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## Symbol Look-Up/Directory Data Fields & Definitions

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The symbol directory files are updated periodically through-out each day.

### NASDAQ-Listed Securities

**File Name:** nasdaqlisted.txt  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory>

Field Name	Definition
Symbol	The one to four or five character identifier for each NASDAQ-listed security.
Security Name	Company issuing the security.
Market Category	The category assigned to the issue by NASDAQ based on Listing Requirements. Values: <ul style="list-style-type: none"> <li>• Q = NASDAQ Global Select MarketSM</li> <li>• G = NASDAQ Global MarketSM</li> <li>• S = NASDAQ Capital Market</li> </ul>
Test Issue	Indicates whether or not the security is a test security. Values: Y = yes, it is a test issue. N = no, it is <b>not</b> a test issue.
Financial Status	Indicates when an issuer has failed to submit its regulatory filings on a timely basis, has failed to meet NASDAQ's continuing listing standards, and/or has filed for bankruptcy. Values include: <ul style="list-style-type: none"> <li>• D = Deficient: Issuer Failed to Meet NASDAQ Continued Listing Requirements</li> <li>• E = Delinquent: Issuer Missed Regulatory Filing Deadline</li> <li>• Q = Bankrupt: Issuer Has Filed for Bankruptcy</li> <li>• N = Normal (Default): Issuer Is NOT Deficient, Delinquent, or Bankrupt.</li> <li>• G = Deficient and Bankrupt</li> <li>• H = Deficient and Delinquent</li> <li>• J = Delinquent and Bankrupt</li> <li>• K = Deficient, Delinquent, and Bankrupt</li> </ul>
Round Lot	Indicates the number of shares that make up a round lot for the given security.
File Creation Time:	The last row of each Symbol Directory text file contains a timestamp that reports the File Creation Time. The file creation time is based on when NASDAQ Trader generates the file and can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: 1217200717:03

### Other Exchange-Listed Securities

**File Name:** otherlisted.txt  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory>

Field Name	Definition
ACT Symbol	Identifier for each security used in <a href="#">ACT</a> and <a href="#">CTCI connectivity protocol</a> . Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters.
Field Name Change effective 2/12/2010	More information regarding the symbology convention can be found on this <a href="#">website</a> .
Security Name	The name of the security including additional information, if applicable. Examples are security type (common stock, preferred stock, etc.) or class (class A or B, etc.). Allow up to 255 characters.
Exchange	The listing stock exchange or market of a security. Allowed values are: <ul style="list-style-type: none"> <li>• A = NYSE MKT</li> <li>• N = New York Stock Exchange (NYSE)</li> <li>• P = NYSE ARCA</li> <li>• Z = BATS Global Markets (BATS)</li> </ul>
CQS Symbol	Identifier of the security used to disseminate data via the SIAC Consolidated Quotation System (CQS) and Consolidated Tape System (CTS) data feeds. Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters. More information regarding the symbology convention can be found on this <a href="#">website</a> .

ETF	Identifies whether the security is an exchange traded fund (ETF). Possible values: <ul style="list-style-type: none"> <li>Y = Yes, security is an ETF</li> <li>N = No, security is not an ETF</li> </ul> For new ETFs added to the file, the ETF field for the record will be updated to a value of "Y".
Round Lot Size	Indicates the number of shares that make up a round lot for the given security. Allow up to 6 digits.
Test Issue	Indicates whether the security is a test security. <ul style="list-style-type: none"> <li>Y = Yes, it is a test issue.</li> <li>N = No, it is <b>not</b> a test issue.</li> </ul>
NASDAQ Symbol  New field effective 2/12/2010	Identifier of the security used to in various NASDAQ connectivity protocols and NASDAQ market data feeds. Typical identifiers have 1-5 character root symbol and then 1-3 characters for suffixes. Allow up to 14 characters.  More information regarding the symbology convention can be found on this <a href="#">website</a>
File Creation Time:	The last row of each Symbol Directory text file contains a timestamp that reports the File Creation Time. The file creation time is based on when NASDAQ Trader generates the file and can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: File Creation Time: 1217200717:03

