



SECURITIES INDUSTRY AUTOMATION CORPORATION

CTA Symbol File

May 18, 2026
Version 1.3

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

CTA Data Subscribers receive real time Symbol Reference Data Messages as part of the reference data push at start of day. Additionally, Data subscribers looking to verify Tape A and Tape B symbol details for the next Pillar CTA SIP session can download the CTA symbol file.

Symbol File Availability

Symbol File is made available via FTP by approx. 8:15 PM ET each trading day and includes any corporate action updates processed as of 8:00 pm ET. The file is regenerated by approx. 8:40 PM ET to incorporate any additional symbol updates processed after the initial file was generated. Data consumers should always retrieve the latest file, as its content may differ from the previous.

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

Note:

- FTP directory may contain more than one file. File with most recent date and timestamp should be processed.

Symbol File Layout

Field Name	Description																																														
Symbol	CTA Symbol (includes Symbol Suffix if applicable)																																														
Prior Security Symbol	Previous Symbol name. Field is populated upon a symbol name change																																														
Primary Listing Market Participant ID	Participant Identifier character code identifying the Primary Listing Market of the symbol <table border="1" data-bbox="542 548 1349 1446"> <thead> <tr> <th>Code</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Space</td> <td>Primary Listing Market Participant ID Not Applicable</td> </tr> <tr> <td>A</td> <td>NYSE American</td> </tr> <tr> <td>B</td> <td>NASDAQ Texas</td> </tr> <tr> <td>C</td> <td>NYSE National</td> </tr> <tr> <td>D</td> <td>FINRA ADF</td> </tr> <tr> <td>F</td> <td>Texas Stock Exchange</td> </tr> <tr> <td>G</td> <td>24X</td> </tr> <tr> <td>H</td> <td>MIAX Pearl</td> </tr> <tr> <td>I</td> <td>ISE</td> </tr> <tr> <td>J</td> <td>Cboe EDGA</td> </tr> <tr> <td>K</td> <td>Cboe EDGX</td> </tr> <tr> <td>L</td> <td>LTSE</td> </tr> <tr> <td>M</td> <td>NYSE Texas</td> </tr> <tr> <td>N</td> <td>NYSE</td> </tr> <tr> <td>P</td> <td>NYSE Arca</td> </tr> <tr> <td>T</td> <td>NASDAQ</td> </tr> <tr> <td>U</td> <td>Members Exchange</td> </tr> <tr> <td>V</td> <td>IEX</td> </tr> <tr> <td>W</td> <td>CBSX</td> </tr> <tr> <td>X</td> <td>NASDAQ OMX PSX</td> </tr> <tr> <td>Y</td> <td>Cboe BYX</td> </tr> <tr> <td>Z</td> <td>Cboe BZX</td> </tr> </tbody> </table>	Code	Value	Space	Primary Listing Market Participant ID Not Applicable	A	NYSE American	B	NASDAQ Texas	C	NYSE National	D	FINRA ADF	F	Texas Stock Exchange	G	24X	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
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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)																																														
Minimum Price Increment Indicator	Identifies the applicable tick size for a symbol <ul style="list-style-type: none"> - 1 - Penny MPI (0.01) - 2 - Halt-Penny MPI (0.005) 																																														

