Document title

# NYSE SYMBOLOGY

Version
1.0c

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## PREFACE

**DOCUMENT HISTORY**

The following table provides a description of all changes to this document.

| VERSION NO. | DATE | CHANGE DESCRIPTION |
|---|---|---|
| 1.0 | 10/02/2002 | Issued |
| 1.0a | 12/21/2009 | Formatted into new template |
| | 08/22/2012 | Document rebranded with new NYSE Technologies template |
| 1.0b | 03/12/2015 | Corrected "upwards of" to "up to" everywhere |
| 1.0c | 03/23/2015 | Corrected translation: rw <-> RTWI |

**CONTACT INFORMATION**

**Service Desk**

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**FURTHER INFORMATION**

- For additional product information please visit, http://www.nyxdata.com
- For updated capacity figures, visit our capacity pages at: http://www.nyxdata.com/capacity
- For details of IP addresses, visit our IP address pages at: http://www.nyxdata.com/ipaddresses

**GLOSSARY**

For a full glossary, visit: http://www.nyxdata.com/glossary/

| TERM | DEFINITION |
|---|---|
| Host Format | The format of symbol and suffixes that are used by NYSE systems. |
| Line Format | The format of symbol and suffixes that can be found on the CTA feeds. |
| Root | In the symbol format, this represents the first part of that format that is uniquely assigned to each company/index. In terms of format, the Host format matches the Line format for this part of the symbol. |
| Suffix | In the symbol format, this represents the second part of that format that generally represents additional securities for a company. In terms of format, the Host format differs from the Line format for this part of the symbol. |
| Temporary Suffix | A suffix that is added temporarily to an existing security symbol as an indicator for the security. |

# CONTENTS

# 1.    INTRODUCTION

The NYSE Host Symbol Format is used consistently within the NYSE technical infrastructure and has been in use since the development of the early systems. However, for publishing purposes, Market Data Systems traditionally had to convert the symbol format to a format specified by reporting systems. With the introduction of the NYSE PDP products, much of the data is derived from systems that do not have connections to the Market Data Systems. As part of the decision to move forward, NYSE decided to use the Host format in the distribution of PDP products. This decision would remove possible inconsistencies between future products and would allow the customers the ultimate decision on the implementation of symbol formats.

## 2.    NYSE SYMBOL FORMAT

### 2.1    SYMBOL FORMAT

In all PDP implementations, the symbol field within a message is allocated to contain 16 characters. Although many of the NYSE symbols take much less space, the allocation is necessary for future growth of symbols. The NYSE defines the symbol into two parts: a root and a suffix. The root constitutes the first part of the symbol and it can be up to six characters (although traditionally, most symbols representing companies only use a three-character root). For securities that require suffixes, the second part of the symbol represents the suffix field and can contain up to 10 characters.

To differentiate between a root and suffix, there will be a single space between the two parts. For the symbol ZZZ Preferred A (Line ZZZ.pA, Host ZZZ.PRA), the following format applies:

'ZZZ PRA '

|----- 16 --------|

In the case that the symbol must consume 16 spaces, the format will not be space separated, instead, the data will fill the complete area where the root ends after the sixth location and the suffix begins at the seventh location:

 'RRRRRRSSSSSSSSSS'

Note, that in all formats, there will be no NULL character that ends the symbol.

### 2.1.1    Symbols using only a Root

For the PDP implementation, the symbol with only a root will have the root characters starting at the first position of the 16-character area.  A root can have up to six characters. Since there is no suffix, the remaining space will be filled with a space ' '.

For example, for symbol ZZZ, the following will be the representative format:

'ZZZ '

|----- 16 -------|

## 3.   NYSE HOST TO LINE SYMBOL FORMAT MAPPING

### 3.1   HOST TO LINE DIFFERENCE

In general, the root part of the symbol does not differ from Line (CTA format) as compared to the Host format. The differences lie specifically in the use of separator and the suffix. The NYSE Host Symbol Format does not use the '.' or lowercase notation. Instead, the NYSE Host Symbol Format uses a space between the root and the suffix is always represented with capital letters. As for the suffix differences, this section describes a generalized approach for the conversion. Unfortunately, this conversion does not apply in all cases. In addition, sometimes securities will have suffixes as their primary stock. Please refer to the exceptions section to determine the stocks that do not follow the rules stated in this section. Note: this document serves only as a guideline. If the conversion does not work, you may have an exception that may have not been discovered. Please contact the Global Service Desk to inform us.

