model Portfolio.	F	False. The instrument is not a Model Portfolio.
Code	Value							
T	True. The instrument is a Model Portfolio.							
F	False. The instrument is not a Model Portfolio.							

### NFN Ex-Date Report Timing

The NFN Ex-Date Report is automatically updated during the NFN U.S. reporting session as NFN pricing agents enter dividend and capital distribution data enter data into the system. For the most complete data set, Nasdaq recommends that firms pull the ex-date report between after the U.S. session close at 8:00 p.m., ET.

## Appendix A –Documentation Version Control Log

Date	Version Information																																																
November 23, 2010	Initial release of MFQS Daily List / MFQS Registration Service specification.																																																
April 7, 2011	Updated “Architecture” section of document to address user security set for NFN Daily List.																																																
May 26, 2011	Updated the URL addresses for the NFN Daily List for the June 13, 2011 release.																																																
June 16, 2011	<p>Added Ex-Date Report file format to the NFN Daily List specification.</p> <p>Corrected event code language for an instrument modification from “Change Request” to “MFQS Attribute Change”.</p> <p>Updated NFN code sample to include a security certificate statement.</p> <p>Updated the URL Address statements to use <a href="https://www.nasdaqMFQS.com">https://www.nasdaqMFQS.com</a> (rather than <a href="https://beta.nasdaqMFQS.com">https://beta.nasdaqMFQS.com</a>).</p>																																																
July 19, 2011	<p>Added Table of Contents and Hours of Operation section to document.</p> <p>Added section on the NFN Daily List transition with a hyperlink to the <a href="#">data comparison document</a> that shows how fields map from the legacy NASDAQ Trader file to the new NFN Daily List file.</p>																																																
May 18, 2012	<p>Updated NFN Daily List file format to reflect new Event Action Codes to be release on or about June 24, 2012. As noted in the release notes section of the document, Nasdaq will be making the following changes to the Event Code values:</p> <table><tr><th>Event Code</th><th>Supported in Initial Release</th><th>Supported in June 2012 Release</th></tr><tr><td>Addition</td><td>Yes</td><td>Yes</td></tr><tr><td>Anticipated Addition</td><td>Yes, but not used</td><td>No</td></tr><tr><td>Deletion</td><td>Yes</td><td>Yes</td></tr><tr><td>UIT Replacement</td><td>Yes</td><td>Yes</td></tr><tr><td>MFQS Attribute Change</td><td>Yes</td><td>Yes</td></tr><tr><td>Correction – Addition</td><td>Yes</td><td>No</td></tr><tr><td>Correction – Deletion</td><td>Yes</td><td>No</td></tr><tr><td>Correction – UIT Replacement</td><td>Yes, but not used</td><td>No</td></tr><tr><td>Correction – NFN Attribute Change</td><td>Yes</td><td>No</td></tr><tr><td>Restore</td><td>No</td><td>Yes</td></tr><tr><td>Withdraw – Addition</td><td>No</td><td>Yes</td></tr><tr><td>Withdraw – Deletion</td><td>No</td><td>Yes</td></tr><tr><td>Withdraw – UIT Replacement</td><td>No</td><td>Yes</td></tr><tr><td>Withdraw – NFN Attribute Change</td><td>No</td><td>Yes</td></tr><tr><td>Withdraw – Restore</td><td>No</td><td>Yes</td></tr></table>	Event Code	Supported in Initial Release	Supported in June 2012 Release	Addition	Yes	Yes	Anticipated Addition	Yes, but not used	No	Deletion	Yes	Yes	UIT Replacement	Yes	Yes	MFQS Attribute Change	Yes	Yes	Correction – Addition	Yes	No	Correction – Deletion	Yes	No	Correction – UIT Replacement	Yes, but not used	No	Correction – NFN Attribute Change	Yes	No	Restore	No	Yes	Withdraw – Addition	No	Yes	Withdraw – Deletion	No	Yes	Withdraw – UIT Replacement	No	Yes	Withdraw – NFN Attribute Change	No	Yes	Withdraw – Restore	No	Yes
Event Code	Supported in Initial Release	Supported in June 2012 Release																																															
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Withdraw – UIT Replacement	No	Yes																																															
Withdraw – NFN Attribute Change	No	Yes																																															
Withdraw – Restore	No	Yes																																															
June 13, 2012	<p>For the NFN Daily List file formats, Nasdaq updated the Documentation Available field description to make it clear that while the flag may appear on Advanced and Next Day file versions, the NFN system will not actually post the supporting document until the stated effective date.</p>																																																

Within the Documentation List file format, Nasdaq added a value to the Documentation Type field list of "P-DRFT" for a draft prospectus.

