



# **Security Data File Specification**

Version 2.9

August 2021

# Change history

08/12/2021	Update Reason Code appendix, Datatype updates
07/02/2021	Additional 211 fields – Reason code appendix
05/24/2021	Addition of 15c-211 fields and ECN eligible field
01/15/2021	Addition of 144A/QIB Only field
04/23/2019	Addition of Expert Market tier
11/20/2017	Amendment of OTC Tier values. Remove 'OTC' from Pink tiers.
08/03/2017	Addition of UNS Quote Only Flag
12/09/2016	Updated 52 Week High and Low field order
12/01/2016	Removed duplicate Transfer Agent website column
08/13/2013	Updated field size for Transfer Agent Address and City fields
11/28/2011	Addition of 4 AM version of file
09/26/2011	Addition of Tier Abbreviation field
09/20/2011	Addition of Piggyback Qualified, Transfer Agent Email and Transfer Agent Phone Number
03/08/2011	Addition of Status field
01/07/2011	Addition of Tier ID / Corporate Name Change
04/16/2010	Tier Description amendments
03/23/2010	Data type amendments
01/30/2010	File creation time update to 9:30 PM
01/29/2010	Support email address updates
02/13/2009	Initial Version - 1.0

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# 1 Security Data File

## 1.1 Overview

The OTC Markets Group Security Data File provides key security detail and trade data for the U.S. OTC equity market. For example, the file includes security symbol/identifiers (US & home country), shares outstanding, security type, 52 week high/low, transfer agent information and ADR ratios if applicable. The file also includes important security attribute information which is unique to the OTC Marketplace. Key fields include:

- **Caveat Emptor** – An OTC Markets Group 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 Group categorizes all securities trading over-the-counter into easily identifiable tiers that inform investors whether an issuer has made public information available in a timely manner.

The Security Data file may be used in conjunction with the End-of-Day Pricing file to obtain a complete view of the trade, quote, and security data for all US OTC equity securities.

Security Data files are made available daily at ~4 AM and ~9:30 PM – on every trading day. File types and delivery methods are outlined in section 1.2 and 1.4

## 1.2 File Types

Security Data files will be made available to customers in pipe delimited format. Files will be created on every trading day at 4 AM and ~9:30 PM.

Security Data files will be created with and without the cusip field included<sup>1</sup>. Security Data file naming convention is as follows:

- 4 AM File CUSIP included: sec\_YYYYMMDD0400.txt
- 4 AM File CUSIP not included: sec\_YYYYMMDD0400 \_nocusip.txt
- 930 PM File CUSIP included: sec\_YYYYMMDD.txt
- 930 PM File CUSIP not included: sec\_YYYYMMDD \_nocusip.txt

File names use Eastern Standard Time and military formatting.

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<sup>1</sup> 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.

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

### 1.3 File Data Elements

Data Element	Description	Data Type
Security ID	OTC Markets Group unique identifier for security	Integer
Company ID	OTC Markets Group unique company identifier for security.	Integer
Trading Symbol	US markets symbol	Char(10)
CUSIP Number	S&P Unique Security Identifier	Char(9)
Security Name	Security name	Char(50)
US Trading Venue	US trading venue	Char(20)
Date	File creation date	Date
Home Market Trading Symbol	Home market (ADRs, F shares, Canadian)	Varchar(10)
Home Market Trading Venue	Home market trading venue	Varchar(50)
Security Type	Security Type (e.g. common, unit, warrant )	Varchar(75)
Security Class	Security Class	Char(1)
Caveat Emptor (Flag)	Caveat Emptor (Buyer Beware) Flag (Y/N)	Char(1)
OTC Tier	OTC Market Tier – tier details outlined in appendix	Varchar(100)
DAD/PAL Sponsor	OTCQX company sponsor	Varchar(75)
Shares Authorized	Shares authorized for respective security	Decimal (16,1)
Shares Authorized as of date	Shares authorized as of date	Date
Total Shares Outstanding	Shares outstanding for respective security	Decimal (16,1)
Total Shares Outstanding as of date	Share outstanding as of date	Date
Number of Shareholders of Record	Number of Shareholders of record for security	Integer
Number of Shareholders as of date	Number of Shareholders of record for security as of date	Date
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)
ADR Depository Bank	Depository bank for respective ADR	Varchar(75)
Transfer Agent Name	Transfer Agent Name	Varchar(75)