### 3.2   HOST SUFFIX TO LINE SUFFIX TABLE

The following table contains the mapping of suffixes between Line and Host suffix. Please refer to the next section for the reverse mapping. Note, that the . and / are interchangeable for Line suffix. Additional note: there is not a 100 % foolproof method of doing the conversion from Host to Line suffix. This is because of the "loss" of data when the line suffix is converted from host. According to the table below, the occurrence should be rare but it may be possible. For example, the stock ZZZ/Pr would translate to ZZZ PRT (ZZZ Class P with rights). Additionally, the stock ZZZpT would also translate to ZZZ PRT (ZZZ Preferred T). Given the documentation below, the ZZZ/Pr should never occur but be careful when implementing. If you have doubts or if it does not match, please contact the Global Service Desk for clarification.

**Table 1 Host Suffix to Line Suffix Table**

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| <v> | /<v> | <v> represents a character; Series (or Class) A-T & V-Z; Examples include the following: ZZZ A is the same as ZZZ/A ZZZ T is the same as ZZZ/T |
| <v>CL | /<v>/CL | Series (or Class) A-T & V-Z Called; Example includes the following: ZZZ ACL is the same as ZZZ/A/CL |
| <v>CV | /<v>/CV | Series (or Class) A-T & V-Z Convertible; Example includes the following: ZZZ ACV is the same as ZZZ/A/CV |
| <v>WI | /<v>w | Series (or Class) A-T & V-Z When Issued; Examples include the following: ZZZ AWI is the same as ZZZ/Aw |
| CL | /CL | Called. Examples include the following: ZZZ CL is the same as ZZZ/CL |

**Table 2 Version 1.1 Last Modified: 10/2/2002 Page 9**

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| CT | /CT | Certificates. Examples include the following: ZZZ CT is the same as ZZZ/CT |
| CV | /CV | Convertible. Examples include the following: ZZZ CV is the same as ZZZ/CV (ZZZ/CV) |
| CVR | /CVR | Contingent Value Right. Examples include the following: ZZZ CVR is the same as ZZZ/CVR |

| HOST | LINE | DESCRIPTION |
|---|---|---|
| CVCL | /CV/CL | Convertible Called. Examples include the following: ZZZ CVCL is the same as ZZZ/CV/CL |
| DP | /DP | Amount of most recent dividend to go "ex-distribution". Example includes the following: ZZZ DP is the same as ZZZ/DP |
| DV | /DV | Accumulated dividend per share, net of expenses, through and including the previous day's close of trading Example includes the following: ZZZ DV is the same as ZZZ/DV |
| EC | /EC | Emerging Company Marketplace. Example includes the following: ZZZ EC is the same as ZZZ/EC |
| EU | /EU | Estimated cash amount for creation unit. Example includes the following: ZZZ EU is the same as ZZZ/EU |
| FN | /F/N | Foreign News. Example includes the following: ZZZ FN is the same as ZZZ/F/N |
| ID | /ID | Index – differentiates an index from a stock with the same root symbol. Example includes the following: III ID is the same as III/ID |
| IV | /IV | Intra-day Net Asset Value per share. Example includes the following: ZZZ IV is the same as ZZZ/IV |
| NV | /NV | Net Asset Value per share, as of the close on the previous trading day. Example includes the following: ZZZ NV is the same as ZZZ/NV |
| PP | /PP | Partial Paid. Example includes the following: ZZZ PP is the same as ZZZ/PP |

