SIAC

SECURITIES INDUSTRY AUTOMATION CORPORATION

CTA Symbol File

May 5, 2025
Version 1.0

REFERENCE MATERIAL

For CTA Technical Specifications visit www.ctaplan.com - and select Technical tab for the following:

- CQS Pillar Output Specification
- CTS Pillar Output Specification
- CQS Pillar Snapshot Service Specification
- Retransmission and Snapshot User Guide

FURTHER INFORMATION

- For CTA Announcements including feed enhancements, traffic rates, etc. visit www.ctaplan.com

FUTURE ENHANCEMENTS

Future enhancements and/or modifications may require system changes for your firm. Please refer to the CTA Plan website www.ctaplan.com to obtain the latest CTA Notifications and Technical Specification documents. To automatically receive these Notifications and System Alerts, subscribe at: https://www.ctaplan.com/subscribe

Overview

Participants and Data subscribers looking to verify Tape A and Tape B symbol details for the Pillar CTA SIP system can download the CTA symbol file.

Symbol File Availability

Symbol File is made available via FTP by midnight ET each trading day based on data as-of 8:00 pm ET. Adjustments after 8:00 pm are not reflected.

File format: comma-delimited
File name: CTA.Symbol.File.YYYYMMDD.csv
FTP location: https://ftp.nyse.com/cta_symbol_files

Symbol File Layout

Field Name	Description
Symbol	CTA Symbol (includes Symbol Suffix if applicable)
Reserved	Field is reserved for future use and is currently not populated
Primary Listing Market Participant ID	Participant Identifier character code identifying the Primary Listing Market of the symbol

Code	Value
Space	Primary Listing Market Participant ID Not Applicable
A	NYSE American
B	NASDAQ OMX BX
C	NYSE National
D	FINRA ADF
H	MIAX Pearl
I	ISE
J	Cboe EDGA
K	Cboe EDGX
L	LTSE
M	NYSE Texas
N	NYSE
P	NYSE Arca
T	NASDAQ
U	Members Exchange
V	IEX
W	CBSX
X	NASDAQ OMX PSX
Y	Cboe BYX
Z	Cboe BZX

Field Name	Description
Primary Listing Market Previous Closing Price	The last qualifying price for a symbol during the trading day as reported by the Primary Listing Market
Consolidated Closing Price	The last qualifying price for a symbol during the trading day across all Participants
Round Lot Size	The number of shares in a round lot (e.g., 1, 10, 100)
Reserved	Field is reserved for future use and is currently not populated
LULD Tier	Limit Up Limit Down (LULD) tier of the symbol - 0 - LULD not applicable - 1 - LULD Tier 1 - 2 - LULD Tier 2
LULD Leverage Ratio	Leverage factor associated with the LULD Tier of the symbol (e.g., 1,2,3,4)
Test	Identifies whether the symbol is a test symbol - 0 - Not a test symbol - 1 - Test symbol
IPO	Identifies whether the symbol is an IPO - 0 - Not an IPO symbol - 1 - IPO symbol
Financial Status Indicator	Identifies the financial status of the symbol

Code	Value
0	Financial Status Not Applicable
1	Bankrupt
2	Below Continuing Listing Standards
3	Bankrupt & Below Continuing Listing Standards
4	Late Filing
5	Bankrupt & Late Filing
6	Below Continuing Listing Standards & Late Filing
7	Bankrupt, Below Continuing Listing Standards & Late Filing
8	Creations Suspended (for Exchange Traded Products)
9	Redemptions Suspended (for Exchange Traded Products)
A	Liquidation (for Exchange Traded Products)
Short Sale Restriction Indicator	Identifies Short Sale Restriction status for the symbol - Space - Short Sale Restriction Not in Effect - E - Short Sale Restriction in Effect

Field Name	Description
Halt Reason	Identifies the reason for the Trading Halt, and is applicable if Primary Listing Exchange had submitted a halt for the symbol but has not submitted a Resume

Code	Value	Regulatory	Non-Regulatory
Space	Halt Reason Not Applicable		
A	Additional Information Requested	X	
C	Regulatory Concern	X	
D	News Released (formerly News Dissemination)	X	
E	Merger Effective	X	
F	ETF Component Prices Not Available	X	
I	Order Imbalance		X
M	Limit Up-Limit Down (LULD) Trading Pause	X	
N	Corporate Action	X	
O	New Security Offering	X	
P	News Pending	X	
V	Intraday Indicative Value Not Available	X	
X	Operational		X
Y	Sub-Penny Trading		X
1	Market-Wide Circuit Breaker Level 1 – Breached	X	
2	Market-Wide Circuit Breaker Level 2 – Breached	X	
3	Market-Wide Circuit Breaker Level 3 – Breached	X	

Field Name	Description
Instrument Type	Identifies the instrument type for the symbol.

Code	Value
0	CTA Eligible Equity
1	Local Issue
2	Corporate Bond
3	Government Bond

Field Name	Description
Reserved	Field is reserved for future use and is currently not populated
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Document Version History

Version	Date	Description
1.0	05/05/2025	Initial Document Version