



## Corporate Actions of NYSE Group Listings - Client Specification

Version  
3.1

Date  
12 Jun 2024

## Preface

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### Document History

Version No.	Date	Change Description
1.0	25/11/2011	First release of document
1.1	23/10/2012	Document updated throughout and rebranded with new NYSE template
1.2	27/02/2014	Document updated to reflect April 7 <sup>th</sup> 2014 enhancements and additions
1.3	28/02/2014	Document updated to reflect frequency enhancements to Daily Corporate Actions
1.3.1	09/04/2014	Document updated to reflect new Current Market field values
2.0	07/28/2014	Document updated to reflect September 8 <sup>th</sup> 2014 enhancements and addition of the Daily Corporate Actions, Ex-Date and Ticker Notices files
2.1	06/15/2016	<p>Document updated to reflect addition in the Ticker Notice file of 'TickPilot' field as well as inclusion of 'ActionCode' values (Page 9-14):</p> <ul style="list-style-type: none"> <li>- 'ProdSymChng'</li> <li>- 'ProdCUSChng'</li> <li>- 'PSCChng'</li> <li>- 'ProdNameChng'</li> <li>- 'ProdNameSymChng'</li> <li>- 'ProdNameCUSChng'</li> <li>- 'PNSCChng'</li> </ul> <p>A list of Notice Types has been added to Section 4.2. (Page 9-14)</p> <p>A list of Action Type Codes has been added to Section 4.3 (Page 9-14)</p>
2.1.1	10/26/2016	Revised description language.
2.1.2	07/07/2017	Revised version with updated NYSE American branding.
2.2.1	08/17/2018	Revised version to reflect migration from FTP2 to MFT server location.
2.2.2	02/20/2021	<p>Document updated to reflect enhancements to TickerNotices "Action Type" for Direct Listings.</p> <p>Updated contact information and website links.</p>
2.2.3	03/24/2022	Updated branding

Version No.	Date	Change Description
2.2.4	08/08/2022	<ul style="list-style-type: none"> <li>- Added new file delivery method instructions and directory layout for accessing data via AWS S3 Cloud and NYSE SFTP.</li> <li>- Revised field length for column "Notice_Body/" from '3200' to 'Unlimited' for InfoNotices in Section 4.2.</li> <li>- Removed 'TickPilot' value from column "Notes" for TickerNotices in Section 4.3.</li> <li>- Sequence update for Notice ID; will begin at 40,000 on August 8, 2022.</li> <li>- Added 3 Notice Types to Table 4 in Section 4.2. <ul style="list-style-type: none"> <li>• Bond Maturity</li> <li>• Business Combination</li> <li>• Stock Distribution</li> </ul> </li> <li>- Removed 1 Notice Type from Table 4 in Section 4.2. <ul style="list-style-type: none"> <li>• Change in DMM / Post</li> </ul> </li> <li>- Removed 1 Action Type from Table 6 in Section 4.3. <ul style="list-style-type: none"> <li>• Change in DMM / Post</li> </ul> </li> <li>- Renamed the below 5 fields in Table 5 in Section 4.3. <ul style="list-style-type: none"> <li>• 'CompanyName' renamed 'IssuerName'</li> <li>• 'CurrentExchange' renamed 'Exchange'</li> <li>• 'IssueName' renamed 'SecurityName'</li> <li>• 'IssueSymbol' renamed 'SecuritySymbol'</li> <li>• 'IssueType' renamed 'SecurityType'</li> </ul> </li> </ul>
2.2.5	08/08/2022	<ul style="list-style-type: none"> <li>- Added 1 Action Type to Table 6 in Section 4.3. <ul style="list-style-type: none"> <li>• New Structured Product</li> </ul> </li> </ul>
3.0	05/06/24	<ul style="list-style-type: none"> <li>-Added new Distributions and Ex-Date Distribution files <ul style="list-style-type: none"> <li>• New Distributions file replacing Corp Action of NYSE Group Listing file</li> <li>• New Ex-Date Distribution file replace NYSE Ex-Date Corp Action file</li> <li>• Existing fields broken down in their own individual elements</li> <li>• New fields displayed in a more organized format</li> <li>• New Dividend Type: Right Offering</li> </ul> </li> </ul>
3.1	6/12/24	<ul style="list-style-type: none"> <li>-Capitalized Values in fields for Dividend_Type, Distribution Method and Frequency</li> </ul>

### Contact Information

#### NYSE Service Desk

- Email: [support@nyse.com](mailto:support@nyse.com)

#### Further Information

- For additional product information, visit: [Corporate Actions for NYSE Group Listings](#)

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## 1. Introduction

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This document describes the Corporate Actions of NYSE Group Listings product and provides detailed information regarding delivery time of the data, file names, layouts, SFTP, and S3 directory structures. NYSE Group includes NYSE, NYSE American and NYSE Arca content.

