

Nasdaq Basic Plus

Version 1.0

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1. Product Description

Nasdaq Basic Plus is a direct data feed product offered by Nasdaq. Nasdaq Basic Plus will cover the full range of issues including Nasdaq, New York Stock Exchange, and other U.S. regional exchange listed securities. Nasdaq Basic Plus provides realtime quote data from the Nasdaq execution system, as well as the Nasdaq Texas (formerly BX), and PSX execution systems.

Market data distributors may use the Nasdaq Basic Plus data feed to feed real-time stock tickers, portfolio trackers, trade alert programs, time and sale graphs, and other display systems.

NOTE: Nasdaq may, from time to time, notify users of additional message types or the extension of the length of a message, As such, clients should ensure that their system/decoder is capable of processing unknown message types, as well as messages that exceed the expected length. Whenever feasible, Nasdaq will append additional data to the end of the message.

For pricing and administration information, please refer to the Nasdaq Basic Plus product page and the [Nasdaq Market Data Knowledge Center](#).

2. Data Delivery Options

In addition to the Nasdaq Basic Plus product, Nasdaq provides other quote and last sale feeds as indicated below:

- Nasdaq QBBO: Contains the BBO data from the Nasdaq execution systems
- PSX BBO: BBO Data from the PSX Last Sale: Contains trade data from the PSX execution system
- NTX BBO: BBO Data from the Nasdaq Texas execution systems

3. Network Protocol Options

Nasdaq will offer the Nasdaq Basic Plus data feed in three protocol options:

- [SoupBinTCP](#)
- [MoldUDP64](#)
- [Compressed](#) via SoupBinTCP

For network support and ordering information, please refer to the [Nasdaq Market Data Knowledge Center](#).

4. Architecture

Nasdaq Basic Plus will be made up of a series of sequenced messages. Each message is variable in length based on the message type. The messages that make up the Last Sale protocol are typically delivered using a higher-level protocol that takes care of sequencing and delivery guarantees.

5. Data Types

All integer fields are big-endian (network byte order) binary encoded numbers. Unless otherwise noted, they are unsigned.

Prices are represented as an 8-byte integer, supplied with an associated precision. Prices are unsigned. When converted to a decimal format, prices are in a fixed-point format, where the precision defines the number of decimal places. For example, a field flagged as Price (6) has an implied 6 decimal places.

Sizes are represented as an 8-byte integer), supplied with associated precision. Sizes are unsigned. When converted to a decimal format, sizes are in a fixed-point format, where the precision defines the number of decimal places. For example, a field flagged as Size (6) has an implied 6 decimal places.

Unless otherwise noted, timestamps are 8-byte integers and reflect the system time at which the outbound message was generated. Nasdaq states time as the number of nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.

All alphanumeric fields are left-justified, ASCII fields. Padding spaces appear on the right as necessary.

6. Market Hours

Market Center	Source	Identifier	Pre Market	Regular 9:30 AM–4:00 PM ET	Post Market	Extended Session
Nasdaq Extended Session	q	1	—	—	—	9:00PM-4:00AM ET
Nasdaq Core Session	Q	2	4:00-9:30 AM ET	✓	4:00-8:00 PM ET	—
Nasdaq Texas	B	3	7:00 – 9:30 AM ET	✓	4:00 – 7:00 PM ET	—
Nasdaq PSX	X	4	8:00 – 9:30 AM ET	✓	4:00 – 5:00 PM ET	—

7. Message Formats

7.1. System Event Message

System Event Messages is used to signal key market or data feed control events.