**Table 3 Version 1.1 Last Modified: 10/2/2002 Page 10**

| HOST | LINE | DESCRIPTION |
|---|---|---|
| PTCL | /PT/CL | Part Called. Example includes the following: ZZZ PTCL is the same as ZZZ/PT/CL |
| PR | p | Preferred. Example includes the following: ZZZ PR is the same as ZZZp |
| PR<v> | p<v> | <v> represents a character; Preferred Series A-T & V-Z; Examples include the following: ZZZ PRA is the same as ZZZpA ZZZ PRB is the same as ZZZpB |
| PR<v>CL | p<v>/CL | <v> represents a character; Preferred Series A-T & V-Z Called; Examples include the following: ZZZ PRACL is the same as ZZZpA/CL ZZZ PRBCL is the same as ZZZpB/CL |
| PR<v>CV | p<v>/CV | <v> represents a character; Preferred Series A-T & V-Z Convertible; Examples include the following: ZZZ PRACV is the same as ZZZpA/CV ZZZ PRBCV is the same as ZZZpB/CV |
| PR<v>WI | p<v>w | <v> represents a character; Preferred Series A-T & V-Z When Issued; Examples include the following: ZZZ PRAWI is the same as ZZZpAw ZZZ PRBWI is the same as ZZZpBw |

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| PRWI | pw | Preferred When Issued; Examples include the following: ZZZ PRWI is the same as ZZZpw |
| PRCL | p/CL | Preferred Called; Examples include the following: ZZZ PRCL is the same as ZZZp/CL |
| PRCV | p/CV | Preferred Convertible; Examples include the following: ZZZ PRCV is the same as ZZZp/CV |
| PRWD | p/WD | Preferred When Distributed; Examples include the following: ZZZ PRWD is the same as ZZZp/WD |
| PRC<v> | pC<v> | Indicates Class A; could also be B-K and M-S; Second Category of Preferred; Examples include the following: ZZZ PRCA is the same as ZZZpCA ZZZ PRCB is the same as ZZZpCB |
| RT | r | Rights. Examples include: ZZZ R is the same as ZZZr |
| RTWI | rw | Rights When Issued. Examples include: ZZZ RTWI is the same as ZZZrw |
| SC | /SC | Small Corporate Offering Registration. Example includes the following: ZZZ SC is the same as ZZZ/SC |

**Table 4 Version 1.1 Last Modified: 10/2/2002 Page 11**

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| SP | /SP | Special. Example includes the following: ZZZ SP is the same as ZZZ/SP |
| SD | /SD | Stamped. Example includes the following: ZZZ SD is the same as ZZZ/SD |
| SO | /SO | Current shares outstanding. in thousands. Example includes the following: ZZZ SO is the same as ZZZ/SO |
| TC | /TC | Total cash amount per creation unit in thousands. Example includes the following: ZZZ TC is the same as ZZZ/TC |
| TEST | /TEST | Exclusive suffix used for intraday test message. Example includes the following: ZZZ TEST is the same as ZZZ/TEST |
| TT | /TT | Tier II Securities Example includes the following: ZZZ TT is the same as ZZZ/TT |
| U | /U | Units (a combination of securities composed of two or more of warrants, common stocks, preferred stocks and/or bonds) Example includes the following: ZZZ U is the same as ZZZ/U |
| VR | /VR | Variable Common Rights. Example includes the following: ZZZ VR is the same as ZZZ/VR |
| WD | /WD | When Distributed. Example includes the following: ZZZ WD is the same as ZZZ/WD |
| WI | w | When Issued. Example includes the following: ZZZ WI is the same as ZZZw |

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| WS | /WS | Warrants. Example includes the following: ZZZ WS is the same as ZZZ/WS |
| WWS | /W/WS | With Warrants. Example includes the following: ZZZ WWS is the same as ZZZ/W/WS |
| WS<v> | /WS/<v> | Warrants Series <v>; Series A-T & V-Z. Example includes the following: ZZZ WSA is the same as ZZZ/WSA |
| WSWI | /WSw | Warrants When Issued. |

**Table 5 Version 1.1 Last Modified: 10/2/2002 Page 12**

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
|  |  | Example includes the following: ZZZ WSWI is the same as ZZZ/WSw |

### 3.3    LINE SUFFIX TO HOST SUFFIX TABLE

The following table contains the mapping of suffixes between Host and Line suffix. Please refer to the previous section for the reverse mapping.

