

Over-the-Counter Equities Daily List User Guide

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The Over the Counter Equities Daily List

The Over-the-Counter Equities Daily list gives visitors valuable information regarding OTC securities to include additions, deletions, symbol changes, name changes and updates to security attributes. The daily list also indicates if previously announced changes have been updated or cancelled. The daily list is available intraday beginning at approximately 08:00am EST. In addition to current daily list data, users are able to pull daily list information from November 17, 2014 to present.

OTCE Events at a Glance

The OTCE Events at a Glance menu gives a cumulative numerical summary of all of the additions, deletions, symbol and/or name changes, security attribute changes, bankruptcies, dividends, splits and distributions that have been announced on the Daily List during the current trading day. It also provides a count of the number of halts announced on the current day. The Events at a Glance table shows statistics for all of the OTC including the market categories of Other OTC (OTC securities that are not quoted on the OTCBB) and OTCBB.

Daily List Event Category	Definition
Additions	The number of OTCE securities on the current day's Daily List that were or will be added to the OTCE Security Master on the effective date
Deletions	The number of securities on the current day's Daily List that were or will be removed from OTCE on the effective date
Symbol/Name Changes	The number of securities where a symbol or issuer name has been or will be updated on the effective date, as announced on the current daily list
Security Attribute Changes	The number of securities for which one or more attributes has been or will be updated, as announced on the daily list. Security attributes included in this section include changes to the financial status indicator, OATS reportable flag, regulatory transaction fee flag, unit of trade or market category.
Bankruptcy	The number of OTCE securities for which an event is being announced and the Financial Status Indicator on the security is J (Reporting Delinquent and Bankrupt), P (Non Reporting Bankrupt – Issuer has filed for bankruptcy), or Q (Reporting Bankrupt – Issuer has filed for bankruptcy) – and the number of OTCE securities for which the Financial Status Indicator of J, P or Q is being removed on the effective date
Dividends/Distributions/Splits	The number of dividends, distributions and/or splits announced via the current daily list.
Trading Halts	The number of OTCE securities that were halted by FINRA on the current trade date or remain halted on the current trade date.

Market Statistics

The Market Statistics box provides easy access to FINRA's Market Data information (<http://finra-markets.morningstar.com/MarketData/EquityOptions/default.jsp>) where users can view market activity for over-the-counter Equities in addition to listed equities securities. Users can access daily statistics for the current month as well as the previous months' statistics for ORF.

From the Over-the-Counter Equities homepage, you can use the left hand navigation to see the details for each of the Daily List announcements captured in the OTC Events At-a-Glance table. You can click "Daily List" to get a list of all of the events announced on a specified date, or click one of the sub-headers to see announcements for a particular type of event. Each type of event has a set of fields that display automatically, identified below. You can also click the Details icon to the right of any event to get more information.

Additions

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The date and time the security is effective on the OTC Equity Security Master
Symbol	The trading symbol of the security being added
Issue Name	The name of the issue
Market	Indicates whether this is an OTCBB or Other OTC security
Oats Reportable	Indicates if the security is OATS reportable
Unit Of Trade	The round lot size of the security
Details	Click on this field for additional information

Deletions

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The date and time the security is inactive
Symbol	The trading symbol of the security being removed
Issue Name	The name of the issue
Market	Indicates whether this is an OTCBB or Other OTC security
Change reason	Provides a brief description of the reason the security is being deleted
Details	Click on this field for additional information

Symbol/Name changes

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The date and time the change becomes effective
Symbol	The trading symbol of the security prior to the effective date of the symbol/name change
New Symbol	The trading symbol of the security on and after the effective date of the symbol/name change
Issue Name	The name of the security prior to the effective date of the symbol/name

	change
New Issue Name	The name of the security on and after the effective date of the symbol/name change
Market	Indicates whether this change is for an OTCBB or Other OTC security
Details	Click on this field for additional information

Security Attribute Changes

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The date and time the change becomes effective
Symbol	The symbol associated with the security on the effective date of the change
Financial Status	The financial status of the security on the effective date of the change
OATS Reportable	Indicates if the security is OATS reportable on the effective date of the change.
Reg Fee	Indicates the reg fee flag status on the effective date of the change
Unit of Trade	Indicates the unit of trade on the effective date of the change
Change Reason	Indicates what item is being updated.
Details	Click this field for additional information