Transfer Agent Website	Transfer Agent website	Varchar(50)
Transfer Agent Phone	Transfer Agent Phone	Varchar(35)
Transfer Agent Email	Transfer Agent Email	Varchar(255)
Transfer Agent Address 1	Transfer Agent Address 1	Varchar(75)
Transfer Agent Address 2	Transfer Agent Address 2	Varchar(75)
Transfer Agent Address 3	Transfer Agent Address 3	Varchar(75)
Transfer Agent City	Transfer Agent City	Varchar(75)
Transfer Agent State/Province	Transfer Agent State/Province	Varchar(3)
Transfer Agent Postal Code	Transfer Agent Postal Code	Varchar(25)
Transfer Agent Country	Transfer Agent Country	Varchar(75)
52 Week High Price	52 Week High Price	Decimal(11,5)
52 Week High Date	Date of 52 Week High	Date
52 Week Low Price	52 Week Low Price	Decimal(11,5)
52 Week Low Date	Date of 52 Week Low	Date
Reg SHO Status Flag	Notes whether security is on Reg SHO list for current trading day. Reg SHO only applies to 'reporting' securities. <a href="https://www.otcmarkets.com/market-activity/reg-sho-data">https://www.otcmarkets.com/market-activity/reg-sho-data</a>	Char(1)
Rule 3210 Status Flag	Notes whether security is on Rule 3210 list for current trading day. Rule 3210 applies to all non-reporting OTC securities. <a href="https://www.otcmarkets.com/market-activity/reg-sho-data">https://www.otcmarkets.com/market-activity/reg-sho-data</a> A security cannot have a Yes value for both Reg SHO and Rule 3210 due to the fact that one list is for reporting companies and the other is not.	Char(1)
Short Interest shares	Number of shares short for security	Int8 <sup>2</sup>
Short Interest as of date	Effective date for shares short value	Date

<sup>2</sup> The Int8 data type may not be necessary depending on the amount of volume. Integer may be a better use of space/resources until volume numbers exceed the Integer parameters.

Number of Market Makers	<p>Number of Market Makers for respective security. Number includes all Market Makers that were quoting the security (priced and unpriced) throughout the trading day. Quotes from OTC Bulletin Board will be considered.</p> <p>Note: 4 AM file will not have a value for Number of Market Makers as that data depends on data from the upcoming trading day.</p>	Integer																								
Bona Fide Continuous (BFC)	<p>Number of Market Makers with two-sided priced quotes at the close for security. Quotes from OTC Bulletin Board will be considered.</p> <p>Note: 4 AM file will not have a value for Bona Fide Continuous Market Makers as that data depends on data from the upcoming trading day.</p>	Integer																								
OTC Tier ID	<p>OTC Tier identifier</p> <table border="1" data-bbox="578 730 1243 1304"> <thead> <tr> <th>Tier ID</th> <th>Tier Name</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>OTCQX International Premier</td> </tr> <tr> <td>1</td> <td>OTCQX U.S. Premier</td> </tr> <tr> <td>6</td> <td>OTCQX International</td> </tr> <tr> <td>2</td> <td>OTCQX U.S.</td> </tr> <tr> <td>10</td> <td>OTCQB</td> </tr> <tr> <td>20</td> <td>Pink Current</td> </tr> <tr> <td>21</td> <td>Pink Limited</td> </tr> <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> </tbody> </table>	Tier ID	Tier 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	22	Pink No Information	11	FINRA BB Only	30	Grey Market	40	Expert Market	Integer
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Proprietary Quote Eligible	Security is eligible for proprietary quoting under SEC Rule 15c2-11.	Varchar(1)																								
OTC Tier Abbreviation	The tier abbreviation field supplies the 2 letter abbreviation associated with respective security's OTC Tier. The 2 letter abbreviation is the approved	Varchar(2)																								