System Event Message

Name	Offset	Length	Value	Value/Description
Message Type	0	1	Alpha	S = System Event Message
Timestamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Event Code	9	1	Alpha	<p>Denotes the type of system event for which the message is being generated. The allowable values are:</p> <ul style="list-style-type: none"> “O” = Start of Consolidated Market Transmissions: Denotes that the Consolidated systems have started daily the transmission schedule. “S” = Start of System Hours: This message indicates that the Consolidated Trading Session is open and ready to start accepting orders. “Q” = Start of Regular Market Hours: Denotes the start of the regular US market session. Traditionally, only trade transactions reported during the regular market session are considered to be “last sale” eligible. “M” = End of Regular Market Hours: Denotes the end of the regular US session. “E” = End of System Hours: Indicates that the Consolidated Sessions is now closed and will not accept any new orders for the trading day. “C” = End of Transmissions: Denotes that the consolidated system has ended its daily transmission schedule.
Total: 10 Bytes				

7.2. Consolidated Quotation Message

Consolidated BBO will broadcast a real-time update every time the Consolidated BBO across Nasdaq owned and operated exchanges is updated throughout the trading day.

Nasdaq Consolidated Quotation Message

Name	Offset	Length	Value	Notes
Message Type	0	1	“Q”	Quotation Message

Nasdaq Consolidated Quotation Message

Name	Offset	Length	Value	Notes
Time Stamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Stock	9	8	Alpha	Denotes the security symbol for the issue in the execution system.
Best Bid Price	17	8	Price (6)	Denotes the best bid price, or the highest price for market buy order(s) in the execution system.
Best Bid Size	25	4	Integer	Denotes the aggregated number of shares available for display within the execution system at the best bid price.
Best Offer Price	29	8	Price (6)	Denotes the Nasdaq exchange's best offer price, or the lowest price for market sell order(s) in the execution system.
Best Offer Size	37	4	Integer	Denotes the aggregated number of shares available for display within the execution system at the best offer price.
Best Bid Exchange(s)	41	1	Integer	Please see the Appendix E for the Exchange that the BBO information is relative to.
Best Offer Exchange(s)	42	1	Integer	Please see the Appendix E for the Exchange that the BBO information is relative to.
Total: 43 Bytes				

7.3. Exchange Retail Price Interest Indicator (RPIL)

Indicates a retail interest indication of the Bid, Ask or both the Bid and Ask for Nasdaq-listed securities. The Retail Price Interest indicator is designed to be read with the Exchange BBO Quotation message.

*RPIL Message will populate for Nasdaq Texas market only

Exchange Retail Price Improvement Message

Name	Offset	Length	Value	Notes
Message Type	0	1	"N"	Retail Interest message
Time Stamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Stock	9	8	Alpha	Denotes the security symbol for the issue in the execution system. Refer to Appendix B for stock symbol convention information.
Exchange(s) of Buy-side RPI	17	1	Integer	Please see the Appendix E for the Exchange that the RPIL information is relative to.
Exchange(s) of Sell-side RPI	18	1	Integer	Please see the Appendix E for the Exchange that the RPIL information is relative to.
Total: 19 Bytes				

8. Administrative Messages

To help firms create a full display, Nasdaq supports the following administrative messages: (1) Stock Trading Action, (2) Symbol Directory, (3) Reg SHO Short Sale Price Test Restricted Indicator (4) Adjusted Closing Price, (5) End of Day Trade Summary and (6) IPO Information.

8.1. Stock Trading Action

Nasdaq uses this administrative message to indicate the current trading status of a security to the trading community. Please

note that this message originates from the Nasdaq market center system.

Clients should initialize all securities as being halted at the start of the session. Nasdaq will send out Stock Trading Action messages to indicate changes to the trading state. Prior to the start of system hours, Nasdaq will send out a Stock Trading Action messages with Current Trading State of 'T' (Trading on Nasdaq) for all securities that will be trading on Nasdaq at the start of trading hours, and may send addition Trading Action messages throughout the day to communicate changes to the trading state of securities. Please note that securities may be halted in the Nasdaq system for regulatory or operational reasons.

After the start of system hours, Nasdaq will use the Trading Action message to relay changes in trading status for an individual security. Messages will be sent when a stock is:

- Halted
- Paused*
- Released for quotation
- Released for trading

* The paused status will be disseminated for Nasdaq-listed securities only. Trading pauses on non- Nasdaq listed securities will be treated simply as a halt.