Bankruptcy

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The date and time the change becomes effective
Symbol	The trading symbol of the security prior to the effective date of the change
New Symbol	The trading symbol of the security on and after the effective date of the change
Financial Status	The financial status indicator of the security prior to the effective date of the change
New Financial Status	The financial status of the security on and after the effective date of the change
Issue Name	The current name of the issue
Market	Indicates whether the change is for an OTCBB or Other OTC security
Details	Click on this field for additional information

Dividends/Distributions/Splits

Field Name	Definition
Daily List Date	The date and time the item was published to the daily list
Eff/Ex-Date	The ex-date of the dividend or the effective date of the split
Subject to Corporate Action	A CD in this field indicates that the security is currently subject to a corporate action and/or is a cash and/or stock dividend with a distribution of greater than or equal to 25% of the value of the security. Please note that this flag will be removed from the security 19 business days after the effective date of the dividend, distribution or split. Users should reference the Eff/Ex-Date field for the actual Eff/Ex-Date if applicable.

Symbol	The trading symbol of the security for which the dividend or split is being announced. Please note: if the announcement is for a split and the symbol is changing as part of that event, this will be the symbol prior to the effective date of the split.
Market	Indicates whether the change is for an OTCBB or Other OTC security
Record Date	The record date of the dividend or split
Payment Date	The payment date of the dividend or split
Issue Name	The name of the issue for which the dividend or split is being announced. Please note: if the announcement is for a split and the name is changing as part of that event, this will be the name of the issue prior to the effective date of the split.
ADR/GDR	Indicates whether the security for which the dividend, split or distribution is being announced is an American Depositary Receipt or a Global Depositary Receipt
Details	Click on this field for additional information

Details Screen

The details screen provides viewers additional information regarding the specific addition, deletion, change, bankruptcy or dividend. Please note only those fields relevant to the change or security identification are available in this menu. Also, to facilitate a clear understanding of the change FINRA offers a current value and previous value field. The current value shows the security information as of the effective date of the change or addition. The previous value field shows the value prior to the effective date of the change.

Field Name	Current Value	Previous Value	Event Detail Screen where Field is Featured
Daily List Date	The date the announcement was published		All
Event Type	Describes the type of change		All
Effective/Ex-Date (Eff/Ex) Date	The effective date of the change or the Ex-Date of the dividend		All
Issue Type	The type of security	The previous issue type for the security	Additions
Symbol	The symbol of the new addition or the current symbol of the change	The symbol prior to the effective date of the change	Additions Deletions Symbol/Name Change Security Attribute Changes
Issue Name	The current name of the issue	This is the issue name prior to the effective date of the change	All
Class	The class of the security	The class of the security prior to the change	All
ADR Ratio	The ratio of ADR shares to shares of the underlying company for an ADR security	Indicates the previous ADR ratio for the security	Additions Dividends/Distributions/Splits (ADR securities only)
Maturity Date	The maturity date of the security (if applicable)	The previous maturity date of the security (if applicable)	Additions Symbol/Name Change Security Attribute Changes
Market Category	Indicates whether the security is Other OTC or	The market category of the security prior	All

	OTCBB	to the change	
Offering Type	Indicates if the security is 144a, Reg S or freely tradable.		All
OATS Reportable (Rptbl) Flag	Indicates if trades in the security are reportable to OATS		Additions
Unit of Trade	Indicates the round lot size of the security	Unit of trade of the security prior to the change	Additions Symbol/Name Change
Reg Fee Flag	Indicates if there is a regulatory transaction fee for trades executed in the security	The regulatory transaction fee flag prior to the change	Additions Symbol/Name Change
Daily List Comment	Displays the comments (if available) included on the daily list for the entry		All
Financial Status Indicator	The current financial status of a security; values are: E = Delinquent Q = Bankrupt J = Delinquent and Bankrupt H = Liquidation and Delinquent L = Liquidation M = Bankruptcy Reorganization (Emerged)	The previous financial status of the security.	Bankruptcy Dividends/Distributions/Splits
Subject to Corporate Actions	Indicates whether the security is subject to a corporate action without a distribution (CA) or a corporate action with a distribution (CD) of a certain %, as described below. A CA in this field indicates the CUSIP or name is changing on the security and no dividend/distribution is being simultaneously announced. A CD in this field indicates that the security is currently subject to a corporate action	The previous subject to corporate action flag prior to the change	Bankruptcy Dividends/Distributions/Splits Symbol/Name Changes

