

OTC Markets

Promotion Data File Specification

Version 1.6

April 2023

Change history

| Date | Version | Description |
|--------|---------|---|
| 4/2023 | 1.6 | 211 Shell Days Remaining logic clarification |
| 8/2021 | 1.5 | Update Reason Code appendix, Datatype updates |
| 7/2021 | 1.4 | Addition of Determination Date, 211 Shell Days Remaining fields. Addition of Reason Code mapping table in Appendix |
| 5/2021 | 1.3 | Addition of 211 Fields and ECN Eligible Flag |
| 2/2021 | 1.2 | Update to File Delivery Times |
| 4/2019 | 1.1 | Addition of Expert Market Tier |
| 3/2018 | 1.0 | Initial Version |

Table of Contents

| | | |
|----------|--|----------|
| 1 | OTC MARKETS PROMOTION DATA FILE | 4 |
| 1.1 | OVERVIEW | 4 |
| 1.2 | FILE TYPES | 4 |
| 1.3 | FILE DATA ELEMENTS | 5 |
| 1.3.1 | Validation File | 8 |
| 1.4 | FILE DELIVERY | 8 |
| 1.5 | CUSTOMER SUPPORT | 9 |

1 OTC Markets Promotion Data File

1.1 Overview

The OTC Markets Promotion Data File provides basic security master information and information on promoted securities in the OTC market. The product includes key security master file information, including: Caveat Emptor, OTC Market Tier, Shares Outstanding along with symbol and CUSIP data.

The file also includes information on promoted securities in the OTC market. The file notes securities which are currently undergoing an 'Active Promotion' along with information on securities which have been promoted in the past. Details regarding the parameters for promotion are noted below in the 'File Data Elements' section.

1.2 File Types

The OTC Promotion Data File is available to customers in pipe delimited format. The file is created on every trading day and placed OTC Markets' FTP server at ~ 5 AM and 7 PM.

Files will be created with and without the CUSIP field included¹. File naming convention is as follows:

- 5 AM Base File CUSIP included: promotion-data-YYYY-MM-DD-AM.txt
- 5 AM Base File CUSIP not included: promotion-data-no-cusip-YYYY-MM-DD-AM.txt
- 7 PM Base File CUSIP included: promotion-data-YYYY-MM-DD-PM.txt
- 7 PM Base File CUSIP not included: promotion-data-no-cusip-YYYY-MM-DD-PM.txt

The first row of the pipe delimited file includes column labels. File size is approximately 6 MB.

The Promotion Data File is accompanied by a 'Validation File' which notes file name, source, date/time and record count. The validation file is in pipe delimited format. These files assist firms in confirming that they have properly processed the Promotion Data File.

Validation files are made available with each iteration of the Promotion Data File (AM/PM). Naming convention is as follows:

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 Standard & Poor's Corporation. CUSIP numbers are the property of the American Bankers Association (ABA) and are administered by Standard & Poor's. 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.

- 5 AM Promotion Data File CUSIP included: promotion-data-validation-YYYY-MM-DD-AM.txt
- 5 AM Promotion Data File CUSIP not included: promotion-data-validation-no-cusip-YYYY-MM-DD-AM.txt
- 7 PM Promotion Data File CUSIP included: promotion-data-validation-YYYY-MM-DD-PM.txt
- 7 PM Promotion Data File CUSIP not included: promotion-data-validation-no-cusip-YYYY-MM-DD-PM.txt

1.3 File Data Elements

| Data Element Label | Description | Data Type |
|--------------------|---|-----------------------------|
| Date | File creation date | Date |
| SecID | OTC Markets Group unique identifier for security | Integer |
| CompID | OTC Markets Group unique company identifier for security. | Integer |
| Symbol | US markets symbol | Char (15) |
| CUSIP | S&P Unique Security Identifier | Char (9) |
| Company Name | Company Name | Varchar (75) |
| Security Name | Security Name | Char (50) |
| Venue | US trading venue | Char (20) |
| Security Type | Security Type (e.g. common, unit, warrant) | Varchar (75) |
| Security Class | Security Class | Char (1) |
| Caveat Emptor | Caveat Emptor (Buyer Beware) Flag (Y/N) | Char (1) |
| OTC Marketplace | Security Marketplace (OTCQX, OTCQB etc.) | Varchar (100) |
| OTC Marketplace ID | OTC Marketplace identifier | |
| | Marketplace ID | Marketplace Name |
| | 5 | OTCQX International Premier |
| | 1 | OTCQX U.S. Premier |
| | 6 | OTCQX International |
| | 2 | OTCQX U.S. |
| | 10 | OTCQB |
| | 20 | Pink Current |
| | 21 | Pink Limited |
| | | Integer |

