

OTC Company Data File User Specification

Version 2.3

May 2025

Change history

05/02/2025	Addition of OTCID Tier. Removal of Pink Current tier.
04/23/2019	Addition of Expert Market Tier.
11/20/2017	Amendment of OTC Tier values. Remove 'OTC' from Pink tiers.
10/14/2013	Amendment of character limit for description field to 5000
03/09/2012	Addition of cusip field
09/19/2011	Addition of phone and email fields for Legal Counsel, Auditor/Accountant and IR Firm
01/13/2011	Name change updates
4/21/2010	Estimated file size update
4/16/2010	Tier description updates
3/24/2010	Amended data type for authorized shares and shares outstanding
3/23/2010	Amended data type for a number of fields (reporting status etc.)
1/30/2010	Altered file creation time to 9:30 PM
1/29/2010	Removal of service provider contact fields
5/12/2009	Initial Version - 1.0

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1 Company Data File

1.1 Overview

The OTC Markets Company Data File provides key company data for companies with securities trading on the U.S. OTC equity market. The company data file includes high level OTC security information as well as company officers/directors, business description, and company service provider information (auditors, counsel). The file also includes important OTC security attribute information which is unique to the OTC Marketplace and is provided only by OTC Markets Group. Key fields include:

- **Caveat Emptor** – An OTC Markets designation that notes that there is a public interest concern associated with the company, which may include a spam campaign, questionable stock promotion, known investigation of fraudulent activity committed by the company or insiders, regulatory suspensions, or disruptive corporate actions.
- **OTC Tier** – OTC Markets categorizes all securities trading over-the-counter into easily identifiable tiers that inform investors whether an issuer has made adequate public information available in a timely manner.

The Company Data file may be used in conjunction with the End-of-Day Pricing and the Security Information File to file to obtain a complete view of the trade, quote, security and company data for all companies with securities trading on the US OTC market.

Company Data files are weekly files; they are made available on Friday at 9:30 PM. File types and delivery methods are outlined in section 1.2 and 1.4.

1.2 File Types

Company Data files will be made available to customers in pipe delimited format. Files will be made available on Friday at 9:30 PM.

Company Data files will be created with and without the cusip field included¹. Company Data file naming convention is as follows:

- CUSIP included: comp_YYYYMMDD_cusip.txt
- CUSIP not included: comp_YYYYMMDD.txt

The first row of the pipe delimited file includes column labels. File size is approximately 22 MB.

¹ 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 Factset. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Factset. Since OTC Markets Group 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 daily license in place with CUSIP. Distributors please note: OTC Markets Group 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.

1.3 File Data Elements

The below table outlines all the data elements within the Company Data File. Note: multiple rows will appear for companies that have more than one officer/director within our database. All of the data in these rows will be identical except for the officer/director information.

Data Element	Description	Data Type
Security ID	OTC Markets unique security identifier	Integer
Company ID	OTC Markets unique company identifier	Integer
Trading Symbol	US markets symbol	Char(10)
Security Name	Security Name (short description)	Varchar (25)
US Trading Venue	US trading venue	Char(20)
Date	File creation date	Date
OTC Tier	OTC Market Tier (OTCQX, OTCQB, OTCID etc.)	Varchar(100)
Caveat Emptor (Flag)	Caveat Emptor (Buyer Beware) Flag (Y/N)	Char(1)
DAD/PAL Sponsor	OTCQX company sponsor	Varchar(75)
Security Type	Security Type (e.g. common, unit, warrant)	Varchar(75)
Security Class	Security Class	Char(1)
Company Name	Company name	Varchar(75)
Address line 1	Company headquarters address line 1	Varchar(40)
Address line 2	Company headquarters address line 2	Varchar(40)
Address line 3	Company headquarters address line 3	Varchar(40)
City	Company headquarters city	Varchar(20)
State/Province	Company headquarters state/province	Varchar(75)
Postal Code	Company headquarters postal code	char(10)
Country of Domicile	Company headquarters country	Varchar(75)
Telephone Number	Company telephone number	Varchar(19)
Fax Number	Company fax number	Varchar(35)
Website	Company website	Varchar(50)
SIC	SIC Industry Identifier	Small Int (5 max)
SIC description	SIC Industry Identifier description	Varchar(75)
CIK	SEC Central Index Key - company identifier	Varchar(15)