**Table 6 Line Suffix to Host Suffix Table**

| LINE | HOST | DESCRIPTION |
|------|------|-------------|
| /<v> | <v> | <v> represents a character; Series (or Class) A-T & V-Z; Examples include the following: ZZZ A is the same as ZZZ/A ZZZ T is the same as ZZZ/T |
| /<v>/CL | <v>CL | Series (or Class) A-T & V-Z Called; Example includes the following: ZZZ ACL is the same as ZZZ/A/CL |
| /<v>/CV | <v>CV | Series (or Class) A-T & V-Z Convertible; Example includes the following: ZZZ ACV is the same as ZZZ/A/CV |
| /<v>w | <v>WI | Series (or Class) A-T & V-Z When Issued; Examples include the following: ZZZ AWI is the same as ZZZ/Aw |
| /CL | CL | Called. Examples include the following: ZZZ CL is the same as ZZZ/CL |
| /CT | CT | Certificates. Examples include the following: ZZZ CT is the same as ZZZ/CT |
| /CV | CV | Convertible. Examples include the following: ZZZ CV is the same as ZZZ/CV (ZZZ/CV) |
| /CVR | CVR | Contingent Value Right. Examples include the following: ZZZ CVR is the same as ZZZ/CVR |
| /CV/CL | CVCL | Convertible Called. Examples include the following: ZZZ CVCL is the same as ZZZ/CV/CL |
| /DP | DP | Amount of most recent dividend to go "ex-distribution". Example includes the following: ZZZ DP is the same as ZZZ/DP |

| LINE | HOST | DESCRIPTION |
|---|---|---|
| /DV | DV | Accumulated dividend per share, net of expenses, through and including the previous day's close of trading |

### Table 7 Version 1.1 Last Modified: 10/2/2002 Page 13

| HOST | LINE | DESCRIPTION |
|---|---|---|
| | | Example includes the following: ZZZ DV is the same as ZZZ/DV |
| /EC | EC | Emerging Company Marketplace. Example includes the following: ZZZ EC is the same as ZZZ/EC |
| /EU | EU | Estimated cash amount for creation unit. Example includes the following: ZZZ EU is the same as ZZZ/EU |
| /F/N | FN | Foreign News. Example includes the following: ZZZ FN is the same as ZZZ/F/N |
| /ID | ID | Index – differentiates an index from a stock with the same root symbol. Example includes the following: III ID is the same as III/ID |
| /IV | IV | Intra-day Net Asset Value per share. Example includes the following: ZZZ IV is the same as ZZZ/IV |
| /NV | NV | Net Asset Value per share, as of the close on the previous trading day. Example includes the following: ZZZ NV is the same as ZZZ/NV |
| /PP | PP | Partial Paid. Example includes the following: ZZZ PP is the same as ZZZ/PP |
| /PT/CL | PTCL | Part Called. Example includes the following: ZZZ PTCL is the same as ZZZ/PT/CL |
| p | PR | Preferred. Example includes the following: ZZZ PR is the same as ZZZp |
| p<v> | PR<v> | <v> represents a character; Preferred Series A-T & V-Z; Examples include the following: ZZZ PRA is the same as ZZZpA ZZZ PRB is the same as ZZZpB |
| p<v>/CL | PR<v>CL | <v> represents a character; Preferred Series A-T & V-Z Called; Examples include the following: ZZZ PRACL is the same as ZZZpA/CL ZZZ PRBCL is the same as ZZZpB/CL |
| p<v>/CV | PR<v>CV | <v> represents a character; Preferred Series A-T & V-Z Convertible; Examples include the following: ZZZ PRACV is the same as ZZZpA/CV |

### Table 8 Version 1.1 Last Modified: 10/2/2002 Page 14

| HOST | LINE | DESCRIPTION |
|---|---|---|
| | | ZZZ PRBCV is the same as ZZZpB/CV |
| p<v>w | PR<v>WI | <v> represents a character; Preferred Series A-T & V-Z When Issued; Examples include the following: ZZZ PRAWI is the same as ZZZpAw ZZZ PRBWI is the same as ZZZpBw |