## 2. Corporate Actions of NYSE Group Listings Product Structure

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The Corporate Actions of NYSE Group Listings product is comprised of several reports and provides information for equities listed on the New York Stock Exchange (“NYSE”), NYSE American (“NYSE American”) and NYSE Arca (“NYSE Arca”) market centres, including, but not limited to, new listings (for example IPOs, spin-offs and structured product listings), corporate actions, cash dividends, proxy related matters, and so forth.

### 2.1 Distributions of NYSE Group Listings

The Distributions reports provide dividend information created by the Corporate Actions of NYSE Group Listings team covering NYSE, NYSE American and NYSE Arca markets (NYSE Group). The intraday reports are provided throughout the day in Text, Microsoft Excel, and XML formats and can be delivered by email, SFTP, S3 or downloaded from our website (HTTP). Additionally, start of day and end of day summary reports are available to clients that wish to receive a consolidated list of this information.

### 2.2 NYSE Group Ex-Date Distributions

The Ex-Date Distributions report distributes a complete listing of Dividends for NYSE Group (dividends, stock splits, spin-offs and so forth) two days prior the “Ex-Date” where “Ex-Date” is Record Date minus two trading days (unless otherwise directed). The file, created by the end of the day, is available in Text, Microsoft Excel and XML formats and can be delivered by email, SFTP, S3 or downloaded from our website (HTTP).

### 2.3 Info Notices

Info Notices about spin-offs and other new listings and corporate actions (mergers & acquisitions, name and symbol changes, tender offers, stock splits, special trading markets: “When-Issue”, “Ex-Distribution”, “When-Distributed” and so forth) are created by the Corporate Actions of NYSE Group Listings team and cover NYSE, NYSE American and NYSE Arca markets. Info Notices provide a window into the life of a corporate actions event and are distributed throughout the day in Text format and can be delivered by email, SFTP, S3 or downloaded from our website (HTTP).

### 2.4 Ticker Notices

Ticker Notices are summaries of timely new listings (IPOs, spin-offs, structured product listings and so forth), special trading markets and corporate actions information such as mergers, stock splits, rights offering, tender/exchange offers, redemptions, name and symbol changes for NYSE Group-listed issues. Ticker Notices are distributed intraday in Text and Microsoft Excel formats and can be delivered by email, SFTP, S3 or downloaded from our website (HTTP). Start of day and end of day summary reports will be available.

### 3. Delivery Schedule

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#### 3.1 NYSE Group Daily Distributions

- The intraday reports are provided every hour from 8h00am ET to 3h00pm ET.
- The intraday reports are provided every 15 minutes from 3h00pm ET to 9h00pm ET.
- The summary reports are provided at 8h30am ET, 5h30pm ET and at 11h00pm ET:
  - The 8h30am ET (start of day) report carries all information published in T-1 (previous trading day).
  - The 5h30pm ET (end of day) report carries all information published in T (current trading day).
  - The 11h00pm ET (end of day) report carries all information published in T (current trading day). This report is created only when new information was published on T from 5h30pm ET to 11pm ET.

#### 3.2 NYSE Group Ex-Date Distributions

The Ex-Date Report is provided twice a day at 5h30pm ET and 11h00pm ET.

#### 3.3 Info Notices

Info Notices files are delivered every hour from 8h00am ET to 8h00pm ET on the SFTP server and updated on our website. Additionally, Info Notices are emailed intraday to clients from the address NYSEDataMail@nyse.com.

#### 3.4 Ticker Notices

- Ticker Notices are delivered daily every hour from 8h00am ET to 8h00pm ET.
- The summary reports are provided at 8h30am ET, 5h30pm ET and at 11h00pm ET:
  - The 8h30am ET (start of day) report carries all information published in T-1 (previous trading day).
  - The 5h30pm ET (end of day) report carries all information published in T (current trading day).
  - The 11h00pm ET (end of day) report carries all information published in T (current trading day). This report is created only when new information was published on T from 5h30pm ET to 11pm ET.
- The effective Ticker Notices are delivered daily at 5h30pm ET. The report carries all information expected to become effective the next trading day (T+1).

