

Compliance Flags

OTC Markets Group has developed a suite of market “designations” and informational “flags” displayed below, to help identify opportunity and quantify risk. These visual data points are made publicly-available for free on the company’s quote page and distributed to broker-dealers and compliance departments as part of our Compliance Data feeds.

Penny Stock Exempt		This security is exempt from the definition of a Penny Stock under SEC Rule 240.3a51-1.
Verified Profile		The Company Profile data was verified by the issuer within the previous 6 months.
Transfer Agent Verified		The company’s share data, including authorized, outstanding, restricted and unrestricted shares, displayed on the company’s “Security Details” page, has been verified by its transfer agent.
Hot Sectors		The company is engaged in an emerging industry (Cannabis, Cryptocurrency/Blockchain).
Shell Risk		The company displays characteristics common to Shell Companies.
Shell		The company has self-reported as a Shell Company, as defined by Securities Act Rule 405 and Exchange Act Rule 12b-2, in its public filings.
Promotion Flag		The security is currently undergoing promotional activity.
Bankruptcy		The company is currently in bankruptcy or reorganization proceedings.
Control Dispute		Multiple parties are engaged in a dispute over control of the company.
Prohibited Service Provider		The company is affiliated or associated with an individual or firm on our “Prohibited Service Providers” list, which includes prohibited attorneys, accountants/auditors and other service providers.
Unable to Contact		OTC Markets Group is unable to verify contact information for the company.
Delinquent SEC Reporting		Company is not current in its reporting obligations under Section 13 or 15(d) of the Exchange Act.
Pink Limited Information		The company meets the minimum requirements for public quoting under Rule 15c2-11, but has made limited disclosure and/or financial information publicly available.
Dark or Defunct		The company is not able to provide disclosure to the public markets.
Caveat Emptor		Buyer Beware. 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.
Expert Market		Market serves broker-dealer pricing and investor best execution needs. Quotations in Expert Market securities are restricted from public view.