

NYSE Symbology Format

Supplemental Documentation

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DOCUMENT REVISION HISTORY

REVISION	DATE	AUTHOR	DESCRIPTION
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1. Terms

Table 2, below, defines a number of terms that appear throughout this document.

TERM	DEFINITION/DESCRIPTION
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.

Table 2. DEFINITION OF TERMS

2. Document Scope

2.1 Referenced Documents

There are no additional referenced documents for this document.

2.2 Document Overview

This document describes the NYSE Host symbol format used by PDP systems. This document is intended to be a guideline and the basic rules that apply to Line to Host formats conversion apply in general. However, there are exception cases due to historical or business reasons. In so much as possible, this document will contain the exception cases up to the date published. For errors, clarification, and/or omissions, please refer to the contact information presented earlier in this document.

2.3 Web Site

For more information regarding the NYSE PDP products, please reference the following Internet web site:

<http://www.nysedata.com>

3. NYSE Host Symbol Format Overview

3.1 Overview

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 don't 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.

4. NYSE SYMBOL FORMAT

4.1 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 2 parts: a root and a suffix. The root constitutes the first part of the symbol and it can be upwards of 6 characters (although traditionally, most symbols representing companies only use a 3 character root). For securities that require suffixes, the second part of the symbol represents the suffix field and can contain upwards of 10 characters.

To differentiate between a root and suffix, there will be a single space between the 2 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 6th location and the suffix begins at the 7th location.

```
'RRRRRRSSSSSSSSSS'
```

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

4.1.1 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 upwards of 6 characters. Since there is no suffix, the remaining space will be filled with a space ' '.

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

```
'ZZZ          '
|----- 16 -----|
```

5. NYSE HOST to LINE SYMBOL FORMAT MAPPING

5.1 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 and is up to date as of the publication. If the conversion does not work, you may have an exception that may have not been discovered. Please use the contact information earlier in the document to inform us.

5.2 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 doesn't match, please contact NYSE or SIAC for clarification.

Host	Line	Description
<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	/<>/CL	Series (or Class) A-T & V-Z Called; Example includes the following: ZZZ ACL is the same as ZZZ/A/CL
<v>CV	/<>/CV	Series (or Class) A-T & V-Z Convertible; Example includes the following: ZZZ ACV is the same as ZZZ/A/CV
<v>WI	/<>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

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

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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
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
RWI	rw	Rights When Issued. Examples include: ZZZ RWI is the same as ZZZrw
SC	/SC	Small Corporate Offering Registration. Example includes the following: ZZZ SC is the same as ZZZ/SC

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SP	/SP	Special. Example includes the following: <i>ZZZ SP is the same as ZZZ/SP</i>
SD	/SD	Stamped. Example includes the following: <i>ZZZ SD is the same as ZZZ/SD</i>
SO	/SO	Current shares outstanding. in thousands. Example includes the following: <i>ZZZ SO is the same as ZZZ/SO</i>
TC	/TC	Total cash amount per creation unit in thousands. Example includes the following: <i>ZZZ TC is the same as ZZZ/TC</i>
TEST	/TEST	Exclusive suffix used for intraday test message. Example includes the following: <i>ZZZ TEST is the same as ZZZ/TEST</i>
TT	/TT	Tier II Securities Example includes the following: <i>ZZZ TT is the same as ZZZ/TT</i>
U	/U	Units (a combination of securities composed of two or more of warrents, common stocks, preferred stocks and/or bonds) Example includes the following: <i>ZZZ U is the same as ZZZ/U</i>
VR	/VR	Variable Common Rights. Example includes the following: <i>ZZZ VR is the same as ZZZ/VR</i>
WD	/WD	When Distributed. Example includes the following: <i>ZZZ WD is the same as ZZZ/WD</i>
WI	w	When Issued. Example includes the following: <i>ZZZ WI is the same as ZZZw</i>
WS	/WS	Warrents. Example includes the following: <i>ZZZ WS is the same as ZZZ/WS</i>
WWS	/W/WS	With Warrents. Example includes the following: <i>ZZZ WWS is the same as ZZZ/W/WS</i>
WS<v>	/WS/<v>	Warrents Series <v>; Series A-T & V-Z. Example includes the following: <i>ZZZ WSA is the same as ZZZ/WSA</i>
WSWI	/WSw	Warrents When Issued.

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		Example includes the following: ZZZ WSWI is the same as ZZZ/WSw
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5.3 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.

Line	Host	Description
/ <i><v></i>	<i><v></i>	<i><v></i> 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
/ <i><v>/CL</i>	<i><v>CL</i>	Series (or Class) A-T & V-Z Called; Example includes the following: ZZZ ACL is the same as ZZZ/A/CL
/ <i><v>/CV</i>	<i><v>CV</i>	Series (or Class) A-T & V-Z Convertible; Example includes the following: ZZZ ACV is the same as ZZZ/A/CV
/ <i><v>w</i>	<i><v>WI</i>	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
/DV	DV	Accumulated dividend per share, net of expenses, through and including the previous day’s close of trading

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

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		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
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	RWI	Rights When Issued. Examples include: ZZZ RWI 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:

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		<i>ZZZ TT</i> is the same as <i>ZZZ/TT</i>
/U	U	Units (a combination of securities composed of two or more of warrents, common stocks, preferred stocks and/or bonds) Example includes the following: <i>ZZZ U</i> is the same as <i>ZZZ/U</i>
/VR	VR	Variable Common Rights. Example includes the following: <i>ZZZ VR</i> is the same as <i>ZZZ/VR</i>
/WD	WD	When Distributed. Example includes the following: <i>ZZZ WD</i> is the same as <i>ZZZ/WD</i>
w	WI	When Issued. Example includes the following: <i>ZZZ WI</i> is the same as <i>ZZZw</i>
/WS	WS	Warrents. Example includes the following: <i>ZZZ WS</i> is the same as <i>ZZZ/WS</i>
/W/WS	WWS	With Warrents. Example includes the following: <i>ZZZ WWS</i> is the same as <i>ZZZ/W/WS</i>
/WS/<v>	WS<v>	Warrents Series <v>; Series A-T & V-Z. Example includes the following: <i>ZZZ WSA</i> is the same as <i>ZZZ/WSA</i>
/WSw	WSWI	Warrents When Issued. Example includes the following: <i>ZZZ WSWI</i> is the same as <i>ZZZ/WSw</i>

6. NYSE Temporary Suffixes

6.1 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.

Host	Line	Description
	XD	Ex-Dividend. Examples include the following: <i>ZZZ XD is the same as ZZZ/XD</i>
	XDIS	Ex-Distribution. Examples include the following: <i>ZZZ XDIS is the same as ZZZ/XDIS</i>
	X(r/t)	Ex-Rights. Examples include the following: <i>ZZZ XR is the same as ZZZ/X(r/t)</i>
	N	New. Examples include the following: <i>ZZZ N is the same as ZZZ/N</i>
	XI	Ex-Interest. Examples include the following: <i>ZZZ XI is the same as ZZZ/XI</i>

7. NYSE Host Symbol Exceptions

7.1 *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.

7.2 *Ambiguities / Exceptions Table*

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