## 4. File Layouts

### 4.1 NYSE Group Distributions & NYSE Group Ex-Date Distributions

**Table 1 File Layout – NYSE Group Distributions & NYSE Group Ex-Date Distributions**

Field Name	Format	Length	Description
<b>DividendID</b>	Number	20	Corporate action identification number which uniquely identifies each corporate action. This allows data recipients to determine changes made to already declared corporate actions.
<b>Exchange</b>	Text	225	NYSE Group listed Exchange: "NYSE" "NYSE American" "NYSE Arca
<b>Security_Symbol</b>	Text	10	NYSE Group listed security symbol in [symbol]_[symbol suffix]_[symbol class] format where "_" is a space.
<b>CUSIP</b>	Text	9	Standard and Poor's CUSIP identifier for the given security.
<b>Issuer_Name</b>	Text	180	Issuer registered name with the SEC. Post Trade will remove any commas from Issuer Registered Name field.
<b>Security_Name</b>	Text	180	Security Name as registered with the SEC.
<b>Security_Type</b>	Text	100	Values Include: <ul style="list-style-type: none"> <li>- ADS: Common</li> <li>- ADS: Preferred</li> <li>- Bond</li> <li>- Common Stock</li> <li>- ETF</li> <li>- ETV</li> <li>- ETN</li> <li>- Global Registered Share</li> <li>- NY Registry Shares</li> <li>- Option</li> <li>- Preferred Stock</li> <li>- Structured Product</li> <li>- Structured Product: Retail Debt</li> <li>- Structured Product: Mandatory Conversion</li> <li>- Structured Product: Repackaged Security</li> <li>- Structured Product: Trust Preferred</li> <li>- Subscription Receipt</li> <li>- Purchase Right</li> <li>- Contingent Value Right</li> </ul>



Field Name	Format	Length	Description
			- Warrant - Unit - Rights
<b>ADS_ratio</b>	Text	150	Formerly in Misc Notes field.
<b>Foreign_Private_Issuer_Flag</b>	Text	1	Indicates if the issuer is a non-US Private entity. Y or Blank
<b>Dividend_Type</b>	Text	100	Valid Dividend types: CASH CASH & STOCK CASH & STOCK SPLIT STOCK DISTRIBUTION STOCK SPLIT (FORWARDS ONLY) SPIN OFF RIGHTS OFFERING  Note: This field will NOT contain Reverse Stock Splits.
<b>Frequency</b>	Text	100	Payment frequency for the given security (for dividends). Valid Values: DAILY WEEKLY MONTHLY BI_MONTHLY QUARTERLY SEMI_ANNUALLY AD_HOC
<b>Declared_Date</b>	Date		Date on which the corporate action was declared. If not applicable will be blank. Format: MM/DD/YYYY
<b>Announcement_Date</b>	Date		Formerly in Misc Notes field.
<b>Ex_Date</b>	Date		The date on or after which a security is traded without a previously declared dividend or distribution.  Note: When T+1 Settlement goes live, Ex-Date will always = Record Date.  Format: MM/DD/YYYY
<b>Record_Date</b>	Date		This is the date on which all shareholders are considered a "holder of record" and ensured the right of a dividend or distribution.

Field Name	Format	Length	Description
			Note: When T+1 Settlement goes live, Record Date will always = Ex-Date. Format: MM/DD/YYYY
<b>Pay_Date</b>	Date		Date on which corporate action distribution will be paid or effective. Format: MM/DD/YYYY
<b>Total_Dividend_Amount</b>	Number	100	Used for Cash (Regular, Cash Special or any combination Cash dividend) only. NYSE will calculate total of any regular, special, or other amounts and provide to PT in single Price Reduction Amount field.  Not applicable to Stock Distribution or Splits Post Trade will ignore value provided if Dividend Type = Spinoff, Transferable Right or Non-Transferable Right and instead will display blank.
<b>Normal_Amount</b>	Number	100	Normal Dividend amount. Applicable to CASH (Regular) only.
<b>Long_Term_Capital_Gains</b>	Text	100	Long Term Capital Gains Dividend amount. Applicable to CASH (Regular) only. May be blank or 0.0000000000000000
<b>Short_Term_Capital_Gains</b>	Text	100	Short Term Capital Gains Dividend amount. Applicable to CASH only. Blank or 0.0000000000000000
<b>Return_of_Capital</b>	Text	100	Return of Capital Dividend amount. Applicable to CASH (Regular) only. Blank or 0.0000000000000000
<b>Special</b>	Text	100	Special Dividend amount. Applicable to CASH (Special) only. Blank or 0.0000000000000000
<b>Other</b>	Number	100	"Other" Dividend amount. Applicable to CASH (both Regular and Special) Blank or 0.0000000000000000
<b>Dividend_Currency</b>	Text	100	Currency Dividend is being paid in if DividendType = Cash. Always = USD in Ex Date File. Else can be USD, CAD, EURO or any other foreign currency.
<b>Exchange_Rate_Type</b>	Number	50	APPROXIMATE or FINAL
<b>Final_Amount</b>	Number	4	Final amount
<b>Final_Amount_Currency</b>	Text	100	Always USD when Exchange Rate Type = Final else Blank

