

Principles for Assignment of Ticker Symbols in the Republic of China Securities Markets

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- 1 The principles for assignment of ticker symbols in the Republic of China securities markets are generally adopted by the Taiwan Stock Exchange, covering the following securities:

 1. Stocks of non-public companies: If the stock is registered on the Go Incubation Board for Startup and Acceleration Firms (GISA) of the Taipei Exchange (TPEx), it will be assigned a four-digit numerical ticker symbol. When the stock is then publicly issued, the same ticker symbol from the GISA will continue to be used. If the registration on the GISA is terminated and no application for public issuance has been filed, the ticker symbol may be reassigned for use by another stock.
 2. Stock in a public company: The principle is to assign a four-digit numerical ticker symbol. Upon initial application, the symbol will be assigned according to stock type, in proper numerical sequence among other listed stocks of the same type. After assignable codes for listed stocks of the same type have all been used, a code will be assigned from the codes for TPEx-listed stocks of the same type. Based on the principle of consistent use of a single code, the company's symbol will remain unchanged despite any change in the stock's industry or market subsequent to the initial assignment of its ticker symbol.
 3. TWSE- or TPEx-listed stocks:
 - A. TWSE- or TPEx-listed stocks of domestic issuers: The symbol assigned at the time of public issuance will continue to be used.
 - B. Stocks of a foreign enterprise that is listed in Taiwan as a primary or secondary TWSE- or TPEx-listed company: The principle is the same as that for stocks in a public company.
 - C. Stocks listed on the Taiwan Innovation Board: The principle is the same as that for stocks in a public company, or the symbol assigned at the time of public issuance will continue to be used.
 4. Emerging stocks:
 - A. Domestic issuers: The principle is the same as that for stocks in a public company, or the symbol assigned at the time of public issuance will continue to be used after such a stock becomes an emerging stock.
 - B. Stocks of a foreign enterprise registered in Taiwan as an emerging-stock company: The principle is the same as that for stocks in a public company
 5. Convertible corporate bonds: A single or double digit series number, from 1 to 99 (reusable), is added following the four-digit ticker symbol, in accordance with the bond issue's relative order of issuance.
 6. Exchangeable corporate bonds or exchangeable financial bonds: A double-digit series number, from 01 to 09 (reusable), is added following the four-digit ticker symbol, in accordance with the bond issue's relative order of issuance.
 7. Certificates of entitlement to new shares from convertible bonds: A single English letter, from X to Z, is added following the four-digit ticker symbol.

8. Preferred stocks: An English letter, from A to W, is added following the four-digit ticker symbol.
9. Stock warrants: The English letter "G" is added following the four-digit ticker symbol.
10. Preferred stocks with warrants: The English letter "G" is added following the four-digit ticker symbol, followed by an English letter, from A to C, in the sixth place.
11. Corporate bonds with warrants: The English letter "G" is added following the four-digit ticker symbol, followed by an English letter, from D to L, in the sixth place.
12. The corporate bonds after the exercise or stripping of corporate bonds with warrants: The English letter "F" will be added following the four-digit ticker symbol, followed by a single digit from 1 to 9 in the sixth place.
13. Call (put) warrants:
 - A. Call warrants for domestic securities or indexes: An initial two-digit numerical code is followed by a four-digit series number.
 - B. Put warrants for domestic securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "P" in the sixth place.
 - C. Call warrants for foreign securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "F" in the sixth place.
 - D. Put warrants for foreign securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "Q" in the sixth place.
 - E. Callable bull contracts for domestic securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "C" in the sixth place.
 - F. Callable bear contracts for domestic securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "B" in the sixth place.
 - G. Extendable callable bull contracts for domestic securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "X" in the sixth place.
 - H. Extendable callable bear contracts for domestic securities or indexes: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "Y" in the sixth place.
 - I. The codes of call (put) warrants may be reused.
 - J. Call (put) warrants for spot gold registered and traded on the TPEx are governed mutatis mutandis by the assignment principles in subparagraphs 1, 2, and 5 to 9.
14. Beneficial certificates (closed-end funds), depositary receipts, ETFs, and other financial products:
 - A. Beneficial certificates (closed-end funds) and depositary receipts: An initial two-digit numerical code followed by a four-digit series number.
 - B. Corporate bonds with depositary receipts as the underlying assets for conversion or exercise:

- a. Convertible corporate bonds: An initial two-digit numerical code is followed by a two-digit number, followed by the English letter "C" in the fifth place, followed by a single-digit series number, from 1 to 9, in the sixth place.
 - b. Corporate bonds with warrants: An initial two-digit numerical code is followed by a two-digit number, followed by the English letter "G" in the fifth place, followed by an English letter, from D to L, in the sixth place.
 - c. The corporate bonds after the exercise or stripping of corporate bonds with warrants: An initial two-digit numerical code is followed by a two-digit number, followed by the English letter "F" in the fifth place, followed by a single-digit series number, from 1 to 9, in the sixth place
 - d. Stock warrants: An initial two-digit numerical code is followed by a two-digit number, followed by the English letter "G" in the fifth place, followed by a single-digit series number, from 1 to 9, in the sixth place.
- C. ETFs: An initial two-digit numerical code followed by a three-digit series number:
- a. In the case of exchange-traded securities investment trust funds: if denominated in a foreign currency, followed by the English letter "K" in the sixth place. In the case of leveraged ETFs, the English letter in the sixth place is "L," or "M" if denominated in a foreign currency. In the case of inverse ETFs, the English letter in the sixth place is "R," or "S" if denominated in a foreign currency.
 - b. In the case of exchange-traded futures trust funds ("Futures ETFs"), the English letter in the sixth place is "U," or "V" if denominated in a foreign currency. In the case of leveraged ETFs and those denominated in foreign currency, and inverse Futures ETFs and those denominated in foreign currency, the assignment principle in the preceding item applies mutatis mutandis to the English letter in the sixth place .
 - c. In the case of exchange-traded bond trust funds ("Bond ETFs"), the English letter in the sixth place is "B," or "C" if denominated in a foreign currency. In the case of leveraged ETFs and those denominated in foreign currency, and inverse Futures ETFs and those denominated in foreign currency, the assignment principle in item 1 applies mutatis mutandis to the English letter in the sixth place.
15. Beneficial certificates for financial asset securitization products; asset-backed securities: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "S" in the sixth place.
16. Beneficial certificates for real estate asset trusts: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "P" in the sixth place.
17. Beneficial certificates for real estate investment trusts: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "T" in the sixth place.
18. Exchange-traded notes (ETN): An initial two-digit numerical code is followed by a four-digit series number:
- A. Leveraged ETF: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "L" in the sixth place.

- B. Inverse ETF: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "R" in the sixth place.
 - C. ETF tracking a bond index: An initial two-digit numerical code is followed by a three-digit series number, followed by the English letter "B" in the sixth place. In the event of a leveraged or inverse ETF tracking a bond index, the English letter in the sixth place is governed by the principles in subparagraph 1 or 2 mutatis mutandis.
19. Straight corporate bonds and corporate strip bonds: The English letter "B" is followed by a five-place alphanumeric sequence. The five-place alphanumeric sequence for straight corporate bonds consists of a one-place industry designator plus a two-place company designator plus a two-place securities designator; the five-place alphanumeric sequence for corporate strip bonds consists of a two-place company designator plus a two-place securities designator plus a one-place designator of principal or interest.
20. Government bonds, exchangeable government bonds, and government strip bonds:
- A. For government bonds and exchangeable government bonds:
 - a. For central government bonds, an English letter "A" is followed by a five-place numerical code (a two-place year designator plus a one-place bond designator plus a two-place issue designator).
 - b. For local government bonds, an English letter H is followed by a five-place alphanumeric code (an English letter "A" for Taipei City government bonds; "B" for Kaohsiung City government bonds; "C" for New Taipei City government bonds; "D" for Taichung City government bonds; "E" for Tainan City government bonds; "F" for Taoyuan City government bonds; plus a two-place year designator plus a two-place issue designator).
 - B. For government strip bonds: a one-place securities identifier (the English letter "P" for principal-only (PO) government strip bonds; the English letter "I" for interest-only (IO) government strip bonds) plus a two-place year-of-maturity code (years expressed according to the ROC calendar) plus a one-place month-of-maturity code plus a two-place day-of-maturity code.
21. Financial bonds and financial strip bonds: An English letter "G" is followed by a five-place alphanumeric sequence. The five-place alphanumeric sequence for financial bonds consists of a one-place industry designator plus a two-place company designator plus a two-place securities designator; the five-place alphanumeric sequence for financial strip bonds consists of a two-place company designator plus a two-place securities designator plus a one-place designator of principal or interest.
22. New Taiwan Dollar denominated foreign bonds and foreign currency denominated bonds not included in paragraph 22: The English letter "F" is followed by a five-place alphanumeric sequence, consisting of a three-place company designator plus a two-place securities designator; for a strip bond, the five-place alphanumeric sequence consists of a two-place company designator plus a two-place securities designator plus a one-place designator of principal or interest.
23. Foreign-currency denominated bonds with equity characteristics, issued by a TWSE- or TPEx-listed company, an emerging stock company, or a public company in Taiwan:

- A. Convertible corporate bonds or overseas convertible bonds: A four-place ticker code plus a single digit 1-9 (reusable) plus one English letter "E"
 - B. Corporate bonds with warrants and overseas corporate bonds with warrants: A four-place ticker code plus a single digit 1-9 (reusable) plus one English letter "W".
24. Open-end fund beneficial certificates: The English letter "T" is followed by a five-place alphanumeric sequence (two-place company designator plus a two-place fund designator plus a one-place type designator).
25. Security tokens (STO):
- A. Dividend tokens: An initial two-letter code, ST, is followed by a four-digit series number.
 - B. Debt tokens: An initial two-letter code, ST, is followed by a three-digit series number, followed by the English letter "D" in the sixth place.
- 2 These Principles shall take effect after having been submitted to and approved by the competent authority. Subsequent amendments thereto shall be effected in the same manner.