	and/or is a cash and/or stock dividend with a distribution of greater than or equal to 25% of the value of the security. Please note that this flag will be removed from the security 19 business days after the effective date of the dividend, distribution or split. Users should reference the Eff/Ex-Date field for the actual Eff/Ex-Date if applicable.		
Forward Split Ratio	New and old share amounts resulting from a forward stock split		Bankruptcy Dividends/Distributions/Splits
Reverse Split Ratio	New and old share amounts resulting from a reverse stock split		Bankruptcy Dividends/Distributions/Splits
Dividend Type	The type of dividend that is being announced.		Bankruptcy Dividends/Distributions/Splits
Percentage	The amount of the distribution expressed as a percentage per share		Bankruptcy Dividends/Distributions/Splits
Cash Amount	The amount of the distribution expressed as cash amount per share		Bankruptcy Dividends/Distributions/Splits
Declaration Date	Date the issuer declared/approved the corporate action/dividend		Bankruptcy Dividends/Distributions/Splits
Record Date	The date on which a company's records are closed to determine which stockholders are to be sent dividends, proxies, rights, etc		Bankruptcy Dividends/Distributions/Splits
Payment Date	The date the dividend is sent to the record owner of the security		Bankruptcy Dividends/Distributions/Splits
Payment Method	The method of receiving a new distribution; indicates whether holders will have to surrender current certificates		Bankruptcy Dividends/Distributions/Splits

	in exchange for new certificates or holders will receive new certificates without taking action		
Qualified Dividend Code	Indicates whether the distribution meets the criteria for lower capital gains tax		Dividends/Distributions/Splits
ADR Dividend Fee	Fee assessed by depository bank for processing dividend		Dividends/Distributions/Splits
ADR Tax Relief Fee	Fee assessed by depository bank for tax purposes		Dividends/Distributions/Splits
ADR Gross Rate	Gross dividend cash amount		Dividends/Distributions/Splits
ADR Net Rate	Net dividend cash amount		Dividends/Distributions/Splits
ADR Withholdings Tax	Set percent tax assessed on distribution		Dividends/Distributions/Splits
ADR Issuance Fee	Fee assessed by depository bank for issuing additional ADRs to current holders		Dividends/Distributions/Splits

Trading Halts

Users can view a list of current and all trading halts in this screen. The halts list returns results from as early as 5/22/2014.

Field Name	Definition
Halt Date/Time	This is the date and time of the trading halt
Symbol	This is the symbol of the security that is being halted or resumed
Issue Name	This is the Issue name of the security that is being halted
Halt Code	This is the reason code for the halt. D1 – Security Deleted H10 – SEC Trading Suspension H11 – Regulatory Concern T3 – Resumption U1 – Foreign Market/Regulatory U2 - Component/Derivative of an exchange listed security U3 – Extraordinary Event
Mkt Ctr Origin	Indicates if the halt is for an OTCBB or OTC Other security
Quote Resume/Delete	If applicable, indicates the time that quotes will resume on the security.
Trade Resume/Delete	Indicates the date and time trades will resume on the security.
SEC halt	Indicates if the security halt was related to an SEC action.

Search Options

View – allows users to search all halts, or limit their search to current halts. The Current Halts view includes securities that were either halted today, resumed today, or halted on a prior day and remain in a halt state today.

Issue Search – allows users to search for halt events by the specific symbol, issuer name, market center, or halt code. The search also features auto complete which allows users to choose their specific issuer name or symbol from the dropdown.

Refine your results

Reset – allows users to clear all results. Selecting the reset will return the user to the all halts option which will show all halts from the date range of 5/22/2014 to the present date.

Date Range – allows users to search by a specific date range for halts. Please note: the date range search is not available when viewing Only Current halts. Click on the calendar to choose a day or enter a specific date in MM/DD/YYYY format. Users are also able to search by the date the security was halted or the date the security was resumed or deleted.