Field Name	Format	Length	Description
<b>Distribution</b>	Number	4	Stock Distribution percentage or share amount to be distributed else blank.
<b>Distribution_Method</b>	Text	50	Indicates if Stock Distribution Method: Valid Values:}  SHARES PERCENT (blank)
<b>Post_Split_Shares</b>	Number	4	For Stock Splits, represents the post-split number of shares.
<b>Pre_Split_Shares</b>	Number	4	For stock splits, represents the pre-split number of shares.
<b>Rights_Per_Share</b>	Number	4	Currently in Misc Notes field.
<b>Rights_Symbol</b>	Text	10	Currently in Misc Notes field.
<b>Spinco_Shares</b>	Number	4	Spinoff Shares
<b>Spinco_Symbol</b>	Text	10	Spinco symbol
<b>First_day_of_Due_Bills</b>	Date		Due bills function as promissory notes and ensure that the correct owner receives a stock's dividend when the stock trades near its ex-dividend date (ex-date).
<b>Last_Day_of_Due_Bills</b>	Date		Last Day of Bill Due
<b>Due_Bill_Settlement_Date</b>	Date		Due Bill Settlement Date
<b>Cancelled_Date</b>	Date		Date of Corporate Action cancellation (if applicable) else null. Format: MM/DD/YYYY
<b>Cancel_Flag</b>	Text	1	Remove Flag set to yes when an already declared corporate action has been removed or cancelled.  Y or N
<b>Cancel_Reason</b>	Text	255	Reason for cancellation (if applicable) else blank. e.g., Security Stricken on YYYY-MM-DD
<b>Misc_Notes</b>	Text	300	Description and/or explanation field used to explain unique features or conditions of the corporate action.  e.g., Regular quarterly cash dividend and annual 3% stock dividend. Cash dividend will be paid 3/30/2023 / Stock dividend will be paid on 4/7/2023, Cash in lieu of fractional shares. The shares to be issued in payment of the stock

Field Name	Format	Length	Description
			dividend are not entitled to receive the cash dividend payable 3/30/2023.
Updated_Date	Date		Date which corporate action was last updated or released. Format: MM/DD/YYYY
Reserved for Future Use			
Reserved for Future Use			

**Table 2 Dividend Types – NYSE Group Distributions & NYSE Group Ex-Date Distributions**

Dividend Type	Description
Cash	Cash dividend payment.
Cash & Stock	Combination of Cash & Stock dividend payment.
Cash & Stock Split	Combination of Cash dividend payment and Forward Stock Split distribution.
Cash-Liquidating	Liquidating distribution payment for funds.- remove we have no such dividend type
Stock Distribution	Stock dividend payment.
Stock Split	Forward Stock Split distribution
Spin Off	The sale or distribution of new shares of an existing business or division of a parent company creating an independent company.
Right Offering	Either Transferable Rights or NonTransferable Rights Offering

## 4.2 InfoNotices

The layout of the InfoNotices files / tables has not been modified.

**Table 3 File Layout – InfoNotices**

Field Name	Format	Length	Description
DateTime	Date		Date of the InfoNotice.
Company	Text	100	Name of the listed company.
Notice_Type	Text	100	Name of the corporate action.

Field Name	Format	Length	Description
Notice_Body	Text	Unlimited	Description and/or explanation field used to explain unique features or conditions of the corporate action(s).

