BZX Exchange
US Listings
Corporate Actions Specification

Version 1.0.16

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Contents

1 Introduction

Cboe will disseminate three reports, each on a daily basis, containing corporate action information for issues listed on Cboe BZX Exchange. All reports are available at approximately 7:00 p.m. ET. They are all published in pipe-delimited ("|") text format. Delivery options include email, FTP, or download from our website (HTTP).

1.1 Daily Listed Securities Report Overview

The Cboe Daily Listed Securities Report contains essential information regarding each issue listed on Cboe BZX Exchange.

1.2 Daily Distributions Report Overview

The Cboe Daily Distributions Report contains corporate actions categorized as distributions as they are confirmed by Cboe Listings and the listed company. Distributions will appear on this report from the day they are announced until the day the distribution has completed. Examples of corporate actions that are published in this report are new dividends and stock splits.

1.3 Daily Corporate Actions Report Overview

The Cboe Daily Corporate Actions Report contains all corporate actions that are not published in the Daily Distributions Report as they are confirmed by Cboe Listings and the listed company. Corporate actions will appear on this report from the day they are announced until the effective date. Examples of corporate actions that are published in this report are new listings, de-listings and name changes.

2   Report Format

2.1   Header Record

Reports in pipe-delimited text format will have a header record that will contain the following fields:

Field Name	Description
Environment	The environment for which the file was generated. Allowed values: • CERT = Certification • PROD = Production
Report Date	The date (in YYYY-MM-DD format) that the report was published.
Record Count	The number of records in the file, including the header.

2.2 Daily Listed Securities Report Fields

Each record on the Daily Listed Securities Report will contain the following fields:

Field Name	Description
Symbol	Symbol of Listed Security (upper case) in CMS symbology.
CUSIP	The nine-character CUSIP assigned to the symbol on the day the report is published. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since Cboe Global Markets neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: Cboe Global Markets is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.
Issue Name	A text field representing the name of the issue.
Issue Type	The type of issue: common, preferred, etc. Allowed values: • Commodity Futures Trust Shares • Commodity Index Trust Shares • Commodity-Based Trust Shares • Commodity-Linked Securities • Convertible Debt • Currency Trust Shares • Currency Warrants • Derivative Securities Traded under UTP • Equity Gold Shares • Equity Index-Linked Securities • Exchange-Traded Fund Shares • Fixed Income Index-Linked Securities • Futures-Linked Securities • Index Fund Shares • Index Warrants • Index-Linked Exchangeable Notes • Managed Fund Shares • Managed Portfolio Shares • Managed Trust Securities • Multifactor Index-Linked Securities • Other Securities • Partnership Units • Portfolio Depository Receipts

	• Preferred Stock • Primary Equity • Right • Secondary Class of Common • Selected Equity-linked Debt Securities (SEEDS) • Tracking Fund Shares • Trust Certificates • Trust Issued Receipts • Trust Units • Units • Warrant
Currency	Currency of the issue (ISO code)
Outstanding Shares	Integer representing the number of shares outstanding for the issue. **Will be "N/A" for all ETPs**.
Test Symbol	Indicates whether or not the issue is a test symbol. Allowed values: • Y = Yes • N = No
Market Category	The Market Category of a security. Allowed values: • Tier 1 • Tier 2
First Date Traded	The date the issue first traded as a BZX Listed Issue
IPO Flag	Indicates if the issue conducted an Initial Public Offering on Cboe. Allowed values: • Y = Yes • N = No
Expiration Date	Date (in YYYY-MM-DD format) that a security (warrant, when issued, etc.) expires.
Separation Date	Date (in YYYY-MM-DD format) that a unit or warrant is separating from the associated common stock.
When Issued Flag	Indicates if the issue is in a "when-issued" status. Allowed values: • Y = Yes • N = No
When Distributed Flag	Indicates if the issue is in a "when-distributed" status. Allowed values: • Y = Yes • N = No
Round Lot Quantity	Integer indicating the number of shares that define a round lot.
Notes	Free-form text field for notes pertaining to the issue.
Financial Status	Values:

	0 = Normal 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 Product) 9 = Redemptions Suspended (for Exchange Traded Product) A = Liquidation (for Exchange Traded Product)

2.3   Daily Distribution Report Fields

Each record on the Daily Distribution Report will contain the following fields:

Field Name	Description
Symbol	Symbol of Listed Security (upper case) in CMS symbology.
CUSIP	The nine-character CUSIP assigned to the symbol on the day the report is published. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since Cboe Global Markets neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: Cboe Global Markets is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.
Issue Name	A text field representing the name of the issue.
Issue Type	The type of issue: common, preferred, etc. Allowed values: • Commodity Futures Trust Shares • Commodity Index Trust Shares • Commodity-Based Trust Shares • Commodity-Linked Securities • Convertible Debt • Currency Trust Shares • Currency Warrants • Derivative Securities Traded under UTP • Equity Gold Shares • Equity Index-Linked Securities • Fixed Income Index-Linked Securities • Futures-Linked Securities • Index Fund Shares • Index Warrants • Index-Linked Exchangeable Notes • Managed Fund Shares • Managed Portfolio Shares • Managed Trust Securities • Multifactor Index-Linked Securities • Other Securities • Partnership Units • Portfolio Depository Receipts • Preferred Stock • Primary Equity • Right