Trading Action Message

Name	Offset	Length	Type	Notes
Message Type	0	1	Alpha	H = Trading Action
Timestamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Issue Symbol	9	8	Alpha	Denotes the security symbol for the issue in the Nasdaq execution system. For details on Nasdaq symbology, please refer to Appendix B.
Current Trading State	17	1	Alpha	Reflects the current trading state for the issue. The allowable values are: <ul style="list-style-type: none"> • "H" = Halted across all U.S. equity markets / SROs • "P" = Paused across all U.S. equity markets / SROs (Nasdaq-listed securities only) • "Q" = Quotation only period for cross-SRO halt or pause " • "T" = Trading on Nasdaq
Reason	18	4	Alpha	Reflects the Market Ops or Market Watch code for the trading state change. Refer to Appendix C for current code list.
Total: 22 Bytes				

Note: For Nasdaq-listed securities, Nasdaq conducts a cross (auction) when it releases an IPO security or when it re-opens a seasoned security after a trading halt or trading pause. To facilitate price transparency for its crosses, Nasdaq disseminates a Net Order Imbalance Indicator (NOII) message via the Nasdaq TotalView product suite at 5- second intervals during the quotation only period of the Trading Action release. The NOII data is especially valuable because it includes all order types (displayable and non- displayable) in its calculation.

8.2. Reg SHO Short Sale Price Test Restricted Indicator

In February 2011, the Securities and Exchange Commission (SEC) implemented changes to Rule 201 of the Regulation SHO (Reg SHO). For details, please refer to SEC Release Number 34-61595.

In association with the Reg SHO rule change, Nasdaq introduced the following Reg SHO Short Sale Price Test Restricted Indicator message format.

The Reg SHO Short Sale Price Test Restricted Indicator message is disseminated intra-day when a security has a price drop of 10% or more from the adjusted prior day's Nasdaq Official Closing Price (NOCP). Once a message with the "S" indicator is

disseminated, all short sale orders entered for the given security will be subject to processing under Rule 201 (Alternative Bid Tick Rule) of Reg SHO for the remainder of the trading day or until a "C" action message is disseminated whichever is sooner. In addition, Nasdaq supports a pre-opening spin of Reg SHO Short Sale Price Test Restricted Indicator messages for those securities in which Rule 201 will remain in effect for the current trading day. *This message will only send updates for the Nasdaq market

Reg SHO Restriction

Name	Offset	Length	Type	Notes
Message Type	0	1	Alpha	Y = Short Sale Restriction Indicator
Timestamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Stock Symbol	9	8	Alpha	Nasdaq-assigned indicator for issue for which the short sale restriction indicator message is being generated. For details on Nasdaq symbology, please refer to Appendix B.
Reg SHO Action	17	1	Alpha	Denotes the Reg SHO Short Sale Price Test Restriction status for the issue at the time of the message dissemination. Allowable values are: <ul style="list-style-type: none"> "0" = No price test in place "1" = Reg SHO Short Sale Price Test Restriction in effect due to an intra-day price drop in security "2" = Reg SHO Short Sale Price Test Restriction remains in effect
Total: 18 Bytes				

8.3. Stock Directory

At the start of each trading day, Nasdaq disseminates stock directory messages for all active Nasdaq and non Nasdaq listed security symbols.

Market data redistributors should process this message to populate the Financial Status Indicator (required display field) and the Market Category (recommended display field) for Nasdaq listed issues.

Note: The Stock Directory can be sent multiple times during the course of a trading day (9:00 PM EST – 8:00 PM EST the following calendar day) if any value within the Stock Directory changes in that trading day.

