Listings Changes Specifications

File Names

Separate product files for the Toronto Stock Exchange and TSX Venture Exchange:
- Toronto Stock Exchange product file name: YYYYMMDDTSXListingsChanges.txt
- TSX Venture Exchange product file name: YYYYMMDDTSXVentureListingsChanges.txt

File Layout & Format

File Format: ASCII, Variable Length (TAB delimited)		
Field Name	**Field Type**	**Details / Processing Notes**
Identification[1]	Numeric	TSX Listings Bulletin number for Toronto Stock Exchange listings changes. Unique identifier for TSX Venture Exchange listings changes. Will not change for record modifications.
Entry Date[1]	MM/DD/YYYY	Indicates when record first added
CUSIP[1]	Alphanumeric	Format is <XXXXXX XX X>
Change Type[1]	Alphanumeric	For possible values and definitions, see Change Type Values & Definitions sections for Toronto Stock Exchange and TSX Venture Stock Exchange that follow.
Company Name[1]	Alphanumeric	Company name as reported in the Listings Bulletin.
Security Description[1]	Alphanumeric	Free text description of the security issue, such as "Class A common shares". Starting Nov. 17, 2016, securities that trade in US dollars will have (USD) at the end of the security description.
Changed CUSIP (new)	Alphanumeric	Format is <XXXXXX XX X>. Populated only for CUSIP changes and reflects the new CUSIP to be used.
Changed Company Name (new)	Alphanumeric	Changed company name as reported in the Listings Bulletin. Populated only for Company Name changes and reflects the new Company Name to be used.
Changed Security Description (new)	Alphanumeric	Free text description of the changed security issue, such as "Class B common shares". Populated only for Security Description changes and reflects the new Security Description to be used. Starting Nov. 18, 2016, securities that trade in US dollars will have (USD) at the end of the security description.
List Symbol	Alpha	Usually populated unless symbol is/to be delisted.
Delist Symbol	Alpha	
Split/Consolidation Factor	Alphanumeric	Format is <(X:Y)>, i.e. (3:2) indicates a three for two split; (1:10) indicates a one for ten consolidation.
Effective Date[1]	MM/DD/YYYY	See Effective Date details on reverse.
Details	Alphanumeric	Free text to provide additional details, including record modification details, if applicable. For TSX Venture Exchange, this will also include notes to indicate if the listing change involved any of the following: • Amalgamation • Amalgamation – RTO • Plan of Arrangement • Qualifying Transaction (QT) • When issued (starting Nov. 18, 2016)
Modification Date	MM/DD/YYYY	Indicates the most recent day that the record was modified. The modified record is uniquely identified by the <Identification> field number which will not change for record modifications.

[1] Field is always populated.

FOR MORE INFORMATION
Telephone: TMX Datalinx (416) 947-4778
Email: marketdata@tmx.com