In addition, Nasdaq added a new file format option of "ExcelXML" for a formatted MS-Excel file to the document.

February 11, 2013

For the March 11, 2013 release, Nasdaq added new Issue Type and Issue Category field values for the new Alternative Investment Product (AIP) asset class to NFN Daily List, NFN Directory and other file formats.

At the request of the market data community, Nasdaq also new NSCC related fields to the NFN Daily List and NFN Directory files formats. In addition, Nasdaq also added a new NFN System Start Date field to the NFN Directory file format.

Please note that the new values and fields are denoted in red typeface within this document.

April 15, 2013

For the NFN Documentation Post file, Nasdaq updated the allowable DocumentationType and AssociatedAction values for website consistency reasons. Nasdaq also updated the field names to match the actual file headers.

July 5, 2013

Nasdaq updated the following field values to reflect NFN system changes to be implemented on or about September 9, 2013:

File Name	Field Names	Update
NFN Daily List – All Versions	MFQS Event Code	Changed value from "UIT Replacements" to "Replacements" as Nasdaq will support the replacement application option for Structured Product instruments as well as Unit Investment Trusts.
NFN Daily List – All Versions	NFN Issue Category – Current, NFN Issue Category – New	Updated Issue Category values for Structured Products instruments to reflect new industry recommendations.
NFN Daily List – All Versions	CUSIP – Current, CUSIP – New	Added note to reflect that CUSIP field will only be populated if the NFN Daily List recipient firm has a valid CUSIP license and entitlement token.
NFN Daily List – All Versions	Deletion Reason	Added "P" value for postponed issuances. Value will be used if the NFN issuer advises Nasdaq of the postponement after the System effective date.

# NFN Daily List

NFN Daily List – All Versions	CUSIP for Merger	Added note to reflect that CUSIP field will only be populated if the NFN Daily List recipient firm has a valid CUSIP license and entitlement token.
NFN Directory	NFN Issue Code	Updated NFN Issue Code values for Structured Products instruments to reflect new industry recommendations.
NFN Directory	CUSIP	Added note to reflect that CUSIP field will only be populated if the NFN Daily List recipient firm has a valid CUSIP license and entitlement token.
NFN Document Posting Service	CUSIP	Added note to reflect that CUSIP field will only be populated if the NFN Daily List recipient firm has a valid CUSIP license and entitlement token.
NFN Document Posting Service	AssociatedAction	Changed value from “UIT Replacement” to “Replacement”.
Ex Date Report	DistributionType	Added value of “Special” for special cash distributions reported by the NFN pricing agent for the instrument.
Ex Date Report	FundCode	Updated FundCode values for Structured Products instruments to reflect new industry recommendations.
Ex Date Report	CUSIP	Added note to reflect that CUSIP field will only be populated if the NFN Daily List recipient firm has a valid CUSIP license and entitlement token.

May 1, 2014

Updated file formats for NFN Daily List, NFN Symbol Directory and NFN Ex-Date Report files to support test symbols. Also standardized NFN field names across products and modify file formats to better reflect instrument data from NFN issuers.

NFN Daily List file format changes:

- Add fields for Test Symbol Flag, Symbol Reuse Flag, Instrument Registration and Total Net Assets – Inception Date.

## NFN Daily List

- Delete Fields for Fund Manager Last Name – Current, Fund Manager First Name – Current, Fund Manager Last Name – New, Fund Manager First Name – New, Fund Manager Start Date.
- Standardize field names.
- Standardize mutual fund codes for Instrument Code field. For Open-end mutual funds, the Instrument Code will change from “Z” to “O”. For Closed-end mutual funds, the Instrument Code will change from “Y” to “C”.

NFN Documentation Post List file format changes:

- Add field for Test Symbol Flag.
- Standardize field names.

NFN Directory file format changes:

- Add new fields for Test Symbol Flag, Instrument Registration, and Total Net Assets – Inception Date.
- Support fields for Distribution Type and Distribution Frequency.
- Delete fields for Fund Manager Last Name and Fund Manager First Name.
- Standardized field names.
- Standardized mutual fund codes for Instrument Code field as noted above.