	• Secondary Class of Common • Selected Equity-linked Debt Securities (SEEDS) • Trust Certificates • Trust Issued Receipts • Trust Units • Units • Warrant
Currency	Currency of the issue (ISO code)
Outstanding Shares	Integer representing the number of shares outstanding for the issue. **"N/A" for all ETPs**.
Corporate Action Type	A text field containing the type of corporate action. Allowed values: • Cash Dividend • Long-Term Capital Gain • Short-Term Capital Gain • Reverse Stock Split • Stock Split • Spin Off • Stock Dividend • Ex-Rights • Ex-Warrants • Return of Capital • Other
Corporate Action ID	An integer value that will uniquely identify the corporate action. This identifier will be unique across all corporate action types.
Corporate Action Status	The status of the data associated with the corporate action. Allowed values: • Added = Added since last report • Cancelled = Cancelled since last report • Unchanged = No update since last report Updated = Updated since last report
Cancellation Reason	If the Corporate Action Status is "Cancelled" this field will supply a reason for the cancellation.
Declared Date	The date when the corporate action was announced.
Updated Date	The date when the data associated with the corporate action was last updated.
Frequency	If applicable, indicates the frequency of the distribution. Allowed values: • Monthly • Quarterly • Semi-annually • Annually • One Time/Special
Ex-Date	Represents the first date (in YYYY-MM-DD format) that the issue will be quoted without

	("ex") the dividend or distribution.
Record Date	The date (in YYYY-MM-DD format) that all holders of record are entitled to a distribution payment.
Payment Date	The date (in YYYY-MM-DD format) that the distribution is paid to the shareowner.
Cash Amount	When applicable a numeric factor relating the amount of the cash dividend. For example, a 7-cent dividend would carry a value of 0.07 in this field.
Stock Amount	When applicable a numeric factor relating the ratio of the stock dividend/split. For example, a 2-for-1 stock split would result in a value of 2 in this field whereas a 1-for-2 reverse stock split would result in a value of 0.5.
Rights Exercise Price	The exercise price of the rights.
Rights Expiration Date	The date (in YYYY-MM-DD format) on which the rights expire.
Notes	Free-form text field containing information about the distribution that is not reflected in one of the other fields.

2.4 Daily Corporate Actions Report Fields

Each record on the Daily Corporate Actions Report will contain the following fields:

Field Name	Description
Symbol	Symbol of Listed Security (upper case) in CMS symbology.
CUSIP	The nine-character CUSIP assigned to the symbol on the day the report is published. CUSIP is a unique nine-character alphanumeric code appearing on the face of each stock or bond certificate that is assigned to a security by Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. Since Cboe Global Markets neither owns nor controls CUSIP numbers, distributors cannot be authorized to receive the daily list or fundamental data files including CUSIP Data unless they have a license in place with CUSIP. Distributors Please note: Cboe Global Markets is not responsible for obtaining written approval from CUSIP prior to authorizing data distributors to externally redistribute CUSIP data; it is the responsibility of the data distributor to obtain such CUSIP permission for their downstream customers.
Issue Name	A text field representing the name of the issue.
Issue Type	The type of issue: common, preferred, etc. Allowed values: • Commodity Futures Trust Shares • Commodity Index Trust Shares • Commodity-Based Trust Shares • Commodity-Linked Securities • Convertible Debt • Currency Trust Shares • Currency Warrants • Derivative Securities Traded under UTP • Equity Gold Shares • Equity Index-Linked Securities • Fixed Income Index-Linked Securities • Futures-Linked Securities • Index Fund Shares • Index Warrants • Index-Linked Exchangeable Notes • Managed Fund Shares • Managed Portfolio Shares • Managed Trust Securities • Multifactor Index-Linked Securities • Other Securities • Partnership Units • Portfolio Depository Receipts • Preferred Stock

	- Primary Equity - Right - Secondary Class of Common - Selected Equity-linked Debt Securities (SEEDS) - Trust Certificates - Trust Issued Receipts - Trust Units - Units - Warrant
Currency	Currency of the issue (ISO code)
Outstanding Shares	Integer representing the number of shares outstanding for the issue. **"N/A" for all ETPs.**
Corporate Action Type	A text field containing the type of corporate action. Allowed values: - Delisting - ID Change - Name Change - New Listing - Symbol Change - Other
Corporate Action Identifier	An integer value that will uniquely identify the corporate action. This identifier will be unique across all corporate action types.
Corporate Action Status	The status of the data associated with the corporate action. Allowed values: - Added = Added since last report - Cancelled = Cancelled since last report - Unchanged = No update since last report - Updated = Updated since last report
Cancellation Reason	If the Corporate Action Status is "Cancelled" this field will supply a reason for the cancellation.
Declared Date	The date (in YYYY-MM-DD format) when the corporate action was announced.
Updated Date	The date (in YYYY-MM-DD format) when the data associated with the corporate action was last updated.
Effective Date	The date (in YYYY-MM-DD format) when the corporate action takes effect.
Corporate Action Data	Semi-colon delimited sequence of name-value pairs (e.g., <field name>=<value>) specific to the Corporate Action Type (detailed below).
Notes	Free-form text field containing information about the corporate action that is not reflected in one of the other fields.

