

Automation of Download

The OTC Threshold List file download process may be automated by firms using the following instructions **effective beginning on November 5, 2018**.

NOTE: Automation instructions that may have been in use prior to November 5, 2018 will no longer be supported. In addition, column names were changed, and the order in which the columns are displayed in the download files was changed. XML column names will not change. As of January 1, 2019, XML API output will not be available.

Machine-download Instructions:

Firms may use their preferred method to access the data programmatically. Curl and Postman are used purely for purposes of illustrations in this document, FINRA neither limits nor guides firms on how to access the data programmatically.

Using CURL to Retrieve Filtered Threshold List Data

POST Query

The query lists an example of a date filter for the Threshold List data, but any dataset column can be filtered. Data is returned in either CSV or JSON format. Outputs of CURL can be written to a file, and these CURL commands can be executed sequentially as part of a batch process if so desired.

CURL command to request JSON output

The following command enables one to filter data for a day. It requests JSON output.

```
curl -L
-d "{ \"compareFilters\": [ { \"compareType\": \"EQUAL\", \"fieldName\": \" tradeDate\",
  \"fieldValue\": \" 2018-07-02\" } ] },\"limit\":5 } "
-H "Content-Type: application/json"
-H "Accept: application/json"
-X POST https://api.finra.org/data/group/otcMarket/name/ThresholdList
```

JSON sample output

```
[
  {
    "issueName": "Airborne Wireless Network Common Stock",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "ABWN",
    "marketClassCode": "OTCBB",
    "marketClassDescription": "OTCBB",
    "regShoThresholdFlag": "Y",
    "rule4320Flag": "N"
  },
  {
    "issueName": "AURORA CANNABIS INC Ordinary Shares",
    "thresholdListFlag": "NR",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "ACBFF",
    "marketClassCode": "OTC",
    "marketClassDescription": "Other OTC",
```

```

    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "Ambow Education Holding Ltd. American Depository Shares, each representing two Class
    ordinary shar",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "AMBO",
    "marketClassCode": "AMEX",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "APHRIA INC Ordinary Shares (Canada)",
    "thresholdListFlag": "NR",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "APHQF",
    "marketClassCode": "OTC",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "Amplify Advanced Battery Metals and Materials ETF",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "BATT",
    "marketClassCode": "ARCA",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  }
]

```

CURL command to request CSV output

The following command enables one to filter Tier 1 data. It requests default (CSV) output.

```

curl -L
-d "{ \"compareFilters\": [ { \"compareType\": \"EQUAL\", \"fieldName\": \" tradeDate\",
  \"fieldValue\": \" 2018-07-02\" } ] ,\"limit\":5 } "
-H "Content-Type: application/json"
-X POST https://api.finra.org/data/group/otcMarket/name/ThresholdList

```

CSV sample output

```

"tradeDate","issueSymbolIdentifier","issueName","marketClassCode","marketClassDescription","thresholdListF
lag","regShoThresholdFlag","rule4320Flag"
"2018-07-02","ABWN","Airborne Wireless Network Common Stock","OTCBB","OTCBB","R","Y","N"
"2018-07-02","ACBFF","AURORA CANNABIS INC Ordinary Shares","OTC","Other OTC","NR","N","Y"
"2018-07-02","APHQF","APHRIA INC Ordinary Shares (Canada)","OTC","Other OTC","NR","N","Y"
"2018-07-02","BNTGY","Brenntag AG, Muehleim/Ruhr Un-sponsored American Depository Receipt
(Germany)","OTC","Other OTC","NR","N","Y"
"2018-07-02","CBWTF","Auxly Cannabis Group Inc. Ordinary Shares","OTC","Other OTC","NR","N","Y"

```

Using Postman IDE to Retrieve Filtered Threshold List Data

An IDE such as Postman can be used to retrieve data. The Content-Type and Accept headers should be set to either JSON or text in the IDE. The following payload must be submitted to <https://api.finra.org/data/group/otcMarket/name/ThresholdList>.

```

{ "compareFilters": [ { "compareType": "EQUAL", "fieldName": "tradeDate", "fieldValue": "2018-07-02" } ]
, "limit":5 }

```

Similarly, one may submit a payload to the monthly or the block summary URI.