Listings Changes Specifications

Change Type Values & Definitions – Toronto Stock Exchange (TSX) File

- **Delist -** The removal of a security's listing on a stock exchange. A security is delisted at the end of the trading day (effective date).
- **Name Change –**Used for company and/or security name changes. Name change entries may also include symbol changes.
- **New Listing -** Occurs with the posting of the new issuer's securities for trading. The effective date of a new listing is the date that the security opens for trading. A security listed after market close (i.e. at 5:01 PM EST) will have a listing effective date of the next business day.
- **Reinstatement -** The resumption of trading, after a Suspension or Cease Trade Order, for a listed security or securities.
- **Special Terms -** Mandatory Special trading and settlement due to Corporate Actions such as Plan of Arrangements, Reorganizations, Special distributions and expiries of Rights, Warrants, Notes and Debentures.
- **Subdivision -** A corporate action that increases the number of securities issued and outstanding, without the issuer receiving any consideration for the issue. Each security holder gets more securities, in direct proportion to the amount of securities they own on the record date; thus, their percentage ownership of the issuer does not change. For example, a two-for-one stock subdivision involves the issuance of two new securities for every old security. The effective date of a subdivision is when the subdivided securities open for trading on the exchange.
- **Substitutional (Listing) -** A broad category of transactions that involves one security on the stock list being replaced by another security or securities. Includes stock consolidations. A substitutional entry in the Listings Changes file will include a List Symbol and a Delist Symbol. In some cases, such as consolidations, the List and Delist Symbol will be the same, indicating a change in security characteristics but no change in the stock symbol. The effective date of a substitutional listing is the date that the replacement security opens for trading on the exchange and the date that the security being replaced is no longer listed.
- **Substitutional (Listing) and Name Change** – Used when the Substitutional change also includes a company name change.
- **Supplemental (Listing) -** A type of listing transaction, made after an issuer's original listing, that involves the listing and posting for trading of a new issue of securities. Typically, this involves the listing of preferred shares, rights, warrants, or debentures. Supplemental also covers (i) the additional listing of when-issued shares through a secondary offering of an issue that is already listed, and (ii) the listing of a new stock symbol for trading in a different currency (i.e. new symbol HXT.U listed for trading in USD on March 30, 2011, in addition to the existing symbol, HXT, which was trading in CAD).
- **Suspension** - The temporary revocation by the exchange of trading in an issuer's listed securities.
- **Symbol Change -** A change in a listed issuer's stock symbol, which may be required by the exchange in the context of an issuer's reorganization or may be made at the request of the issuer. The "changed to" symbol will populate the List Symbol field and the "changed from" symbol will populate the Delist Symbol field.

FOR MORE INFORMATION
Telephone: TMX Datalinx (416) 947-4778
Email: marketdata@tmx.com

Listings Changes Specifications

Change Type Values and Definitions – TSX Venture Exchange (TSXV) File

- **Cease Trade Order -** A securities commission may issue a "cease trade order" against a listed issuer. The reasons may include a failure to file financial reports on time or filing misleading or incomplete information.
- **Delist** - Same as TSX (see above).
- **Graduation to TSX** - Company listing is transferred from the TSX Venture Exchange, including NEX, to the Toronto Stock Exchange.
- **Name Change and/or Consolidation -** Name change entries may also include symbol changes. The name change effective date is the date that the security opens for trading on the exchange under the new name.
- **Name Change and/or Stock Split -** Name change entries may also include symbol changes. The name change effective date is the date that the security opens for trading on the exchange under the new name.
- **New Listing –** Same as TSX (see above).
- **Reinstatement** - Same as TSX (see above).
- **Suspension -** Same as TSX (see above).
- **Symbol Change and/or Consolidation -** A change in a listed issuer's stock symbol, which may be required by the exchange in the context of an issuer's reorganization or may be made at the request of the issuer.
- **Symbol Change and/or Stock Split** - A change in a listed issuer's stock symbol, which may be required by the exchange in the context of an issuer's reorganization or may be made at the request of the issuer.
- **Tier Reclassification** - TSXV has two tiers where securities are listed and traded. Tier 1 is for advanced companies with a certain level of net tangible assets and earnings. Tier 2 is for more junior venture companies. Tier reclassification identifies a change in the issuers tier status.
- **Transfer/Addition to NEX** - Transfer to NEX includes NEX company listings that are transferred from the Toronto Stock Exchange or TSX Venture Exchange. Addition to NEX includes any other new listing for NEX.

Effective Date Details

1. **Security List Dates**. List Date/Effective Date is the trading day when trading starts.
2. **Security Delist Dates**. Securities are delisted at the end of the trading day. The Delist Date/Effective Date reported reflects the trading day when a security issue has been delisted. For instance, if a security issue is delisted at the close of trading July 17, 2013, the Issue Delist Date will be July 17, 2013.

Delivery

- Daily before 5:00 PM ET
- Available through FTP, e-mail, or online

History

History available on request:

- from May 2006 for Toronto Stock Exchange[1]
- from March 2007 for TSX Venture Exchange[1]

[1] Record layout and content are different for files prior to Oct. 1, 2013.

FOR MORE INFORMATION
Telephone: TMX Datalinx (416) 947-4778
Email: marketdata@tmx.com