OTC Markets Promotion Data Specifications

| | <table><tr><td>22</td><td>Pink No Information</td></tr><tr><td>11</td><td>FINRA BB Only</td></tr><tr><td>30</td><td>Grey Market</td></tr><tr><td>40</td><td>Expert Market</td></tr></table> | 22 | Pink No Information | 11 | FINRA BB Only | 30 | Grey Market | 40 | Expert Market | | | | | |
|--------------------------------|---|----------------|---------------------|----|---------------------------------|----|----------------|----|---------------|---|---------------------------|---|----------------|--------------|
| 22 | Pink No Information | | | | | | | | | | | | | |
| 11 | FINRA BB Only | | | | | | | | | | | | | |
| 30 | Grey Market | | | | | | | | | | | | | |
| 40 | Expert Market | | | | | | | | | | | | | |
| Reporting Standard | <p>Company reporting standard. Values include:</p> <ul style="list-style-type: none">• Alternative Reporting Standard• SEC Filer• Bank/Thrift Reporting• Insurance Reporting• FINRA Reporting• International Reporting• SEC Reporting – Investment Company• Another Reporting Standard• No Reporting Standard | Varchar (50) | | | | | | | | | | | | |
| Security Status | <p>Security Status – Possible values include:</p> <table><tr><th>Status Value</th><th>Status Description</th></tr><tr><td>A</td><td>Active, freely trading security</td></tr><tr><td>S</td><td>SEC suspension</td></tr><tr><td>H</td><td>FINRA halt</td></tr><tr><td>I</td><td>Internal OTC Markets halt</td></tr><tr><td>R</td><td>SEC revocation</td></tr></table> | Status Value | Status Description | A | Active, freely trading security | S | SEC suspension | H | FINRA halt | I | Internal OTC Markets halt | R | SEC revocation | Varchar (20) |
| Status Value | Status Description | | | | | | | | | | | | | |
| A | Active, freely trading security | | | | | | | | | | | | | |
| S | SEC suspension | | | | | | | | | | | | | |
| H | FINRA halt | | | | | | | | | | | | | |
| I | Internal OTC Markets halt | | | | | | | | | | | | | |
| R | SEC revocation | | | | | | | | | | | | | |
| Proprietary Quote Eligible | Security is eligible for proprietary quoting under SEC Rule 15c2-11. | Varchar (1) | | | | | | | | | | | | |
| Home Market Trading Symbol | Home market symbol for foreign securities (e.g. F shares, ADRs) | Varchar (10) | | | | | | | | | | | | |
| Home Market Trading Venue | Home market trading venue for foreign securities | Varchar (50) | | | | | | | | | | | | |
| Home Market Trading Venue Tier | Home market trading venue tier. A venue tier is a subset of the main venue. For example, the LSE AIM market. | Varchar (50) | | | | | | | | | | | | |
| Ratio – Common Shares: ADRs | ADR ratio (Common to ADR) expressed as rational number. The number is the number of ordinary shares per ADR. Therefore ‘10’ equals a ratio of 10 ordinary shares to 1 ADR. | Decimal (11,5) | | | | | | | | | | | | |
| Total Shares Outstanding | Shares outstanding for respective security | Decimal (16,1) | | | | | | | | | | | | |

OTC Markets Promotion Data Specifications

| | | |
|---|---|----------------|
| Total Shares Outstanding As Of Date | Shares outstanding as of date | Date |
| Total Shares Authorized | Shares authorized for respective security | Decimal (16,1) |
| Total Shares Authorized As Of Date | Shares authorized as of date | Date |
| Market Capitalization | Market cap for respective security. If company has multiple classes of securities, Market cap is not aggregated across classes. | Decimal (20,1) |
| Shell Status | Flag noting whether a company is a shell company | Char (1) |
| 20 Day Avg Volume | Mean share volume for past 20 trading days | Integer |
| 30 Day Avg Volume | Mean share volume for past 30 trading days | Integer |
| Transfer Agent Verified | Flag noting if shares outstanding data is received directly from Transfer Agent | Char (1) |
| Transfer Agent | Transfer Agent(s) associated with security. If multiple transfer agents are associated with security they will be separated by a semi-colon. | Varchar (200) |
| Company Profile Verified | Flag noting if company profile data is verified by the issuer. Verified data may not be more than six months old. See Company Profile Verified as of date field. | Char (1) |
| Company Profile Verified As Of Date | Profile verification as of date. | Date |
| Active Promotion | Flag noting if a security is being actively promoted. Active promotion is defined as promotion occurring within past 15 trading days. | Char (1) |
| Most Recent Promotion Date | Notes date of most recent promotion. If security is not actively being promoted the date will be > 15 trading days in the past. If the security is being promoted, then it will be within last 15 trading days. If the security has never been promoted, then value will be NULL. | Date |
| OTC Link ECN Eligible Flag | Notes whether the security is eligible for OTC Link ECN (Y/N) | Varchar(1) |
| Disclosure Status | Issuer Disclosure Status – Possible values include: <ul style="list-style-type: none"> • Current Information • Limited Information • No Information | Varchar(50) |
| Proprietary Quote Eligible Entry Reason Code(s) | Notes 15c-211 compliance basis for Proprietary Quote Eligibility. Multiple reason codes (integer(s)) are possible and will be delimited with a semi-colon (;). See appendix for Reason Code mapping and descriptions and applicable rule sections. | Varchar(15) |
| Determination Date(s) | Notes determination date(s) for Proprietary Quote Eligibility Reason Code(s). Multiple dates are possible and will be | Varchar(55) |

