OTC Unsolicited Quote File Specification

Version 1.1

September 2016

Change history

9/28/2016	Amendments to document links
12/01/2011	Initial Version - 1.0

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1 OTC Unsolicited Quote File

1.1 Overview

The OTC Markets Group OTC Unsolicited Quote file provides a daily snapshot of the unsolicited quote status and piggyback status for OTC securities. The unsolicited quote flag notes whether all the quotes associated with the respective security are unsolicited. If all quotes are unsolicited then the flag is set to true otherwise it is set to false. The piggyback status notes whether the security may be quoted under the 'piggyback exemption.' This exemption allows market participants to quote the security without filing a form 211 with FINRA.

Important Note: The OTC Unsolicited Quote is at snapshot of the unsolicited quote status as of ~ 7:15 AM. It is possible for the unsolicited quote status to change throughout the trading day. Real-time unsolicited quote status is available in our real-time market data feed: http://www.otcmarkets.com/services/market-data/realtime-data/overview.

OTC Unsolicited Quote files are made available daily at ~7:15 AM – on every trading day. File types and delivery methods are outlined in section 1.2 and 1.4.

1.2 File Types

OTC Unsolicited Quote files will be made available to customers in pipe delimited format. Files will be created on every trading day at 7:15 AM.

OTC Unsolicited Quote files will be created with the cusip field included[1]. The OTC Unsolicited Quote file naming convention is as follows:

- otcm_unsolicited_YYYYMMDD.txt

The first row of the pipe delimited file includes column labels. File size is approximately 1MB.

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[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.

1.3 File Data Elements

Data Element	Description	Data Type
Security ID	OTC Markets unique security identifier	Char(6)
CUSIP	CUSIP identifier for security. Requires a license from CUSIP (S&P)	Char(9)
Symbol	Security Symbol	Char(10)
Venue	Quotation venue(s) for OTC security. Grey Market securities are not quoted in any quotation system. OTC Link/FINRA BB means that the security is quoted on both the OTC Link and OTC Bulletin Board systems.	Char(14)
File Creation Date	Creation date for file	Date
OTC Market Tier	OTC Market Tier. For more information on OTC Market Tiers see: http://www.otcmarkets.com/otc-101/otc-market-tiers	Char(20)
Security Name	Security Name	Char(25)
Piggyback Qualified	Y = Security qualifies for piggyback exemption N = Security does not qualify for exemption For more information on the piggyback exemption, see: http://www.otcmarkets.com/traders-brokers/faq#traderfaq4	Char(1)
Unsolicited Flag	Y = All quotes for security are unsolicited N = All quotes are NOT unsolicited For more information on unsolicited quotes, see: http://www.otcmarkets.com/traders-brokers/faq#traderfaq12	Char(1)

1.4 File Delivery

OTC Unsolicited Quote files will be made available to customers via FTP. Files will be placed in a directory entitled 'unsolicited_quote' at ~7:15 AM on trading days.

Files will be kept on the ftp server for 1 month. For historical OTC Unsolicited Quote files, please email techsupport@otcmarkets.com and note 'OTC Unsolicited Quote' 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 OTC Unsolicited Quote 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 'OTC Unsolicited Quote' in the subject line