Stock Directory

Name	Offset	Length	Value	Notes
Message Type	0	1	Alpha	R = Stock Directory Message
Timestamp	1	8	Integer	Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Stock	9	8	Alpha	Denotes the security symbol for the issue in the Nasdaq execution system.
Listing Market / Category	17	1	Alpha	Indicates Listing market or listing market tier for the issue. Nasdaq-Listed Instruments: <ul style="list-style-type: none"> "Q" = Nasdaq Global Select Market "G" = Nasdaq Global Market "S" = Nasdaq Capital Market Non-Nasdaq Listed Instruments: <ul style="list-style-type: none"> "N" = New York Stock Exchange (NYSE) "A" = NYSE American "P" = NYSE Arca "M" = NYSE Texas "Z" = BATS Z Exchange "V" = Investors' Exchange, LLC "<space>" = Not available

Stock Directory

Name	Offset	Length	Value	Notes
Financial Status Indicator	18	1	Alpha	<p>For Nasdaq-listed issues, this field indicates when a firm is not in compliance with Nasdaq continued listing requirements.</p> <p>Nasdaq-Listed Instruments:</p> <ul style="list-style-type: none"> • "D" = Deficient • "E" = Delinquent • "Q" = Bankrupt • "S" = Suspended • "G" = Deficient and Bankrupt • "H" = Deficient and Delinquent • "J" = Delinquent and Bankrupt • "K" = Deficient, Delinquent and Bankrupt • "C" = Creations and/or Redemptions Suspended for Exchange Traded Product • "N" = Normal (Default): Issuer Is NOT Deficient, Delinquent, or Bankrupt <p>Non-Nasdaq-Listed Instruments:</p> <ul style="list-style-type: none"> • "<space>" = Not available. Firms should refer to SIAC feeds for code if needed.
Round Lot Size	19	4	Integer	Denotes the number of shares that represent a round lot for the issue
Round Lots Only	23	1	Alpha	<p>Indicates if Nasdaq system limits order entry for issue</p> <ul style="list-style-type: none"> • "Y" = Nasdaq system only accepts round lots orders for this security. • "N" = Nasdaq system does not have any order size restrictions for this security. Odd and mixed lot orders are allowed.
Issue Classification	24	1	Alpha	Identifies the security class for the issue as assigned by Nasdaq. See Appendix for allowable values.
Issue Sub-Type	25	2	Alpha	Identifies the security sub-type for the issue as assigned by Nasdaq. See Appendix for allowable values.
Authenticity	27	1	Alpha	<p>Denotes if an issue or quoting participant record is set-up in Nasdaq systems in a live/production, test, or demo state. Please note that firms should only show live issues and quoting participants on public quotation displays.</p> <ul style="list-style-type: none"> • "P" = Live/Production • "T" = Test
Short Sale Threshold Indicator	28	1	Alpha	<p>Indicates if a security is subject to mandatory close-out of short sales under SEC Rule 203(b)(3).</p> <ul style="list-style-type: none"> • "Y" = Issue is restricted under SEC Rule 203(b)(3) • "N" = Issue is not restricted • "<space>" = Threshold Indicator not available
IPO Flag	29	1	Alpha	<p>Indicates if the Nasdaq security is set up for IPO release. This field is intended to help Nasdaq market participant firms comply with FINRA Rule 5131(b).</p> <p>Nasdaq-Listed Instruments:</p> <ul style="list-style-type: none"> • "Y" = Nasdaq listed instrument is set up as a new IPO security • "N" = Nasdaq listed instrument is not set up as a new IPO security • "Z" = Nasdaq-listed instrument is a non-IPO new listed security <p>Non-Nasdaq Listed Instruments:</p> <ul style="list-style-type: none"> • "<space>" = Not available