**Table 4 Notice Types – InfoNotices**

Notice Type	Description
<b>Bond Maturity</b>	Date at which point the listed issue, specifically Exchange-traded Notes, and all rights, are extinguished and the issue no longer exists.
<b>Business Combination</b>	Combination between a special purpose acquisition company (SPAC) and another operating company, which is also known as a de-SPAC transaction.
<b>Business Reorganization</b>	The Issuing Entity's business structure is changing.
<b>Call for Redemption</b>	The act of an issuer repurchasing a fixed income issue or convertible issue at or before maturity.
<b>Change - Reclassified</b>	Issuer changes the class designation of its issue's shares.
<b>Change in Domicile</b>	Company changes the state/country of its formation to a different state/company.
<b>Change in Name/Symbol/CUSIP</b>	Company is undergoing a change to its name and/or change to the symbol of 1 or all of its issues and/or change to the CUSIP of 1 or all of its issues.
<b>Change in Terms</b>	Issuer changes the terms applicable to 1 of its issues. The change can be a change in Conversion Ratio, change in Exercise Price, change in Expiration Date, change in Par Value, change in Round-Lot Aspect of Trading.
<b>Change in Underlying Share Ratio</b>	Foreign company changes the ratio of the ADR Issue's share to foreign issue's share.
<b>Conversion</b>	Terms of converting an issue typically of a target company to a cash and/or stock of the acquiring company.
<b>Conversion - Mandatory</b>	TBD
<b>Conversion to Open-End Investment Company</b>	TBD
<b>Dividend - Due-Bills</b>	Company informs the market that a dividend declaration is accompanied with due bills. Due bills are promissory notes and resolve the problem of ensuring that the correct owner receives a stock's dividend when the stock is traded near its ex-dividend date.
<b>Initial Public Offering</b>	The act of offering the stock of a company on a public stock exchange for the first time.

<b>Liquidation</b>	Event that usually occurs when a company is insolvent. The company's operations are brought to an end, and its assets are divided up among creditors and shareholders, according to the priority of their claims.
<b>Mandatory Exchange</b>	TBD
<b>Maturity</b>	The Issuer of a bond agrees to repay investors the original sum loaned at the bond's maturity date.
<b>Merger</b>	The combining of two or more companies, generally by offering the stockholders of one company securities in the acquiring company in exchange for the surrender of their stock.
<b>New Listed Bond</b>	Admitting a new bond for the first time.
<b>New Listing</b>	Admitting a new security for the first time that is not an IPO. Excludes bonds.
<b>Offer to Purchase</b>	TBD
<b>Other</b>	A corporate action event that impacts the Issuer and its securities and the event does not fit the description of the other notice types in list.
<b>Reverse Stock Split</b>	A corporate action in which a company reduces the total number of its outstanding shares. A reverse stock split involves the company dividing its current shares by a number such as 5 or 10, which would be called a 1-for-5 or 1-for-10 split, respectively.
<b>Rights Offering</b>	Company issues a rights offering (issue). This issue is an issue of rights to a company's existing shareholders that entitles them to buy additional shares directly from the company in proportion to their existing holdings, within a fixed time period. In a rights offering, the subscription price at which each share may be purchased is generally at a discount to the current market price.
<b>Securities Separation</b>	The existing shares of issue are technically suspended and re-admitted under a new CUSIP reflecting as a new security.
<b>Spin-Off</b>	A type of business divestiture where an independent company is created through the sale or distribution of new shares of an existing business or division of a parent company.
<b>Stock Distribution</b>	Stock dividend payment.
<b>Stock Split</b>	A corporate action in which a company divides its existing shares into multiple shares. Although the number of shares outstanding increases by a specific multiple, the total dollar value of the shares remains the same compared to pre-split amounts, because the split did not add any real value.

<b>Suspend - For Cause</b>	An issuer fails the listing markets compliance requirements on qualitative and/or financial grounds and NYSE initiates the suspension of the issue(s) of the Issuer.
<b>Termination</b>	Informing investor community that they can receive proportionate share of a Unit Investment Trust's net assets. Termination is based on the investments held in the Unit Investment Trust's portfolio. For example, a portfolio that holds bonds may have a bond ladder consisting of five-, 10- and 20-year bonds. The portfolio would be set to terminate when the 20-year bonds reach maturity.
<b>Voluntary Delisting</b>	This Corporate Action event might occur if a company is acquired or goes private or if the Company's issues are being transferred to another market outside of NYSE, NYSE American, NYSE ARCA.
<b>Expiration</b>	Informing the market of the expiration date on an issue (e.g. Warrant). In the case of a warrant, the expiration date is the last day the rights of a warrant can be executed

### 4.3 TickerNotices

The CUSIP and ForeignPrivateIssuerFlag fields have been added to the TickerNotices file / table.