Markets – allows users to limit their search to just OTCBB or Other OTC results

Halt Code -- allows users to limit their results to certain halt or resume codes. The available codes are:

Code	Definition
D1	Security deleted from OTCE
H10	SEC Trading Suspension
T3	Resumption
U1	Foreign Market Regulatory Halt
U2	Component/Derivative of Exchange Listed Issue
U3	Extraordinary Events

General Navigation

The Daily List is a list of new issues, deleted issues, symbol and name changes, and other corporate actions for OTCBB and Other-OTC securities. Users are able to search the daily list by issue name, trading symbol, daily list date, market, and event type. Users can search by each characteristic individually or by multiple characteristics for a more refined result.

Filter results by Issue Name, Symbol or Date

Daily List

The Daily List is a list of new issues, deleted issues, symbol and name changes, and other corporate actions for OTCBB and other-OTC securities.

Daily List ⓘ

Issue

Daily List Date

Refine Your Results [Reset](#)

Total Results: 69

Market OTCBB Other OTC

Events Additions Deletions Symbol/Name Changes Financial Status Indicator Change OATS Reportable Flag Change Regulatory Transaction Fee Flag Change Unit of Trades Change Market Category Change Bankruptcy Dividends/Distributions/Splits (Non-ADR) Dividends/Distributions/Splits (ADR only)

Issue	Daily List Date	Event Type	Eff/Ex Date	Symbol	Issue Name	Market	Details
	03/04/2015 14:01:44	Reverse Split/Cusip Change	03/05/2015 00:00:00	OMVS	On The Move Systems Corp. Common	Other OTC	
	03/04/2015 13:48:50	CUSIP Change	03/05/2015 00:00:00	CUUCF	Computacenter Plc Ordinary Shares	Other OTC	
	03/04/2015 13:08:14	Cash Dividend Regular	03/13/2015 00:00:00	PFOH	Perpetual Federal Savings Bank (Irishana, OH) Common Stock	Other OTC	
	03/04/2015 12:38:24	Cash Dividend Regular	03/06/2015 00:00:00	BGLEI	Baltimore Gas & Electric Company 7.125% Preferred Stock, 1993 Series	Other OTC	
	03/04/2015 12:34:10	Cash Dividend Regular	03/06/2015 00:00:00	BGLEH	Baltimore Gas & Electric Company 6.97% Preferred Stock, 1993 Series	Other OTC	
	03/04/2015 12:33:58	Cash Dividend Regular		GDPAC	Goodrich Petroleum Corporation 144A Perpetual Preferred Convertible Series B	Other OTC	
	03/04/2015 12:31:35	Cash Dividend Regular	03/06/2015 00:00:00	BGLEN	Baltimore Gas & Electric Company 6.70% Preferred Stock, 1993 Series	Other OTC	
	03/04/2015 12:27:26	Cash Dividend Regular	03/06/2015 00:00:00	BGLEP	Baltimore Gas & Electric Company 6.99% Preferred Stock, 1995 Series	Other OTC	
	03/04/2015 12:26:45	Cash Dividend Regular		GDPAN	Goodrich Petroleum Corporation Perp Pfd Conv Ser B	Other OTC	
	03/04/2015 12:22:35	Cash Dividend Regular	03/12/2015 00:00:00	AUTLY	Austal Limited Sponsored ADR (Australia)	Other OTC	
	03/04/2015 12:19:57	Cash Dividend Regular	03/24/2015 00:00:00	CWLDY	Crown Resorts Ltd. Un-sponsored ADR (Australia)	Other OTC	
	03/04/2015				Salko Enson Com Swaz Un-sponsored	Other	

Click here to view more details about the change.

Users can also filter results by the Market or Specific Event

Search Options

Issue – allows users to search for a daily list event by the specific symbol or issuer name. The search also features auto-complete which allows users to choose their specific issuer name or symbol from the dropdown.

Daily List Date – allows users to search for items on a specific daily list date. This defaults to the current date.

Refine your results

Reset – allows users to clear all results. Hitting reset will return the user to the complete daily list for the current day with no filters.

Markets – allows users to limit their search to just OTCBB or Other OTC results

Event – allows users to further filter results. Users are able to search by the specific event type to include additions, deletions, changes, dividends, bankruptcies or a various security attribute changes, and can select more than one event type at a time. Please note that the event search is only available when searching from the entire daily list or by security attribute change menus.