Stock Directory

Name	Offset	Length	Value	Notes
LULD Reference Price Tier	30	1	Alpha	Indicates which Limit Up / Limit Down price band calculation parameter is to be used for the instrument. Refer to LULD Rule for details. <ul style="list-style-type: none">“1” = Tier 1 NMS Stocks and select ETPs“2” = Tier 2 NMS Stocks“<space>” = Not applicable
ETP Flag	31	1	Alpha	Indicates whether the security is an exchange traded product (ETP): <ul style="list-style-type: none">“Y” = Instrument is an ETP“N” = Instrument is not an ETP “<space>” = Not available
ETP Leverage Factor	32	4	Integer	Tracks the integral relationship of the ETP to the underlying index. Example: If the underlying Index increases by a value of 1 and the ETP’s Leverage factor is 3, indicates the ETF will increase/decrease (see Inverse) by 3. Leverage Factor is rounded to the nearest integer below, e.g. leverage factor 1 would represent leverages of 1 to 1.99. This field is used for LULD Tier I price band calculation purposes. ETP Leverage Factor currently not supported for Non-Nasdaq listed ETP’s.
Inverse Indicator	36	1	Alpha	Indicates the directional relationship between the ETP and underlying index. <ul style="list-style-type: none">“Y” = ETP is an Inverse ETP“N” = ETP is not an Inverse ETPExample: An ETP Leverage Factor of 3 and an Inverse value of ‘Y’ indicates the ETP will decrease by a value of 3.

Total: 37 Bytes

8.4. Market-Wide Circuit Breaker (MWCB) Messaging

8.4.1. MWCB Decline Level Message

Informs data recipients what the daily MWCB breach points are set to for the current trading day.

MWCB Decline Level Message

Name	Offset	Length	Value	Notes
Message Type	0	1	Alpha	V = Market Wide Circuit Breaker Decline Level Message
Timestamp	1	8	Integer	Time at which the MWCB Decline Level message was generated. Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Level 1	9	8	Price (8)	Denotes the MWCB Level 1 Value.
Level 2	17	8	Price (8)	Denotes the MWCB Level 2 Value.
Level 3	25	8	Price (8)	Denotes the MWCB Level 3 Value.

Total: 33 Bytes

8.4.2. MWCB Status Message

Informs data recipients when a MWCB has breached one of the established levels.

MWCB Breach Message

Name	Offset	Length	Value	Notes
Message Type	0	1	Alpha	W = Market Wide Circuit Breaker Status Message
Timestamp	1	8	Integer	Time at which the MWCB Breaker Status message was generated. Timestamp represented in nanoseconds since Epoch 1/1/1970, 00:00:00 UTC.
Breached Level	9	1	Alpha	Denotes the MWCB Level that was breached. "1" = Level 1 "2" = Level 2 "3" = Level 3
Total: 10 Bytes				

9. IPO Quoting Period Update

Indicates the anticipated IPO quotation release time of a security.

*IPO Quoting Period Update will populate for Nasdaq market only

IPO Quoting Period Update

Name	Offset	Length	Value	Notes
Message Type	0	1	Alpha	K = IPO Quoting Period Update message
Timestamp	1	8	Integer	Time at which the IPO Quoting Period Update message was updated.
Stock	9	8	Alpha	Denotes the security symbol for the issue in the Nasdaq execution system.
IPO Quotation Release Time	17	4	Integer	Denotes the IPO release time, in seconds since Epoch 1/1/1970 00:00:00 UTC. NOTE: If the quotation period is being canceled/postponed, we should state that IPO Quotation Time will be set to 0, IPO Price will be set to 0
IPO Quotation Release Qualifier	21	1	Alpha	"A" = Anticipated quotation release time This value would be used when Nasdaq Market Operations initially enters the IPO instrument for release. "C" = IPO release canceled/postponed This value would be used when Nasdaq Market Operations cancels or postpones the release of the IPO instrument.
IPO Price	22	8	Price (6)	Denotes the IPO price to be used for intraday net change calculations. Prices are given in decimal format with 8 whole number places followed by 6 decimal digits. The whole number portion is padded on the left with spaces; the decimal portion is padded on the right with zeros. The decimal point is implied by position; it does not appear inside the price field.
Total: 30 Bytes				

10. Operational Halt

The Exchange uses this message to indicate the current Operational Status of a security to the trading community.

An Operational Halt means that there has been an interruption of service on the identified security impacting only the

designated Market Center. These Halts differ from the “Stock Trading Action” message types since an Operational Halt is specific to the exchange for which it is declared, and does not interrupt the ability of the trading community to trade the identified instrument on any other market place.

Nasdaq uses this administrative message to indicate the current trading status of the three market centers operated by Nasdaq.