2.4.1   Name Change Fields

When the corporate action type is "Name Change", the following field names and their corresponding values will appear as name-value pairs in the *Corporate Action Data* field of the report:

Field Name	Description
Old Name	The name of the company prior to the change.
New Name	The name of the company after the change.

2.4.2   New Listing Fields

When the corporate action type is "New Listing", the following field names and their corresponding values will appear as name-value pairs in the *Corporate Action Data* field of the report:

Field Name	Description
Listing Reason	The reason the issue will be listed by Cboe. Allowed values: • New Listing • Transfer from NYSE • Transfer from NYSE American • Transfer from NYSE ARCA • Transfer from CBOE • Transfer from NCM • Transfer from NGM • Transfer from NGS • Transfer from NASDAQ • Transfer from OTC • Other • Regulatory/Non-Compliance • Removed from Listing & Registration
Test Symbol	Indicates whether or not the issue is a test symbol. Allowed values: • Y = Yes • N = No
Round Lot Quantity	Integer indicating the number of shares that define a round lot.
Market Category	The Market Category of a security. Allowed values: • Tier 1 • Tier 2

2.4.3 Delisting Fields

When the corporate action type is "Delisting", the following field names and their corresponding values will appear as name-value pairs in the *Corporate Action Data* field of the report:

Field Name	Description
Delisting Reason	The reason the issue will no longer be listed by Cboe. Allowed values: • Acquisition/Merger • Added to OTCBB • Added to other OTC • ADR Program Termination • Called for Redemption • Company Choice/Corporate Reorganization Pending • Company Choice/Regulatory Matter Pending • Corporate Reorganization (already effective) • Expiration • Form 15 • Liquidation • Transfer to NYSE • Transfer to NYSE American • Transfer to NYSE ARCA • Transfer to CBOE • Transfer to NCM • Transfer to NGM • Transfer to NGS • Transfer to NASDAQ • Other • Regulatory/Non-Compliance • Removed from Listing & Registration

2.4.4 Symbol Change Fields

When the corporate action type is "Symbol Change", the following field names and their corresponding values will appear as name-value pairs in the *Corporate Action Data* field of the report:

Field Name	Description
Old Symbol	The symbol (ticker) of the issue prior to the change.
New Symbol	The symbol (ticker) of the issue after to the change.

2.4.5   ID Change Fields

When the corporate action type is "ID Change", the following field names and their corresponding values will appear as name-value pairs in the *Corporate Action Data* field of the report:

Field Name	Description
Old CUSIP ID	The CUSIP ID of the issue prior to the change.
New CUSIP ID	The CUSIP ID of the issue after to the change.

3 References

For more information on CMS Symbology, see the [US Symbology Reference](#).

4   Support

Please direct questions or comments regarding this specification to tradedesk@cboe.com.

Revision History

Document Version	Date	Description
1.0.0	11/09/11	Initial Publication.
1.0.1	11/10/11	Various field and formatting changes. Added new corporate action types.
1.0.2	11/16/11	Shortened some field names. Replaced codes with more descriptive values. Added *Environment* field to header record.
1.0.3	11/29/11	Removed Excel as a report formatting option. Changed symbology from Bats to CMS. Added References section.
1.0.4	11/30/11	Added *Test Symbol* field to Daily Listing Information report.
1.0.5	12/20/11	Corrected Daily Corporate Actions Report reference to read Daily Distributions Report in Section 1.2.
1.0.6	01/04/12	Changed name of Daily Listings Information Report to Daily Listed Securities Report.
1.0.7	05/14/12	Changed report delivery time to 7:00 p.m. ET. Removed "ETF" from *Market Category*.
1.0.8	03/17/16	Added support for *Financial Status* the Daily Listed Securities Report effective 03/21/16.
1.0.9	10/27/16	Added "Long-Term Capital Gain" and "Short-Term Capital Gain" as new values for *Corporate Action Type*.
1.0.10	03/27/17	Defined new *Issue Type* field values.
1.0.11	05/22/17	Updated *Outstanding Shares* to report "N/A" value for all ETPs.
1.0.12	10/17/17	Cboe branding/logo changes.
1.0.13	07/20/20	Added new *Issue Type* field values of Exchange-Traded Fund Shares, Managed Portfolio Shares, and Tracking Fund Shares.
1.0.14	03/17/23	Added *Corporate Action Type* = 'Return of Capital' to the Daily Distribution Report.
1.0.15	08/30/23	Added *Listing Reason* = 'Transfer to OTC' to the New Listing Fields. Updated *Listing Reason* = 'Transfer to NYSE American' to the New Listing Fields.
1.0.16	10/17/23	Updated *Corporate Action Type* = 'Reverse Split' to "Reverse Stock Split" in the Daily Distribution Report.