**Table 5 File Layout – TickerNotices**

Field Name	Format	Length	Description
<b>NoticeID</b>	Text	64	Identification number of the Ticker Notice.
<b>NoticeDate</b>	Date		Date of the Ticker Notice.
<b>SecurityType*</b>	Text	255	Type of security.
<b>ActionTypeCode</b>	Text	255	Name of the corporate action.
<b>ActionDate</b>	Date		Effective date of the corporate action(s) for Trading purposes.
<b>IssuerName</b>	Text	128	Company Name as registered with the SEC.
<b>SecuritySymbol*</b>	Text	16	NYSE Group listed security symbol.
<b>Notes</b>	Text	3000	Description and/or explanation field used to explain unique features or conditions of the corporate action(s).  Field values: <ul style="list-style-type: none"> <li>- 'C' = Control Group – The security is quoted at the current tick size increment of \$0.01 per share and will trade at the currently permitted increments.</li> <li>- '1' = Test Group 1 – The security is quoted in \$0.05 minimum increments and will trade at the currently permitted increments.</li> <li>- '2' = Test Group 2 – The security is quoted in \$0.05 minimum increments and trading in \$0.05 minimum</li> </ul>

Field Name	Format	Length	Description
			<p>increments except for midpoint liquidity and retail orders.</p> <ul style="list-style-type: none"> <li>- '3' = Test Group 3 – The security is quoted in \$0.05 minimum increments and trading in \$0.05 minimum increments; protection is provided to displayed liquidity over dark liquidity at the same price, otherwise known as the “trade at” rule.</li> </ul>
<b>CUSIP</b>	Text	9	Standard and Poor's CUSIP identifier for the given security.
<b>ForeignPrivateIssuerFlag</b>	Text	1	Indicates if the issuer is a non-US Private entity.
<b>Exchange*</b>	Text	255	NYSE Group listed Exchange: “NYSE” “NYSE American” “NYSE Arca”
<b>SecurityName</b>	Text	180	Security Name as registered with the SEC.
<b>ETP_Suffix_1</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_2</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_3</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_4</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_5</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_6</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_7</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_8</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_9</b>	Text	255	Arca ETP new listing symbol.
<b>ETP_Suffix_10</b>	Text	255	Arca ETP new listing symbol.



**Table 6 Action Types – TickerNotices**

Action Type	ActionTypeCode	Description
<b>Admit</b>	Admit	Re-issue a security that was previously listed from a Corporate Action event.
<b>Admit - "Ex-Distribution" Market</b>	AdmitExDistWI	Admitting a security to trade without the rights to a specific distribution. Here, the seller (or the previous owner) rather than the buyer is entitled to receive the distribution.
<b>Admit - "When-Distributed" Market</b>	AdmitWD	Admitting a security to trade such that its distribution is scheduled but has not yet occurred.
<b>Admit - "When-Issued" Market</b>	AdmitWI	Conditional authorization of a security to trade prior to the security's issuance. Prior to a new issue's offering, underwriters solicit potential investors who may elect to book an order to purchase a portion of the new issue. These orders are made conditionally - "when issued" - because they may not be completed, particularly in the event the offering is cancelled.
<b>Admit - "When Issued", Additional Shares, Market</b>	AdmitAddShares	Conditional authorization to trade on additional outstanding shares of a security. In essence, admitting the additional outstanding shares of a security to trade on a 'When Issued' basis.
<b>Other Action Type</b>	Other	A corporate action event that impacts the security and the event does not fit the description of the other action types in list.
<b>Change in Terms</b>	TermsChng	Change in the security's expiration date or distribution schedule or aspects of the terms from time of its original listing.
<b>Change CUSIP</b>	CUSIPChng	Security's CUSIP is undergoing a change.
<b>Change Name</b>	NameChange	The Issuer/company name is undergoing a change.
<b>Change Symbol</b>	ChngInSymbol	Security's ticker symbol is undergoing a change.
<b>Change Name and CUSIP</b>	NameCUSChng	The Issuer name's CUSIP is undergoing a change.
<b>Change Name and Symbol</b>	NameSymChng	The Issuer name and the security's ticker symbol is undergoing a change.
<b>Change Name and Symbol and CUSIP</b>	NSCChng	The Issuer name and the security's ticker symbol and CUSIP are undergoing a change.
<b>Change Product Name</b>	ProdChng	The Product name of an Exchange Traded Product (ETP) or issue name is undergoing a change.
<b>Change Product and CUSIP</b>	ProdCUSChng	The Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name)and the security's CUSIP is undergoing a change.