Ex Date file format changes:

- Add field for Status
- Standardize field names
- Standardize codes for Instrument Type / Tier, Instrument Code, Distribution Message, and Action fields to match NFN Daily List / NFN Directory files.

March 6, 2015	Nasdaq added Instrument Type and Instrument Code values for a new asset class, Exchange Traded Managed Fund (ETMF), to be supported in late 2015.
May 15, 2015	Nasdaq updated its NFN symbology for ETMFs to be 7-characters with no delimiters. The NFN symbol will consist of Nasdaq’s 5-character trading symbol and the ending characters “NX”.
January 20, 2016	Nasdaq updated NextShares Exchange Traded Managed Fund references to reflect product naming changes.

For NFN Daily List, Nasdaq added two Deletion Reason codes for Instrument Conversions (V) and Instrument Reorganizations (R).

For NFN Documentation List, Nasdaq also added a Document Type of “Statement of Reorganization”.

March 7, 2016	Nasdaq added Investor Type fields to NFN Daily List and NFN Directory files. Field is intended to help NFN pricing agents to identify which instruments fall under the SEC Money Market Reform Act reporting requirements.
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February 6, 2017	As of March 6, 2017, Nasdaq will add the following values to Instrument Registration field:
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Code	Value
C	U.S. Commodity Futures Trading Commission (CTFC)

# NFN Daily List

X	SEC Registration Exemption
N	Not Registered with U.S. Regulatory Agency

As of May 15, 2017, Nasdaq will add the following values to Instrument Code field:

Code	Value
Y	Interval Fund
Z	Business Development Company (BDC)

April 25, 2017

For NFN Documentation List, Nasdaq added Document Type Private Placement Memorandum.

November 20, 2017

As of November 20, 2017, Nasdaq will add a new field Instrument Class. This field denotes the share class for each instrument.

January 29, 2018

As of January 29, 2018, Nasdaq will release a new Product Symbol field. The Product Symbol is an identification for a fund that encompasses all share classes within the fund.

March 26, 2018

As of March 26, 2018, Nasdaq will add the following values to Instrument Registration field:

Code	Value
O	Other

For NFN Documentation List, Nasdaq added Document Type Marketing Materials, and The Declaration of Trust.

Nasdaq will add the following to the existing Instrument Type field:

Code	Value
CT	Collective Investment Trust
MA	Managed Accounts
SA	Separate Accounts
HF	Hedge Fund

As of March 26, 2018 Nasdaq will add the following to the existing Instrument Type field:

Code	Value
1	Collective Investment Trust
2	Separately Managed Accounts (SMA)
3	Unified Managed Accounts (UMA)
4	Separate Accounts

June 6, 2018

Integration of rebranding of Mutual Fund Quotation Service (MFQS) to Nasdaq Fund Network (NFN).

As of August 20, 2018, Document name change, removing MFQS from all web service downloads.

Addition of the Product Directory Specification.



