

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: INCOMING ACAT TRANSFERS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 132 characters
 Process Name: NJE—N/A; RJE—PRJ141DP; InfoDirect—PRJ141DP;
 FTP—DTM141D\$
 Form Name: ACAT

DESCRIPTION

This file contains the incoming ACAT transfer information, including asset amount information that is transmitted to the National Securities Clearing Corporation (NSCC).

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF B B B B B B B PERSHING B " (beginning of Pershing file)
019-036	X(18)	AN	Literally "ACAT B TRANSFERS B B B B B "
037-046	X(10)	AN	Literally " B DATA B OF B B "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " B TO B REMOTE B "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally " B BEGINS B HERE B B "
086-093	X(08)	AN	RUN DATE = "CCYYMMDD"
094-096	X(03)	AN	Not Used
097-104	X(08)	AN	RUN TIME = "HH:MM:SS"
105-131	X(26)	AN	Not Used
132-132	X(01)	AN	Literally "A"; indicates the end of the header record

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "IA"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	ID SEQUENCE NUMBER BEGINNING WITH "000001"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
010-018	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
019-021	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
022-024	X(03)	AN	TRANSFER TYPE (asset records only); acceptable values include: “FUL” = Full Transfer “RCR” = Residual Transfer BLANK = Not Applicable
025-030	X(06)	AN	Not Used
031-035	X(05)	AN	CONTRA BROKER
036-050	X(15)	AN	CONTRA ACCOUNT NUMBER
051-053	X(03)	AN	TRANSFER STATUS; acceptable values include: “CLS” = Closed (completed) “MGN” = Intraday Margin Check Fail “NRL” = Not Released “PRG” = Purge “RAP” = Request Adjust Past “REJ” = Rejected “REL” = Released “RER” = Review Error “REQ” = Request “REV” = Review “RQA” = Request Adjust “RQP” = Request Past “RQR” = Request Reject “RVA” = Request Adjust “RVX” = Review Accelerate “SBD” = Same Broker Dealer “SET” = Settlement (the next day the assets will be reviewed) “VIO” = In Violation of Full Margin
054-068	X(15)	AN	CONTRA ACCOUNT NUMBER IN DISPLAY FORMAT
069-076	X(08)	AN	SHORT NAME
077-077	X(01)	AN	DISCLOSED/OMNIBUS INDICATOR; acceptable values include: “D” = Disclosed “O” = Omnibus
078-078	X(01)	AN	ACCOUNT CLASS INDICATOR; acceptable values include: BLANK = Nonretirement Account “B” = Retirement Account (see field 079 for type)
079-079	X(01)	AN	IRA TYPE INDICATOR; acceptable values include: “1” = IRA for which Pershing LLC is the Custodian “2” = IRA for which Pershing LLC is not the Custodian “3” = IRA where Pershing acts as a servicing agent

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POSITION	PICTURE	TYPE	DESCRIPTION
080-080	X(01)	AN	Not Used
081-131	X(51)	AN	CUSTOMER NAME
132-132	X(01)	AN	Literally "X"; indicates the end of the detail record

DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "IA"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-009	9(06)	N	ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-018	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
019-021	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
022-030	X(09)	AN	Not Used
031-039	X(09)	AN	SOCIAL SECURITY NUMBER
040-040	X(01)	AN	NSCC ACCOUNT TYPE; acceptable values include: "B" = Corporate "C" = Custodian "E" = Estate "I" = IRA "J" = Joint "O" = Other "Q" = Qualified "R" = Rollover "S" = Single "T" = Trust
041-043	X(03)	AN	NSCC STATUS
044-045	9(02)	N	NUMBER OF DAYS IN NSCC STATUS
046-047	9(02)	N	NUMBER OF DAYS IN PERSHING STATUS
048-048	X(01)	AN	SOCIAL SECURITY FLAG; acceptable values include: "Y" = Valid Social Security Number "N" = Invalid Social Security Number
049-056	X(08)	AN	Not Used
057-064	9(08)	N	NSCC CONTROL NUMBER
065-065	X(01)	AN	Not Used
066-067	X(02)	AN	REASON CODE FOR REJECT; acceptable values include: "00" = Not Rejected "01" = Social Security Number/Tax ID Mismatch "02" = Account Title Mismatch "03" = Documentation Needed "04" = Account Flat "05" = Invalid Account Number (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"06" = Duplicate "07" = Account in Distribution or Transfer
			"08" = Client Rescinded "09" = Missing Authorization Signature "21" = Account Violates Credit Policy of Receiving Firm "22" = Unrecognized for Residual Credit Balance "23" = Partial Transfer (Deliverer Initiated) Reject
			"24" = Fail Reversal Reject
			"25" = Reclaim Reject
			"27" = Mutual Fund Cleanup Reject
			" BB " = Other
068-068	X(01)	AN	RELEASE STATUS
069-070	X(02)	AN	REASON CODE FOR NOT RELEASED
071-071	X(01)	AN	ADJUSTMENT STATUS
072-079	X(08)	AN	Not Used
080-087	X(08)	AN	USER ID THAT SUCCESSFULLY UPDATED
088-091	X(04)	AN	TERMINAL ID
092-093	X(02)	AN	Not Used
094-101	9(08)	N	PREVIOUS CONTROL NUMBER FOR RESIDUALS
102-105	X(04)	AN	VIOLATION EXCEPTION CODE; acceptable values include: "1940" = Nontrade Short "1950" = Naked Option "1960" = Unknown Product "1970" = 200 Contracts "1980" = Tech Short Trade Date "1990" = Nontrade Debit "2000" = Cash Due "2010" = Unsecured Short "2020" = Unsecured Debit "2030" = Part Secured Debit "2040" = Fed Call "2050" = House Call "2060" = Exchange Call "2070" = Minimum Equity Call "2080" = Large Margin Debit
106-106	X(01)	AN	INITIAL STATUS REPORT
107-131	X(25)	AN	Not Used
132-132	X(01)	AN	Literally "X"; indicates the end of the detail record

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "IA"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-009	9(06)	N	ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-018	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1)
019-021	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
022-030	X(09)	AN	CUSIP® NUMBER (NOTE: if field is 0, field is a memo and positions 035-094 become description of the memo)*
031-034	X(04)	AN	CONTRA BROKER
035-094	X(60)	AN	SECURITY DESCRIPTION
095-112	9(13)v9(05)	N	QUANTITY
113-123	s9(09)v9(02)	N	MARKET VALUE
124-127	X(04)	AN	NSCC METHOD OF DELIVERY CODE; acceptable values include: BLANK = Regular Delivery "0" = Noncontinuous Net Settlement Delivery "1" = Continuous Net Settlement Delivery "2" = X-Continuous Net Settlement (CNS) Delivery (broker elects to exclude from CNS system) "3" = Delayed Delivery "4" = Non-Delivery "5" = Safekeeping Delivery "7" = Mutual Fund Bookkeeping Delivery "8" = Credit Balance Delivery "9" = Debit Balance Delivery "M" = Memo Delivery "S" = Special Memorandum Account Delivery
128-128	X(01)	AN	LONG/SHORT INDICATOR; acceptable values include: "0" = Position Long "1" = Position Short "S" = Safekeeping "T" = Transfer Short
129-129	X(01)	AN	CASH MARGIN INDICATOR; acceptable values include: "C" = Cash "M" = Margin "S" = Short
130-130	X(01)	AN	ADJUSTED POSITION INDICATOR; acceptable values include: "D" = Deleted Position "C" = Changed Position "A" = New Position

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POSITION	PICTURE	TYPE	DESCRIPTION
131-131	X(01)	AN	Not Used
132-132	X(01)	AN	Literally "X"; indicates the end of the record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF B B B B B B PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "ACAT B TRANSFERS B B B B B "
037-046	X(10)	AN	Literally " B DATA B OF B B "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " B TO B REMOTE B "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-105	X(34)	AN	Literally " B ENDS B HERE. B TOTAL B DETAIL B RECORDS: B "
106-115	9(10)	N	RECORD COUNT
116-131	X(16)	AN	Not Used
132-132	X(01)	AN	Literally "Z"; indicates the end of the trailer record