| | | |
|--------------------------|--|------------|
| | delimited with a semi-colon(;). Dates will correlate to order of PQE Reason Codes. | |
| Grace Period | Notes if security is in Grace Period for Rule 15c-211 compliance. | Varchar(1) |
| 211 Shell Flag | Notes if issuer is a shell company under rule 15c2-11 | Varchar(1) |
| 211 Shell As Of Date | Date of initial proprietary quote for security (regardless of shell status). As of date is basis for 18 month limited application of piggyback exemption. Post 18 month timeframe (and continued 211 Shell flag = Y) the security will not qualify for piggyback exemption and may lose proprietary quote eligibility. | Date |
| 211 Shell Days Remaining | Number of days remaining on 18 month shell timeframe for piggyback exemption. If 18 month shell timeframe for piggyback exemption has expired, then value will be null. | Integer |

1.3.1 Validation File

| Data Element Label | Description | Data Type |
|--------------------|--|--------------|
| Datafile | Name of Data File for validation | Varchar (75) |
| Source | Datafile source firm name (Always OTC Markets Group) | Varchar (25) |
| Date/Time | Date/Time file was placed on FTP server | DateTime |
| Record Count | Total number of records for Datafile | Integer |

1.4 File Delivery

The Promotion Data File will be made available to customers via FTP. Files will be placed in a directory entitled 'Promotion-Data' at 5AM and 7PM on trading days.

Files will be kept on the ftp server for two weeks. For historical files, please email techsupport@otcmarkets.com and note 'OTC Markets Promotion Data File' in the subject line.

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

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

1.5 Customer Support

If you have any issues regarding the Promotion 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: marketdata@otcmarkets.com – please note 'Promotion Data Product' in the subject line

1.6 Appendix

1.6.1 Reason Code Mapping Table

| Reason Code ID | Reason Code Description | Rule Section |
|----------------|--|----------------------|
| 1 | 211 Cleared by FINRA | (a)(1) |
| 2 | OTC Link Initial Information Review - SEC Reporting (Registration Statement) | (a)(2) - (b)(1) |
| 3 | OTC Link Initial Information Review - SEC Reporting (Reg A Offering) | (a)(2) - (b)(2) |
| 4 | OTC Link Initial Information Review - SEC Reporting | (a)(2) - (b)(3)(i) |
| 5 | OTC Link Initial Information Review - SEC Reporting (Reg A) | (a)(2) - (b)(3)(ii) |
| 6 | OTC Link Initial Information Review - SEC Reporting (Reg CF) | (a)(2) - (b)(3)(iii) |
| 7 | OTC Link Initial Information Review - SEC Reporting (Insurance Company) | (a)(2) - (b)(3)(iv) |
| 8 | OTC Link Initial Information Review - Insurance Company | (a)(2) - (b)(3)(v) |
| 9 | OTC Link Initial Information Review - 12g3-2(b) | (a)(2) - (b)(4) |
| 10 | OTC Link Initial Information Review - Catch-All | (a)(2) - (b)(5) |
| 11 | Exchange Delist | (f)(1) |
| 12 | Piggyback Qualified – SEC Reporting (Registration Statement) | (f)(3) - (b)(1) |
| 13 | Piggyback Qualified – SEC Reporting (Reg A Offering) | (f)(3) - (b)(2) |
| 14 | Piggyback Qualified – SEC Reporting | (f)(3) - (b)(3)(i) |
| 15 | Piggyback Qualified – SEC Reporting (Reg A) | (f)(3) - (b)(3)(ii) |
| 16 | Piggyback Qualified – SEC Reporting (Reg CF) | (f)(3) - (b)(3)(iii) |
| 17 | Piggyback Qualified – SEC Reporting (Insurance Company) | (f)(3) - (b)(3)(iv) |
| 18 | Piggyback Qualified – Insurance Company | (f)(3) - (b)(3)(v) |
| 19 | Piggyback Qualified – 12g3-2(b) | (f)(3) - (b)(4) |
| 20 | Piggyback Qualified – Catch-All | (f)(3) - (b)(5) |
| 21 | Municipal Security | (f)(4) |
| 22 | ADTV, Assets, Shareholder Equity | (f)(5) |
| 23 | Underwriter Quote | (f)(6) |
| 24 | Piggyback Qualified – Grace Period | (f)(3) - (ii)(c) |