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LULD Tier	Limit Up Limit Down (LULD) tier of the symbol <ul style="list-style-type: none"> - 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 <ul style="list-style-type: none"> - 0 - Not a test symbol - 1 - Test symbol 																								
IPO	Identifies whether the symbol is an IPO <ul style="list-style-type: none"> - 0 - Not an IPO symbol - 1 - IPO symbol 																								
Financial Status Indicator	Identifies the financial status of the symbol <table border="1" style="margin-left: 20px;"> <thead> <tr> <th>Code</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>0</td> <td>Financial Status Not Applicable</td> </tr> <tr> <td>1</td> <td>Bankrupt</td> </tr> <tr> <td>2</td> <td>Below Continuing Listing Standards</td> </tr> <tr> <td>3</td> <td>Bankrupt & Below Continuing Listing Standards</td> </tr> <tr> <td>4</td> <td>Late Filing</td> </tr> <tr> <td>5</td> <td>Bankrupt & Late Filing</td> </tr> <tr> <td>6</td> <td>Below Continuing Listing Standards & Late Filing</td> </tr> <tr> <td>7</td> <td>Bankrupt, Below Continuing Listing Standards & Late Filing</td> </tr> <tr> <td>8</td> <td>Creations Suspended (for Exchange Traded Products)</td> </tr> <tr> <td>9</td> <td>Redemptions Suspended (for Exchange Traded Products)</td> </tr> <tr> <td>A</td> <td>Liquidation (for Exchange Traded Products)</td> </tr> </tbody> </table>	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)
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Short Sale Restriction Indicator	Identifies Short Sale Restriction status for the symbol <ul style="list-style-type: none"> - Space - Short Sale Restriction Not in Effect - E - Short Sale Restriction in Effect 																								

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Halt Reason	<p>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</p> <table border="1"> <thead> <tr> <th>Code</th> <th>Value</th> <th>Regulatory</th> <th>Non-Regulatory</th> </tr> </thead> <tbody> <tr> <td>Space</td> <td>Halt Reason Not Applicable</td> <td></td> <td></td> </tr> <tr> <td>A</td> <td>SIP Outage, Material SIP Latency, or Extraordinary</td> <td>X</td> <td></td> </tr> <tr> <td>C</td> <td>Regulatory Concern</td> <td>X</td> <td></td> </tr> <tr> <td>D</td> <td>News Released (formerly News Dissemination)</td> <td>X</td> <td></td> </tr> <tr> <td>E</td> <td>Merger Effective</td> <td>X</td> <td></td> </tr> <tr> <td>F</td> <td>ETF Component Prices Not Available</td> <td>X</td> <td></td> </tr> <tr> <td>I</td> <td>Order Imbalance</td> <td></td> <td>X</td> </tr> <tr> <td>M</td> <td>Limit Up-Limit Down (LULD) Trading Pause</td> <td>X</td> <td></td> </tr> <tr> <td>N</td> <td>Corporate Action</td> <td>X</td> <td></td> </tr> <tr> <td>O</td> <td>New Security Offering</td> <td>X</td> <td></td> </tr> <tr> <td>P</td> <td>News Pending</td> <td>X</td> <td></td> </tr> <tr> <td>V</td> <td>Intraday Indicative Value Not Available</td> <td>X</td> <td></td> </tr> <tr> <td>X</td> <td>Operational</td> <td></td> <td>X</td> </tr> <tr> <td>Y</td> <td>Sub-Penny Trading</td> <td></td> <td>X</td> </tr> <tr> <td>1</td> <td>Market-Wide Circuit Breaker Level 1 – Breached</td> <td>X</td> <td></td> </tr> <tr> <td>2</td> <td>Market-Wide Circuit Breaker Level 2 – Breached</td> <td>X</td> <td></td> </tr> <tr> <td>3</td> <td>Market-Wide Circuit Breaker Level 3 – Breached</td> <td>X</td> <td></td> </tr> </tbody> </table>	Code	Value	Regulatory	Non-Regulatory	Space	Halt Reason Not Applicable			A	SIP Outage, Material SIP Latency, or Extraordinary	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	
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Document Version History

Version	Date	Description
1.3	05/18/2026	<ul style="list-style-type: none">▪ Updated existing Reserve field in file to populate 'ETP Identifier'▪ Updated filename to include timestamp (HMMSS)▪ Added support for file regeneration to include additional symbol updates▪ Updated Halt Reason Code 'A' description▪ Renamed Nasdaq BX to Nasdaq Texas
1.2	01/29/2026	<ul style="list-style-type: none">▪ Updated existing Reserve field to populate symbol MPI value▪ Added Participant Code for Texas Stock Exchange
1.1	08/01/2025	Updated existing Reserve field in file to populate 'Prior Symbol Name'
1.0	05/05/2025	Initial Document Version