## Market Participants

**File Name:** mpidlist.txt  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory>

Field Name	Definition
MPID	The identifier for each market participant. In cases where a Market-Making firm trades a security from a location other than its main trading location, a fifth-letter may be appended to the Market Makers identifier for that security. Each Market Maker is free to use any letter to designate a specific branch location as desired.
MP Type	There are several types of NASDAQ participants. Listed below are the characters used with its corresponding market participant type. A = Agency Quote C = Electronic Communications Network (ECN) E = Exchange M = Market Maker N = Miscellaneous O = Order Entry Firm P = NASDAQ Participant Q = Query Only Firm S = Specialist
Name	The firm name of the Market Participant.
Location	The geographic location or the trading desk(s) name of the firm.
Phone Number	The telephone number of the geographic location or trading desk of the firm.
NASDAQ Member	Indicates whether a Market Participant is a member of the NASDAQ Exchange. Possible values are: <ul style="list-style-type: none"> <li>Y = Yes, MP is a NASDAQ exchange member</li> <li>N = No, MP is not a NASDAQ exchange member</li> </ul>
FINRA Member	Indicates whether a Market Participant is a member of the Financial Regulatory Authority (FINRA) <ul style="list-style-type: none"> <li>Y = Yes, MP is a FINRA member</li> <li>N = No, MP is not a FINRA member</li> </ul>
NASDAQ BX Member *	Indicates whether a Market Participant is currently a member of the Boston Stock Exchange (BSE) or a market participant on the former BSE equity trading platform. It is expected that such Market Participants will continue to have trading rights on a NASDAQ BX equity trading platform. <ul style="list-style-type: none"> <li>Y = Yes, MP is a NASDAQ BX member</li> <li>N = No, MP is not a NASDAQ BX member</li> </ul> Please refer to the <a href="#">General Notice 2008-10</a> for more information about this field.
PSX Participant	Indicates whether a MP is currently a member of NASDAQ PHLXSM (PHLX00ae) and eligible to trade on PSX.. <ul style="list-style-type: none"> <li>Y = Yes, MP is a PHLX member, eligible to trade on PSX</li> <li>N = No, MP is not eligible to trade PSX</li> </ul> <b>Initially, this field will be populated with the value of 201cN201d. Additional notification may occur when this field will begin populating with the value of 201cY201d.</b>  Please refer to the <a href="#">General Notice 2010-02</a> for more information about this field.
File Creation Time:	The last row of each Symbol Directory text file contains a timestamp that reports the File Creation Time. The file creation time is based on when NASDAQ Trader generates the file and can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: File Creation Time: 1217200717:03      .

## Mutual Funds

**File Name:** mfunlist.txt  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory>

Data Field	Definition
Fund Symbol	The identifier for each mutual fund or money market.
Fund Name	The name of each mutual fund or money market.
Fund Family Name	The Name of the Fund Company that is responsible for the fund.
Type	<p>A code used to provide the type of fund.</p> <p>The allowed values are:</p> <p>AN = Annuities  MF = Mutual Fund  MS = Supplemental Mutual Fund  \$\$ = Money Market Fund  \$\$ = Supplemental Money Market Fund  SP = Structured Products  US = UIT Supplemental List  UT = UIT News Media List</p>
Category	<p>The subcategory of the fund type.</p> <p>The allowed values are:</p> <p>For Annuities (AN):  M = Variable  N = Equity Indexed</p> <p>For Mutual Fund (MF)  O = Open-end  C = Closed-end</p> <p>For Money Fund (MS)  A = General Purpose  G = Govt. Securities  X = Tax-Exempt</p> <p>For Structured Products (SP)  R = Access Transaction  S = Tax Driven Structure  T = Buffered Note  U = Principal Protected Note  V = Levered Note  W = Enhanced Income Note</p> <p>For Unit Investment Trust (US or UT)  E = Equity  F = Not Used/Reserved  D = Fixed Income</p>
Pricing Agent	The firm responsible for the pricing of the fund.
File Creation Time	The last row of each Symbol Directory text file contains a timestamp that reports the File Creation time for the corresponding file. This timestamp can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmddyyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: File Creation Time: 1217200717:03     .

## PBOT Futures

**File Name:** pbot.csv  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/SymbolDirectory/pbot.csv>

Field Name	Definition
Commodity ID	3-character symbol identifying given product, common for all series of this product.
PBOT Product Symbol	The identifier for this particular series of the product, consists of the 3-character commodity ID + 2-character code identifying expiration date for the given series.
PBOT Product Description	The name of the given PBOT Product.
Last Trade Date	The last business day on which trading can occur for the given series, in yyyyymmdd format. Depending on the product type, this day may be the same as the expiration day or the last business day before the expiration day.
Expiration Date	The date on which the given series for the PBOT product and the right to exercise it cease to exist, in yyyyymmdd format.

