

ATTACHMENT

RULE 6432.02 – DAILY SECURITY FILE

The below details the technical requirements for data formatting and delivery with respect to the daily security file required pursuant to Rule 6432.02, which is due to FINRA by 6:30:00 p.m. ET on the following business day after a Qualified IDQS makes a publicly available determination pursuant to SEC Rule 15c2-11 regarding an initial review or the availability of an SEC Rule 15c2-11 exception.

Daily File Data Delivery

Member Qualified IDQs with a daily file reporting obligation pursuant to Rule 6432 must report the required daily file information to FINRA via fileX, which is a centralized, secure file transfer platform where firms can send, track and receive files. fileX offers three file transfer mechanisms—SFTP, HTTPS REST, and AWS S3 Direct. Firms must establish network connectivity and use credentials provided by FINRA with the appropriate permissions granted by the FINRA Entitlement Group to connect to fileX. Please contact the FINRA Gateway Call Center at (301) 869-6699 and request an FTP account for access. For more information on entitlement, please see FINRA's [Entitlement Program](#) web page.

Daily File Data Specifications

<u>Data Element</u>	<u>Description</u>	<u>Field Type</u>	<u>Data Type</u>
Date	Quotation Date	Required	Date
Security Symbol	U.S. Trading Symbol	Required	Characters (10)
Issuer Name	Issuer Name	Required	Variable Character (75)
CUSIP	Security CUSIP	Optional	Variable Character (25)
Quote Eligible Reason Code(s)	Identifies 15c2-11 compliance basis for quote eligibility (See Rule 6432.02 (c), (d), (f), except unsolicited quotations). Multiple reason codes are possible and should be delimited with a semi-colon (;).	Conditional	Integers (75) See Daily File Data Index
Shell Company	Indicates issuer is a shell company pursuant to 15c2-11 and as defined under paragraph (e)(9).	Required	Character (1) (Y)es/(N)o

Remaining Shell Status Days	Time remaining in the 18-month piggyback eligibility period for shell companies pursuant to Rule 15c2-11(f)(3)(i)(B)(2).	Conditional	Integer (3)
Rule 15c2-11(f)(2) Unsolicited Quotes Only	Unsolicited Quoting Only	Conditional	Character (1) (Y)es/(N)o

Daily File Data Index

<u>Reason Code</u>	<u>Reason Description</u>	<u>Rule Section</u>
1	Form 211 Processed by FINRA	(a)(1)
2	Q-IDQS Initial Information Review - SEC Registration Statement Filed Within 90 Days	(a)(2), (b)(1)
3	Q-IDQS Initial Information Review - Reg A Offering Qualified Within 40 Days	(a)(2), (b)(2)
4	Q-IDQS Initial Information Review - SEC Reporting	(a)(2), (b)(3)
5	Q-IDQS Initial Information Review - 12g3-2(b) (Foreign Private Issuer)	(a)(2), (b)(4)
6	Q-IDQS - Initial Information Review - Catch-All	(a)(2), (b)(5)
7	Q-IDQS - Exchange Delist Exception Determination	(a)(3), (f)(7), (f)(1)
8	Q-IDQS - Current and Publicly Available Determination (use only where Reason Code 10 does not apply)	(a)(3), (f)(2)(iii)(B)
9	Q-IDQS - Non-Current Information Determination	(f)(3)(ii)(A)
10	Q-IDQS Piggyback Eligibility Determination	(f)(3)
11	Q-IDQS - Municipal Security Exception Determination	(a)(3), (f)(7), (f)(4)
12	Q-IDQS - ADTV, Assets, Shareholder Equity Exception Determination	(a)(3), (f)(7), (f)(5)
13	Reliance on another Q-IDQS Determination	
14	Subscriber Not Relying on Q-IDQS (except unsolicited)	