<b>Change Product and Symbol</b>	ProdSymChng	The Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) and the security's symbol is undergoing a change.
<b>Change Product and Symbol and CUSIP</b>	PSCChng	The Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) and the security's symbol and CUSIP is undergoing a change.
<b>Change Company and Product Name</b>	ProdNameChng	The Issuer/Company's name and Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) are undergoing a change.
<b>Change Company and Product and CUSIP</b>	ProdNameCUSChng	The Issuer/Company's name and Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) and the security's CUSIP are undergoing a change.
<b>Change Company and Product and Symbol</b>	ProdNameSymChng	The Issuer/Company's name and Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) and the security's symbol are undergoing a change.
<b>Change Company and Product and Symbol and CUSIP</b>	PNSCChng	The Issuer/Company's name and Product name of an Exchange Traded Product (ETP) or issue name (as opposed to Company Name) and the security's symbol and CUSIP are undergoing a change.
<b>Change Underlying Share Ratio</b>	ChngUlyStck	Applies to American Depository receipt security (ADS). Here the ratio of ADS share to local shares is changing.
<b>Direct Listing</b>	DirectListing	Security will begin trading by way of a Direct Listing
<b>Direct Listing with Capital Raise</b>	DirectListCapitalRaise	Security will begin trading by way of a Direct Listing with a capital raise
<b>Full Call</b>	FullCall	Security is being re-purchased by Issuer in its entirety at or before maturity.
<b>Initial Public Offering</b>	IPO	The act of offering the stock of a company on a public stock exchange for the first time.
<b>New Listing</b>	NewListing	Admitting a new security for the first time that is not an IPO.
<b>New Structured Product</b>	NewStrucProd	A new listing with issuer type of "structured product".
<b>Reclassification</b>	ReclassDesg	Change to the class of a security. Common practice is to have voting rights associated with one class of stock over the other.
<b>Regular-Way in lieu of "When-Issued"</b>	RegWay	A security will no longer trade on a 'When-Issued' basis and will only trade in the normal fashion (Regular Way) under its regular ticker symbol without the suffix (WI) associated with the 'When-Issued' market.
<b>Suspend</b>	Suspend	The removal of security from trading as a result of a Corporate Action event.

<b>Suspend - "Ex-Distribution" Market</b>	SuspExDistWI	The removal of security from trading on an Ex-Distribution basis.
<b>Suspend - "When-Distributed" Market</b>	SuspendWD	The removal of security from trading on a When-Distributed basis.
<b>Suspend - "When-Issued" Market</b>	SuspendWI	The removal of security from trading on a When-Issued basis.
<b>Suspend - "When-Issued", Additional Shares, Market</b>	SuspWIAddSharesMarket	The removal of the additional outstanding shares of a security from trading on a When-Issued basis.
<b>Suspend - For - Cause</b>	SuspCause	The removal of security from trading due to failure of compliance with listing market regulation.
<b>Suspend - Voluntary</b>	SuspendVol	An Issuer initiates the removal of its security from trading on its own accord.
<b>Suspend &amp; Delist - Voluntary</b>	VolDelist	An Issuer initiates the removal of its security from trading on its own accord. This also involves notifying the exchange of the delisting Form 25 submission for the issue with the SEC.

## 5. File Names

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**Note:** In all file names described in this section, “yyyymmdd” refers to the date of the file.

### 5.1 NYSE Group Daily Distributions

- a) Intraday File name: EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_YYYYMMDD

### 5.2 NYSE Group Ex-Date Distributions

- a) Intraday File name: EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_EXDATE\_YYYYMMDD

### 5.3 InfoNotices

EQY\_US\_NYSE\_MKT\_REF\_INFONOTICES\_yyyymmdd

### 5.4 TickerNotices

- a) Intraday File name: EQY\_US\_NYSE-MKT\_REF\_TICKERNOTICES\_YYYYMMDD  
Summary File name: EQY\_US\_NYSE\_REF\_TICKERNOTICES\_SUMMARY\_YYYYMMDDHH  
Effective File name: EQY\_US\_NYSE-  
MKT\_REF\_TICKERNOTICES\_EFFECTIVE\_YYYYMMDD

## 6. SFTP Directory Structure

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**Note:** In each of the directories described in this section, “yyyy” refers to the generation year of the file and “mm” refers to the generation month of the file.

### 6.1 SFTP Server Name

The name of the SFTP server is:

[sftp.nyse.com](http://sftp.nyse.com)

In order to establish your connection to the SFTP, NYSE needs your dedicated source IP address(es) and SSH Key(s). Please provide this information on the customer dashboard by visiting [dashboard.theice.com](http://dashboard.theice.com) and navigating to “SFTP Access Settings”. For additional information, please refer to the [NYSE SSH Key Generation Guide](#).

For additional information regarding accessing the NYSE SFTP, please refer to the [NYSE SFTP Access - User Guide](#).