	<p>abbreviation as per <a href="#">OTC Markets' Display Requirements.</a></p> <table border="1"> <thead> <tr> <th>Tier Name</th> <th>Tier ID</th> <th>Tier Abbreviation</th> </tr> </thead> <tbody> <tr> <td>OTCQX International Premier</td> <td>5</td> <td>QX</td> </tr> <tr> <td>OTCQX U.S. Premier</td> <td>1</td> <td>QX</td> </tr> <tr> <td>OTCQX International</td> <td>6</td> <td>QX</td> </tr> <tr> <td>OTCQX U.S.</td> <td>2</td> <td>QX</td> </tr> <tr> <td>OTCQB</td> <td>10</td> <td>QB</td> </tr> <tr> <td>Pink Current</td> <td>20</td> <td>PC</td> </tr> <tr> <td>Pink Limited</td> <td>21</td> <td>PL</td> </tr> <tr> <td>Pink No Information</td> <td>22</td> <td>PN</td> </tr> <tr> <td>FINRA BB Only</td> <td>11</td> <td>BB</td> </tr> <tr> <td>Grey Market</td> <td>30</td> <td>GM</td> </tr> <tr> <td>Expert Market</td> <td>40</td> <td>EM</td> </tr> </tbody> </table>	Tier Name	Tier ID	Tier Abbreviation	OTCQX International Premier	5	QX	OTCQX U.S. Premier	1	QX	OTCQX International	6	QX	OTCQX U.S.	2	QX	OTCQB	10	QB	Pink Current	20	PC	Pink Limited	21	PL	Pink No Information	22	PN	FINRA BB Only	11	BB	Grey Market	30	GM	Expert Market	40	EM	
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UNS Quote Only	Notes whether the security may only be quoted Unsolicited on OTC Link ATS (Y/N Flag)	Varchar(1)																																				
144A QIB Only	Indicates that the security may only be purchased or sold by Qualified Institutional Buyers (QIBs) or agents acting on behalf of QIBs.	Varchar(1)																																				
OTC Link ECN Eligible Flag	Notes whether the security is eligible for OTC Link ECN (Y/N)	Varchar(1)																																				
Disclosure Status	<p>Issuer Disclosure Status – Possible values include:</p> <ul style="list-style-type: none"> <li>• Current Information</li> <li>• Limited Information</li> <li>• No Information</li> </ul>	Varchar(50)																																				
Proprietary Quote Eligible Entry Reason Code(s)	<p>Notes 15c-211 compliance basis for Proprietary Quote Eligibility. Multiple reason codes (integer(s)) are possible and will be delimited with a semi-colon (;).</p> <p>See appendix for Reason Code mapping and descriptions and applicable rule sections.</p>	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)																																				
Grace Period Anticipated End Date	Notes anticipated final date of Grace Period for Rule 15c-211. If no change to 15c-211 compliance status prior to end date the security will lose Proprietary Quote Eligible status on following trading day.	Date																																				



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.	Integer

## 1.4 File Delivery

Security Data Files will be made available to customers via FTP. Files will be placed in a directory entitled 'security' at 4 AM and ~9:30 PM on trading days.

Files will be kept on the ftp server for one month. For historical Security Data files, please email [techsupport@otcmarkets.com](mailto:techsupport@otcmarkets.com) and note 'Security 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 Security Data file data or delivery, please contact us using the below information:

Data Delivery – Technical Questions

Email: [techsupport@otcmarkets.com](mailto:techsupport@otcmarkets.com)

Telephone: 212.896.4411

Data Quality – Historical Data

Email: [marketdata@otcmarkets.com](mailto:marketdata@otcmarkets.com) – please note 'Security Information File' 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)