

OTC Markets

Promotion Data File Specification

Version 1.7

May 2025

Change history

Date	Version	Description
5/2025	1.7	OTCID Updates
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

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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
	6	OTCQX International
	2	OTCQX U.S.
	10	OTCQB
	20	OTCID
	21	Pink Limited
	22	Pink No Information
	11	FINRA BB Only
		Integer

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	30	Grey Market														
	40	Expert Market														
Reporting Standard	Company reporting standard. Values include: <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	<div>Security Status – Possible values include:</div> <table><tr><td>Status Value</td><td>Status Description</td></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)												
Total Shares Outstanding As Of Date	Shares outstanding as of date			Date												

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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 delimited with a semi-colon(;). Dates will correlate to order of PQE Reason Codes.	Varchar(55)

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:

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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)