### 6.2 NYSE Group Daily Distributions

Historical archives (including the most-recent daily file) are available on:

/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_yyyy/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_yyyymm

### 6.3 NYSE Group Ex-Date Distributions

Historical archives (including the most-recent daily file) are available on:

/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_EXDATE/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_EXDATE\_yyyy/EQY\_US\_NYSEGROUP\_DISTRIBUTIONS\_EXDATE\_yyyymm

### 6.4 InfoNotices

Historical archives (including the most-recent daily file) are available on:

/EQY\_US\_NYSE\_REF\_INFONOTICES/EQY\_US\_NYSE\_REF\_INFONOTICES\_yyyy/EQY\_US\_NYSE\_REF\_INFONOTICES\_yyyymm

### 6.5 TickerNotices

Historical archives (including the most-recent daily file) are available on:

/EQY\_US\_NYSE\_REF\_TICKERNOTICES/EQY\_US\_NYSE\_REF\_TICKERNOTICES\_yyyy/EQY\_US\_NYSE\_REF\_TICKERNOTICES\_yyyymm

## 7. S3 Directory Structure

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### 7.1 S3 Bucket Name

nyse.taq.prod.rawfiles

### 7.2 S3 Directory NameName

22\_NYSE\_GROUP\_CORPORATE\_ACTIONS

For additional information regarding accessing this data via S3, please refer to the [AWS Access - User Guide](#).

## 8. Accessing Information on [dashboard.theice.com](https://dashboard.theice.com) and Updating Email Distribution Settings

Clients who wish to access information on [dashboard.theice.com](https://dashboard.theice.com) and/or manage email distribution settings should proceed as follows.

Login to [dashboard.theice.com](https://dashboard.theice.com).

- Under Proprietary Data Order Management, select the “Access Data” link:

**PROPRIETARY DATA ORDER MANAGEMENT**

[Submit NYSE Data Order](#)      [Order History](#)  
[Submit Vendor Data Request](#)      [Access Data](#)

- Type Corporate Actions of NYSE Group Listings on the search tool

**PRODUCT LIST**

NYSE PROPRIETARY MARKET DATA

## DATA ACCESS

Corporate

MFT Username: N/A

Technical Support for login related issues:  
212-896-2830, Option 9  
support@nyse.com

PRODUCT	ACTION
CORPORATE ACTIONS OF NYSE GROUP LISTINGS	<a href="#">View Product Components</a>   <a href="#">Manage Email Subscriptions</a>   <a href="#">Login to MFT</a>

- To manage email distribution, select “Manage Email Subscriptions”, select the check box for any file(s) you would like to receive via email, and input and internal email addresses separated by a comma.

NYSE PROPRIETARY MARKET DATA

## EMAIL SUBSCRIPTIONS

Redistribution of this data to anyone other than registered and authorized user is not permitted. Forwarding this information contained in the NYSE Product to anyone other than yourself constitutes redistribution. Please contact [marketdatahelp@nyse.com](mailto:marketdatahelp@nyse.com) for further assistance.

### CORPORATE ACTIONS OF NYSE GROUP LISTINGS

SELECT	COMPONENT NAME	FORMAT	EMAIL (COMMA SEPARATED)
<input checked="" type="checkbox"/>	NYSE & NYSE American Listings Notices	PDF	<input type="text"/>
<input checked="" type="checkbox"/>	NYSE & NYSE American Listings Notices	PDF	<input type="text"/>
<input checked="" type="checkbox"/>	NYSE Group Corporate Actions: 11h00pm EST Summary report (September 2014 Layout)	Excel	<input type="text"/>

- To view data online, select “View Product Components” and select the file you would like to view.

### CORPORATE ACTIONS OF NYSE GROUP LISTINGS

COMPONENT NAME	ACTION
NYSE Group Corporate Actions: 10/24/2014 to Present	<a href="#">View / Download Data</a>
NYSE Group Corporate Actions: Prior to 10/24/2014	<a href="#">View / Download Data</a>
NYSE Group Ex-Date Corporate Actions 11pm Summary: 10/24/2014 to Present	<a href="#">View / Download Data</a>
NYSE Group Ex-Date Corporate Actions 11pm Summary: Prior to 10/24/2014	<a href="#">View / Download Data</a>
NYSE Group Ex-Date Corporate Actions 5:30pm Summary: 10/24/2014 to Present	<a href="#">View / Download Data</a>
NYSE Group Ex-Date Corporate Actions 5:30pm Summary: Prior to 10/24/2014	<a href="#">View / Download Data</a>