Operational Halt				
Name	Offset	Length	Value	Notes
Message Type	0	1	Alpha	h = Operational Halt
Timestamp	1	8	Integer	Time at which the Operational Halt message was generated. Refer to data types for field processing notes.
Stock	9	8	Alpha	Denotes the security symbol for the issue in Nasdaq execution system.
Market Center	17	1	Alpha	The Market Center the Operational Halt is in effect for: <ul style="list-style-type: none"> • “Q” = Nasdaq Exchange • “B” = Nasdaq Texas Exchange • “X” = PSX Exchange
Operational Halt Action	18	1	Alpha	<ul style="list-style-type: none"> • “H” = Operationally Halted on the identified Market • “T” = Operational Halt has been lifted and Trading resumed
Total: 19 Bytes				

Contact Information

Questions about the Nasdaq Basic Plus entitlement, display guidelines may be directed to Clientsuccess@nasdaq.com.

Appendix A - Stock Symbol Convention

For Nasdaq-listed issues, Nasdaq currently restricts its symbol length to a maximum of 8 characters. For common stock issuances, Nasdaq, PSX and Nasdaq Texas will only assign root symbols of 1 to 4 characters in length with possible fifth and or sixth character denoting a suffix. In certain instances, a dot “.” delimiter may be applied to symbols after the root and between the suffix eg., XXXX.A. For subordinate securities, Nasdaq and Nasdaq Texas will assign a 5 character symbol for which the last character relays information about the issue class or issue type. For the current list of fifth and or six character symbol suffixes, please refer to Ticker Symbol Convention page on the Nasdaq Trader website.

For NYSE-, NYSE American- and NYSE Arca-listed securities with subordinate issue types, please refer to Ticker Symbol Convention page on the Nasdaq Trader website.

Appendix B – Trading Action Reason Codes

For Nasdaq-listed issues, Nasdaq acts as the primary market and has the authority to institute a trading halt or trading pause in an issue due to news dissemination or regulatory reasons.

For CQS issues, Nasdaq abides by any regulatory trading halts and trading pauses instituted by the primary or listing market as appropriate.

For both issue types, Nasdaq may also halt trading for operational reasons.

Nasdaq will send out a trading action message to inform its market participants when the trading status of an issue changes. For informational purposes, Nasdaq also attempts to provide the reason for each trading action update. For bandwidth

efficiency reasons, Nasdaq uses a 4-byte code for the reason on its outbound data feeds.

Reason Codes For Trading Halt Actions

Code	Value
T1	Halt News Pending
T2	Halt News Disseminated
T5	Single Stock Trading Pause In Effect
T6	Regulatory Halt — Extraordinary Market Activity
T8	Halt ETF
T12	Trading Halted; For Information Requested by Listing Market
H4	Halt Non-Compliance
H9	Halt Filings Not Current
H10	Halt SEC Trading Suspension
H11	Halt Regulatory Concern
O1	Operations Halt; Contact Market Operations
LU DP	Volatility Trading Pause
LU DS	Volatility Trading Pause – Straddle Condition
MWC1	Market Wide Circuit Breaker Halt – Level 1
MWC2	Market Wide Circuit Breaker Halt – Level 2
MWC3	Market Wide Circuit Breaker Halt – Level 3
MWC0	Market Wide Circuit Breaker Halt – Carry over from previous day
IPO1	IPO Issue Not Yet Trading
M1	Corporate Action
M2	Quotation Not Available
<space>	Reason Not Available

Reason Codes For Quotation/Trading Resumption Actions

Code	Value
T3	News and Resumption Times
T7	Single Stock Trading Pause / Quotation Only Period
R4	Qualifications Issues Reviewed/Resolved; Quotations/Trading to Resume
R9	Filing Requirements Satisfied/Resolved; Quotations/Trading To Resume
C3	Issuer News Not Forthcoming; Quotations/Trading To Resume
C4	Qualifications Halt ended; Maintenance Requirements Met; Resume
C9	Qualifications Halt Concluded; Filings Met; Quotes/Trades To Resume