JSON sample output

```
[
  {
    "issueName": "Airborne Wireless Network Common Stock",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "ABWN",
    "marketClassCode": "OTCBB",
    "marketClassDescription": "OTCBB",
    "regShoThresholdFlag": "Y",
    "rule4320Flag": "N"
  },
  {
    "issueName": "AURORA CANNABIS INC Ordinary Shares",
    "thresholdListFlag": "NR",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "ACBFF",
    "marketClassCode": "OTC",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "Ambow Education Holding Ltd. American Depository Shares, each representing two Class A ordinary shar",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "AMBO",
    "marketClassCode": "AMEX",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "APHRIA INC Ordinary Shares (Canada)",
    "thresholdListFlag": "NR",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "APHQF",
    "marketClassCode": "OTC",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  },
  {
    "issueName": "Amplify Advanced Battery Metals and Materials ETF",
    "thresholdListFlag": "R",
    "tradeDate": "2018-07-02",
    "issueSymbolIdentifier": "BATT",
    "marketClassCode": "ARCA",
    "marketClassDescription": "Other OTC",
    "regShoThresholdFlag": "N",
    "rule4320Flag": "Y"
  }
]
```

CSV sample output

```
"tradeDate","issueSymbolIdentifier","issueName","marketClassCode","marketClassDescription","thresholdListFlag","regShoThresholdFlag","rule4320Flag"
"2018-07-02","ABWN","Airborne Wireless Network Common Stock","OTCBB","OTCBB","R","Y","N"
"2018-07-02","ACBFF","AURORA CANNABIS INC Ordinary Shares","OTC","Other OTC","NR","N","Y"
"2018-07-02","APHQF","APHRIA INC Ordinary Shares (Canada)","OTC","Other OTC","NR","N","Y"
"2018-07-02","BNTGY","Brenntag AG, Muehleim/Ruhr Un-sponsored American Depository Receipt (Germany)","OTC","Other OTC","NR","N","Y"
"2018-07-02","CBWTF","Auxly Cannabis Group Inc. Ordinary Shares","OTC","Other OTC","NR","N","Y"
```

XML

The following endpoint returns XML data for a day.

<https://api.finra.org/api/OTCThreshold/getOTCThresholdListByDate?date=02-JUL-18>

XML data format example

```
<ArrayOfOTCThresholdAPIModel>
  <OTCThresholdAPIModel>
    <IssueName>AURORA CANNABIS INC Ordinary Shares</IssueName>
    <Market>Other OTC</Market>
    <RegShoThresholdFlag>N</RegShoThresholdFlag>
    <Rule4320>Y</Rule4320>
    <Symbol>ACBFF</Symbol>
    <TradeDate>07/02/2018</TradeDate>
  </OTCThresholdAPIModel>
</ArrayOfOTCThresholdAPIModel>
```

Data Dictionary

name	description	type
tradeDate	Trade Date	Date
issueSymbolID	Symbol identifier	String
issueName	Issue Name	String
marketClassCode	Indicates whether the issue is OTC Bulletin Board or non-Bulletin Board (OTCBB, OTC)	String
marketClassDescription	Indicates whether the issue is OTC Bulletin Board or non-Bulletin Board (OTCBB, Other OTC). <i>This column does not contain data for trade dates before Nov 2018</i>	String
thresholdListFlag	Indicates Reported or Non-Reported R (Reported) = RegShoFlag NR (Non-Reported) = Rule4320 Flag	String
regSHOThresholdFlag	Subject to the requirements of SEC Rule 203 of Regulation SHO where there is an aggregate fail to deliver position for five consecutive settlement days at a registered clearing agency totaling 10,000 shares or more and equal to at least 0.5% of the issuer's total shares outstanding. When this occurs, the issue becomes subject to mandatory close-out requirements outlined in the SEC's Regulation SHO. The allowed values are: Y = Yes, if the issue is subject to mandatory close-out requirements of Regulation SHO N = No, if the issue is NOT subject to mandatory close-out requirements of Regulation SHO <i>This column does not contain data for trade dates before Nov 2018</i>	String

name	description	type
rule4320Flag	<p>Subject to the requirements of FINRA Rule 4320 where for five consecutive settlement days, there are aggregate fails to deliver at a registered clearing agency of 10,000 shares or more and the reported last sale during normal market hours would value the aggregate fail to deliver position at \$50,000 or more. When this occurs, the issue becomes subject to mandatory close-out requirements outlined in NASD Rule 3210.</p> <p>The allowed values are: Y = Yes, if the issue is subject to mandatory close-out requirements of Rule 4320. N = No, if the issue is NOT subject to mandatory close-out requirements of Rule 4320.</p> <p><i>This column does not contain data for trade dates before Nov 2018</i></p>	String