Business Description	Business Description of Company	long Varchar (5000)
Executive/Officer/Director Name	Name of Company Executive (elements will be separated into first and last names)	Varchar(50)
Title	Title of Executive	Varchar(50)
Number of Employees	Number of Employees at company	Integer
State of Incorporation	State in which company is incorporated	Varchar(75)
Country of Incorporation	Country in which company is incorporated	Varchar(75)
Year of Incorporation	Year in which company was incorporated	Integer (4 digits)
Shares Authorized	Shares authorized for respective company	decimal(16,1)
Total Shares Outstanding	Shares outstanding for respective company	decimal(16,1)
Market Cap	Company Market Cap – Market Cap is for the specific security. If company has multiple classes of securities the market cap noted will be incorrect.	decimal(20,4)
Auditor Name	Auditor Name	Varchar(75)
Auditor Address 1	Auditor Address 1	Varchar(75)
Auditor Address 2	Auditor Address 2	Varchar(75)
Auditor Address 3	Auditor Address 3	Varchar(75)
Auditor City	Auditor City	Varchar(75)
Auditor State/Province	Auditor State/Province	Varchar(75)
Auditor Postal Code	Auditor Postal Code	Varchar(25)
Auditor Country	Auditor Country	Varchar(75)
Auditor Website	Auditor Website	Varchar(50)
Auditor Phone	Auditor Phone	Varchar(35)
Auditor Email	Auditor Email	Varchar(255)
IR Firm Name	IR Firm Name	Varchar(75)
IR Firm Address 1	IR Firm Address 1	Varchar(75)

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IR Firm Address 2	IR Firm Address 2	Varchar(75)
IR Firm Address 3	IR Firm Address 3	Varchar(75)
IR Firm City	IR Firm City	Varchar(75)
IR Firm State/Province	IR Firm State/Province	Varchar(75)
IR Firm Postal Code	IR Firm Postal Code	Varchar(25)
IR Firm Country	IR Firm Country	Varchar(75)
IR Firm Website	IR Firm Website	Varchar(50)
IR Firm Phone	IR Firm Phone	Varchar(35)
IR Firm Email	IR Firm Email	Varchar(255)
Legal Counsel Name	Legal Counsel Name	Varchar(75)
Legal Counsel Address 1	Legal Counsel Address 1	Varchar(75)
Legal Counsel Address 2	Legal Counsel Address 2	Varchar(75)
Legal Counsel Address 3	Legal Counsel Address 3	Varchar(75)
Legal Counsel City	Legal Counsel City	Varchar(75)
Legal Counsel State/Province	Legal Counsel State/Province	Varchar(75)
Legal Counsel Postal Code	Legal Counsel Postal Code	Varchar(25)
Legal Counsel Country	Legal Counsel Country	Varchar(75)
Legal Counsel Website	Legal Counsel Website	Varchar(50)
Legal Counsel Phone	Legal Counsel Phone	Varchar(35)
Legal Counsel Email	Legal Counsel Email	Varchar(255)
Fiscal Year-End	Fiscal year end date	Char(5) in the format of mm/dd
Reporting Status	Company reporting status (e.g. SEC reporting, Bank/Thrift reporting)	Varchar(50)
Bankrupt	Flag noting whether company is in bankruptcy	Char (1)

Shell	Flag noting whether the company is a shell company	Char(1)
Bank/Thrift or Non Bank Regulated	Flag noting whether the company is either a bank/thrift or non-bank regulated company (e.g. insurance)	Char(1)
Audited Financials	Flag noting whether the company's financials are audited.	Char(1)
CUSIP Number	S&P unique security identifier. The Company Data file with CUSIP file requires an agreement with S&P for CUSIP use.	Char(9)

1.4 File Delivery

Company Data Files will be made available to customers via FTP. Files will be placed in a directory entitled 'company' at 9:30 PM on Fridays.

Files will be kept on the ftp server for one month. For historical Company Data files, please email techsupport@otcmarkets.com and note 'Company Data File' in the subject line.

FTP url: <ftp://ftp.otcmarkets.com>

Username and Passwords will be supplied by an OTC Markets account representative.

1.5 Customer Support

If you have any issues regarding the Company Data file data or delivery, please contact us using the below information:

Data Delivery – Technical Questions

Email: techsupport@otcmarkets.com

Telephone: 212.896.4411

Data Quality – Historical Data

Email: techsupport@otcmarkets.com – please note 'Company Data File' in the subject line