Reason Codes For Quotation/Trading Resumption Actions

Code	Value
C11	Trade Halt Concluded By Other Regulatory Auth.; Quotes/Trades Resume
MWCQ	Market Wide Circuit Breaker Resumption
R1	New Issue Available
R2	Issue Available
IPOQ	IPO Security Released for Quotation (Nasdaq Securities Only)
IPOE	IPO Security — Positioning Window Extension (Nasdaq Securities Only)

Reason Codes For Quotation/Trading Resumption Actions

Code	Value
<space>	Reason Not Available

For the current list of regulatory halts, please refer to the Trading Halts page on the Nasdaq Trader website.

Appendix C - Issue Classification Values

Identifies the security class for the issue as assigned by Nasdaq

Codes For Issue Classification Values

Code	Value
A	American Depositary Share
B	Bond
C	Common Stock
F	Depository Receipt
I	144A
L	Limited Partnership
N	Notes
O	Ordinary Share
P	Preferred Stock
Q	Other Securities
R	Right
S	Shares of Beneficial Interest
T	Convertible Debenture
U	Unit
V	Units/Benif Int
W	Warrant

Appendix D - Issue Sub-Type Values

Codes For Issue Classification Values

Code	Value
A	Preferred Trust Securities
AI	Alpha Index ETNs
B	Index Based Derivative
C	Common Shares
CB	Commodity Based Trust Shares
CF	Commodity Futures Trust Shares
CL	Commodity-Linked Securities
CM	Commodity Index Trust Shares
CO	Collateralized Mortgage Obligation
CT	Currency Trust Shares
CU	Commodity-Currency-Linked Securities

Codes For Issue Classification Values

Code	Value
CW	Currency Warrants
D	Global Depositary Shares
E	ETF-Portfolio Depositary Receipt
EG	Equity Gold Shares
EI	ETN-Equity Index-Linked Securities
EN	Exchange Traded Notes
EU	Equity Units
F	HOLDRS
FI	ETN-Fixed Income-Linked Securities
FL	ETN-Futures-Linked Securities
G	Global Shares
I	ETF-Index Fund Shares
IR	Interest Rate
IW	Index Warrant
IX	Index-Linked Exchangeable Notes
J	Corporate Backed Trust Security
L	Contingent Litigation Right
LL	Identifies securities of companies that are set up as a Limited Liability Company (LLC)
M	Equity-Based Derivative
MF	Managed Fund Shares
ML	ETN-Multi-Factor Index-Linked Securities
MT	Managed Trust Securities
N	NY Registry Shares
O	Open Ended Mutual Fund
P	Privately Held Security
PP	Poison Pill
PU	Partnership Units

Codes For Issue Classification Values

Code	Value
Q	Closed-End Funds
R	Reg-S
RC	Commodity-Redeemable Commodity-Linked Securities
RF	ETN-Redeemable Futures-Linked Securities

Codes For Issue Classification Values

Code	Value
RT	REIT
RU	Commodity-Redeemable Currency-Linked Securities
S	SEED
SC	Spot Rate Closing
SI	Spot Rate Intraday
T	Tracking Stock
TC	Trust Certificates
TU	Trust Units
U	Portal
V	Contingent Value Right
W	Trust Issued Receipts
WC	World Currency Option
X	Trust
Y	Other
Z	Not Applicable

Appendix E - Exchange Indicator Values

Codes For Exchange Indicator Values

Code	Value
1	Nasdaq Exchange
2	Nasdaq Texas Exchange
3	Nasdaq & Nasdaq Texas Exchanges
4	Nasdaq PSX Exchange
5	Nasdaq & Nasdaq PSX Exchanges
6	Nasdaq Texas & Nasdaq PSX Exchanges
7	Nasdaq, Nasdaq Texas, & Nasdaq PSX Exchanges

Appendix F – Documentation Version Control Log

Version 1.0: May 29, 2026

Introduced Version 1.0 of Nasdaq Basic Plus