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| pw | PRWI | Preferred When Issued; Examples include the following: ZZZ PRWI is the same as ZZZpw |
| p/CL | PRCL | Preferred Called; Examples include the following: ZZZ PRCL is the same as ZZZp/CL |
| p/CV | PRCV | Preferred Convertible; Examples include the following: ZZZ PRCV is the same as ZZZp/CV |
| p/WD | PRWD | Preferred When Distributed; Examples include the following: ZZZ PRWD is the same as ZZZp/WD |
| pC<v> | PRC<v> | Indicates Class A; could also be B-K and M-S; Second Category of Preferred; Examples include the following: ZZZ PRCA is the same as ZZZpCA ZZZ PRCB is the same as ZZZpCB |
| r | R | Rights. Examples include: ZZZ R is the same as ZZZr |
| rw | RTWI | Rights When Issued. Examples include: ZZZ RTWI is the same as ZZZrw |
| /SC | SC | Small Corporate Offering Registration. Example includes the following: ZZZ SC is the same as ZZZ/SC |
| /SP | SP | Special. Example includes the following: ZZZ SP is the same as ZZZ/SP |
| /SD | SD | Stamped. Example includes the following: ZZZ SD is the same as ZZZ/SD |
| /SO | SO | Current shares outstanding. in thousands. Example includes the following: ZZZ SO is the same as ZZZ/SO |
| /TC | TC | Total cash amount per creation unit in thousands. Example includes the following: ZZZ TC is the same as ZZZ/TC |
| /TEST | TEST | Exclusive suffix used for intraday test message. Example includes the following: ZZZ TEST is the same as ZZZ/TEST |
| /TT | TT | Tier II Securities Example includes the following: |

**Table 9 Version 1.1 Last Modified: 10/2/2002 Page 15**

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
|  |  | ZZZ TT is the same as ZZZ/TT |
| /U | U | Units (a combination of securities composed of two or more of warrants, common stocks, preferred stocks and/or bonds) Example includes the following: ZZZ U is the same as ZZZ/U |
| /VR | VR | Variable Common Rights. Example includes the following: ZZZ VR is the same as ZZZ/VR |
| /WD | WD | When Distributed. Example includes the following: ZZZ WD is the same as ZZZ/WD |

| HOST | LINE | DESCRIPTION |
|------|------|-------------|
| w | WI | When Issued. Example includes the following: ZZZ WI is the same as ZZZw |
| /WS | WS | Warrants. Example includes the following: ZZZ WS is the same as ZZZ/WS |
| /W/WS | WWS | With Warrants. Example includes the following: ZZZ WWS is the same as ZZZ/W/WS |
| /WS/<v> | WS<v> | Warrants Series <v>; Series A-T & V-Z. Example includes the following: ZZZ WSA is the same as ZZZ/WSA |
| /WSw | WSWI | Warrants When Issued. Example includes the following: ZZZ WSWI is the same as ZZZ/WSw |

# 4.    NYSE TEMPORARY SUFFIXES

## 4.1    NYSE TEMPORARY SUFFIXES

The temporary suffix represents a temporary change to the underlying security due to market conditions. Note: Temporary suffixes are represented in a codified "Temporary Suffix" field. For the PDP symbols, only the Line format will contain the temporary suffix, the Host format will not.

**Table 10 NYSE Temporary Suffixes**

| HOST | LINE | DESCRIPTION |
|---|---|---|
| | XD | Ex-Dividend. Examples include the following: ZZZ XD is the same as ZZZ/XD |
| | XDIS | Ex-Distribution. Examples include the following: ZZZ XDIS is the same as ZZZ/XDIS |
| | X(r/t) | Ex-Rights. Examples include the following: ZZZ XR is the same as ZZZ/X(r/t) |
| | N | New. Examples include the following: ZZZ N is the same as ZZZ/N |
| | XI | Ex-Interest. Examples include the following: ZZZ XI is the same as ZZZ/XI |

## 5.   NYSE HOST SYMBOL EXCEPTIONS

### 5.1   EXCEPTIONS

This section contains the known exceptions to the rules described above. This list may not be comprehensive since it was constructed with the best of our knowledge and is only up to the date of publication. If you find additional exceptions, please use the contact information at the beginning of this document to inform us.

### 5.2   AMBIGUITIES / EXCEPTIONS TABLE

At this moment in time, there are no known ambiguities or exceptions that exist.