## NFN Daily List

	Updated the URL Address statements to use <a href="https://nfn.nasdaq.com">https://nfn.nasdaq.com</a> (rather than <a href="https://www.nasdaqMFQS.com">https://www.nasdaqMFQS.com</a> ).																												
	As of August 20, 2018, new Instrument Code added to Money Market Fund Instrument Type:																												
	<table><tr><th>Type</th><th>Code</th><th>Value</th></tr><tr><td>DD</td><td>5</td><td>Demand Deposit Account</td></tr></table>	Type	Code	Value	DD	5	Demand Deposit Account																						
Type	Code	Value																											
DD	5	Demand Deposit Account																											
June 29, 2018	Added a symbol call option for the NFN Daily List and NFN Advanced Daily list. Customers now have the option to pull these files by symbol, and symbol with a date.																												
September 6, 2018	Updated end point calls to reflect the new URL. Added the following fields to NFN Daily List and Symbol Directory:																												
	<table><tr><th>New fields added to NFN Daily List</th><th>New fields added to Symbol Directory</th></tr><tr><td>Vehicle Legal Structure - Current</td><td>Vehicle Legal Structure</td></tr><tr><td>Vehicle Legal Structure - New</td><td>Instrument Performance</td></tr><tr><td>Instrument Performance - Current</td><td>Rebalance Frequency</td></tr><tr><td>Instrument Performance - New</td><td>GIPS Compliant</td></tr><tr><td>Rebalance Frequency - Current</td><td>Insured</td></tr><tr><td>Rebalance Frequency - New</td><td>Insured Amount</td></tr><tr><td>Number of Accounts</td><td></td></tr><tr><td>Number of Accounts Date</td><td></td></tr><tr><td>Assets Under Management</td><td></td></tr><tr><td>Assets Under Management Date</td><td></td></tr><tr><td>GIPS Compliant</td><td></td></tr><tr><td>Insured</td><td></td></tr><tr><td>Insured Amount</td><td></td></tr></table>	New fields added to NFN Daily List	New fields added to Symbol Directory	Vehicle Legal Structure - Current	Vehicle Legal Structure	Vehicle Legal Structure - New	Instrument Performance	Instrument Performance - Current	Rebalance Frequency	Instrument Performance - New	GIPS Compliant	Rebalance Frequency - Current	Insured	Rebalance Frequency - New	Insured Amount	Number of Accounts		Number of Accounts Date		Assets Under Management		Assets Under Management Date		GIPS Compliant		Insured		Insured Amount	
New fields added to NFN Daily List	New fields added to Symbol Directory																												
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Number of Accounts Date																													
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GIPS Compliant																													
Insured																													
Insured Amount																													
January 10, 2019	Added Issuer Name field to Document Posting Service.																												
	Added three new document types to the Document Posting Service: Proof of Total Net Assets, Summary Plan Description, and Other.																												
March 15, 2019	Added Issuer Directory specification.																												
September 9, 2019	Added Model Portfolio field to NFN Daily List, Symbol Directory.																												
	Added Total Assets Under Management Date field to Issuer Directory.																												
	Added Creation Date field to Document Posting Service.																												
	Removed Assets Under Management and Assets Under Management Date from NFN Daily List, Symbol Directory.																												
October 31, 2019	Removed codes from all Product Fields with dropdown values.																												
	Removed Headquarters field from Product																												

Change field names for the following fields in the Product Directory:

Old field names	New field names
Product Name	Product Name
Web Presence URL	Product Website
Asset Focus	Asset Category
Asset Size Market Cap	Investment Type and Style
Equity Single Sector	Sector
Factor Weighting Method	Weighting Method
Fixed Income Valuation Credit	Credit Quality
Fixed Income Valuation Maturity Periods	Maturity Range
Industry Alignment	Industry
Management Style	Portfolio Management Style
Leverage Amount	Leverage Amount Limits
MPT Stats Benchmark 1 Issuer	Issuer Benchmark Index 1
MPT Stats Benchmark 1 Nasdaq	Nasdaq Benchmark Index 1
MPT Stats Benchmark 2 Issuer	Issuer Benchmark Index 2
MPT Stats Benchmark 2 Nasdaq	Nasdaq Benchmark Index 2
Portfolio Stratification	Portfolio Allocation

January 15, 2021

As of January 25, 2021, Nasdaq will update the Instrument Code values for codes under the mutual funds and structured products below:

Code	Value
Z	Tender Offer Fund
R	Structured Product – Index: Autocall
T	Structured Product – Index: Buffer/Barrier Enhanced Upside
U	Structured Product – Index: Principal Protected
W	Structured Product – Rates

Added the following to Portfolio Top Holdings:

- Security Name
- Asset Category
- Issuer Category

March 8, 2021

Expanded the percent column in Portfolio Top Holdings to 28 characters  
As of May 5th, 2021, Nasdaq will update the Symbol field in the Portfolio Top Holdings table in the Product report to the following:

Old Field Name	New Field Name
Symbol	Security Ticker

Expanding the Security Ticker (PKA Symbol) field to 30 characters

December 13, 2021

As of March 7, 2022, Nasdaq will add the following values to Instrument Registration field:

Code	Value
U	UCITS

July 26, 2022

As of September 26, 2022, Nasdaq will update the Instrument Code values for codes Structured Product instrument type below:

Code	Value
R	Growth
T	Digital
U	Growth and Income
S	Income

Added the following to Deletion Reasons:

- Auto Call
- Issuer Call
- Matured

February 15, 2023

As of April 24, 2022, Nasdaq will add the following value to the Distribution Frequency field:

Code	Value
D	Distributes on Termination

December 20, 2023

Instructions for AccessKey reset via REST API added.