## NASDAQ Options Market

**File Name:** options.txt  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory/>

**Please Note:** The NASDAQ Options Market plans to support a real time directory message on its [Options data feeds](#). This message is intended to provide data recipients with the directory of eligible options available on The NASDAQ Options Market at the start of each trading day. This directory message will be disseminated each morning and will also support intraday additions. NASDAQ considers the data feed delivery of this information as the gold source of option classes eligible for the current trading day on The NASDAQ Options Market.

The list includes options traded on the NASDAQ Options Market.

Data Field	Definition
Root Symbol	Root 1-6 character identifier for options with the same underlying security.
Options Closing Type	Allowed Values: <ul style="list-style-type: none"> <li>N - Normal Hours</li> <li>L - Late Hours</li> </ul>
Options Type	Allowed Values: <ul style="list-style-type: none"> <li>P - Put</li> <li>C - Call</li> </ul>
Expiration Date	Format – mm/dd/yyyy
Explicit Strike Price	The specific price which the contract may be exercised, or acted on.
Underlying Symbol	Denotes the unique symbol assigned to the underlying security within NASDAQ Options Market System
Underlying Issue Name	The Company Name of the Issuer. In many cases, this field contains a description of the Issue, such as the Class or the Annual Percentage Rate of an Issue.
Pending	Indicates whether the options is currently trading on the NASDAQ Options Market or is in a pending state and will begin trading on the next trading day. <ul style="list-style-type: none"> <li>Y - Pending Status, the specific option will be added for trading prior to system startup on the next trading day.</li> <li>N - Currently trading on the NASDAQ Options Market</li> </ul>
File Creation Time	The last row of each Symbol Directory text file contains a timestamp that reports the File Creation time for the corresponding file. This timestamp can be used to determine the timeliness of the associated data. The row contains the words File Creation Time followed by mmdyyyhhmm as the first field, followed by all delimiters to round out the row. An example: File Creation Time: File Creation Time: 1217200717:03    .

## NASDAQ PHLX Equity Options

**File Name:** phlxoptions.csv  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/SymbolDirectory/phlxoptions.csv>

Field Name	Definition
Company	Name of company issuing the security.
Cycle	This is one of the existing expiration cycles for equity options. All Equity Options products are divided into three expiration cycles where the new far-off expiration dates are picked from the first, second or third months of a quarter, called JAN, FEB and MAR, respectively. For all non-equity Options (Indexes, ETFs etc.), the OTH ("Other") expiration cycle is assigned.
Option Symbol	Root 1-6 character identifier for options with the same underlying security.
Stock Symbol	The identifier for each security (such as Equity, Index, ETF, etc) to which the given options security is based on. Identifiers are typically 1-5 characters.
Specialist Unit	Name of the trading company acting as the Specialist for this product at NASDAQ PHLX

## NASDAQ PHLX Options Strike Prices

**File Name:** phlxstrikes.zip  
**FTP Directory:** <ftp://ftp.nasdaqtrader.com/symboldirectory/phlxstrikes.zip>

Field Name	Definition
Symbol	Root symbol of the option.
Equity Underlying	Stock symbol of the primary security that underlies the option.
Phlx Underlying	PHLX symbol of the security that underlies the option.
Maturity Year	Year portion of the option's expiration/maturity date.
Maturity Month	Month portion of the option's expiration/maturity date.
Maturity Day	Day portion of the option's expiration/maturity date.

CFI Code	Financial instrument code. Values: <ul style="list-style-type: none"><li>• OC = Call</li><li>• OP=Put</li></ul>
Strike Price Dollar	Dollar portion of the option's strike price.
Strike Price Decimal	Decimal portion of the option's strike price.
Put Or Call	Identifies whether the option is a put or call. Values: <ul style="list-style-type: none"><li>• C = Call</li><li>• P = Put</li></ul>
Month Code  Field will be removed effective 2/15/2010.	OPRA Code for the option's expiration
Strike Code  Field will be removed effective 2/15/2010.	OPRA code for the option's expiration price.

### Additional Information

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