

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: OUTGOING ACAT TRANSFERS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 132 characters
 Process Name: NJE— PRJ145DP; RJE—PRJ141DP; InfoDirect—PRJ141DP;
 FTP—DTM141D\$
 Form Name: ACAT

DESCRIPTION

The Outgoing ACAT Transfers file (ACAT) contains the outgoing ACAT transfer information, including asset account information that is transmitted to the National Securities Corporation (NSCC).

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF BBBBBB PERSHING B " (beginning of Pershing file)
019-036	X(18)	AN	Literally "ACAT B TRANSFERS BBBB "
037-046	X(10)	AN	Literally " B DATA B OF BB "
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 BB "
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 = "OA"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
004-009	9(06)	N	LITERALLY RECORD 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
022-024	X(03)	AN	TRANSFER TYPE; acceptable values include: "CRD" = Custody Redeliver "FUL" = Full Transfer "PTD" = Partial Delivery Initiated "PTR" = Partial Transfer "RCL" = Reclaim "RCR" = Residual Transfer "FRV" = Failed Reversal "BBB" = Not Applicable
025-030	X(06)	AN	Not Used
031-038	9(08)	N	CONTROL NUMBER
039-041	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 "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 (next day the assets will be received) "VAL" = Validated
042-042	X(01)	AN	Not Used
043-057	X(15)	AN	CONTRA ACCOUNT NUMBER IN DISPLAY FORMAT
058-065	X(08)	AN	SHORT NAME
066-066	X(01)	AN	DISCLOSED/OMNIBUS INDICATOR; acceptable values include: "D" = Disclosed "O" = Omnibus
067-067	X(01)	AN	ACCOUNT CLASS INDICATOR; acceptable values include: BLANK = Nonretirement Account (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“B” = Retirement Account (see field 068 for type)
068-068	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
069-069	X(01)	AN	Not Used
070-120	X(51)	AN	CUSTOMER NAME
121-131	X(11)	AN	Not Used
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 = “OA”
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
022-024	X(03)	AN	PARTIAL TRANSFER INDICATOR; acceptable values include: “CRD” = Custody Redeliver “FUL” = Full Transfer “PTD” = Partial Delivery Initiated “PTR” = Partial Transfer “RCL” = Reclaim “RCR” = Residual Transfer “FRV” = Failed Reversal “ BBB ” = Not Applicable
025-030	X(06)	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

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
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	9(02)	N	Not Used
049-056	X(08)	AN	Not Used
049-049	X(01)	AN	WRAP ACCOUNT INDICATOR; acceptable values include: “W” = Wrap Account “N” = Nonwrap Account
050-058	X(09)	AN	Not Used
059-059	X(01)	AN	SOCIAL SECURITY FLAG; acceptable values include: “Y” = Valid Social Security Number “N” = Invalid Social Security Number
060-060	X(01)	AN	Not Used
061-061	X(01)	AN	REJECT STATUS
062-063	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 “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) Rejected “24” = Fail Reversal Reject “25” = Reclaim Reject “27” = Mutual Fund Cleanup Reject “ BB ” = Other
064-072	X(09)	AN	Not Used
073-080	X(08)	AN	USER ID THAT SUCCESSFULLY UPDATED
081-084	X(04)	AN	TERMINAL ID
085-085	X(01)	AN	Not Used
086-089	X(04)	AN	CONTRA BROKER
090-098	X(09)	AN	Not Used
099-099	X(01)	AN	INITIAL STATUS REPORT
100-108	9(09)	N	NSCC SOCIAL SECURITY NUMBER
109-131	X(23)	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 = "OA"
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 NO. (5); CHECK DIGIT (1); BASE ACCOUNT
019-021	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
022-030	X(09)	AN	CUSIP® NUMBER; (if available/applicable)
031-031	X(01)	AN	SYSTEM CODE; acceptable values include: "C" = Represents NSCC Regulatory Code
032-035	X(04)	AN	DELIVERING BROKER
036-039	X(04)	AN	RECEIVING BROKER
040-047	X(08)	AN	DTC CONTROL NUMBER; unique number assigned to a transfer during each calendar year
048-048	X(01)	AN	ASSET TYPE INDICATOR; acceptable values include: "0" = Nonoption "1" = Equity Option "2" = Nonequity Option (NOTE: if this field contains a "1" please follow the alternate file layouts for fields in positions 067-132)
049-049	X(01)	AN	Not Used
050-050	X(01)	AN	NSCC TRANSACTION CODE; acceptable values include: "A" = Add "C" = Change "D" = Delete
051-054	X(04)	AN	NSCC Sequence Number
055-055	X(01)	AN	CASH MARGIN INDICATOR; acceptable values includes "C" = Cash "M" = Margin "S" = Short
056-057	X(02)	AN	SECURITY CATEGORY CODE; acceptable values include: "OO" = Other Security Category "CB" = Bond Domestic Foreign "CD" = CD or Commercial Paper "ES" = Stock Domestic Foreign "GB" = Bond US Government "LP" = Limited Partnership "MB" = Bond Municipal "MF" = Mutual Fund "MO" = Mortgage Backed "OT" = Other "UN" = Unit Investment Trust

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ZC” = Bond Zero Coupon Blank = Not Applicable
058-066	X(09)	AN	Not Used
067-067	X(01)	AN	LONG/SHORT INDICATOR; acceptable values include: “S” = Safekeeping “T” = Transfer Short “0” = Position Long “1” = Position Short Blank = Not Applicable
068-085	9(13)v9(05)	N	QUANTITY
086-086	X(01)	AN	NSCC METHOD OF DELIVERY CODE; acceptable values include: BLANK = Regular Delivery “0” = Noncontinuous Net Settlement (CNS) Delivery “1” = Continuous Net Settlement (CNS) Delivery “2” = X-Continuous Net Settlement Delivery (broker elects to exclude from the CNS system) “3” = Delayed Delivery “4” = Nondelivery “5” = Safekeeping Delivery “7” = Mutual Fund Bookkeeping Delivery “8” = Credit Balance Delivery “9” = Debit Balance Delivery “M” = Memo Delivery “S” = Special Memorandum Account Delivery
087-087	X(01)	AN	Not Used
088-098	9(09)v9(02)	N	MARKET VALUE
099-128	X(30)	AN	SECURITY DESCRIPTION LINE 1
129-131	X(03)	AN	Not Used
132-132	X(01)	AN	Literally “X”; indicates the end of the detail record

ALTERNATE DETAIL RECORD C LAYOUT FOR OPTION RECORDS (SEE POSITIONS 048-048)

POSITION	PICTURE	TYPE	DESCRIPTION
067-070	9(04)	N	QUANTITY; National Securities Clearing Corporation (NSCC) option quantity
071-076	X(06)	AN	Not Used
077-077	X(01)	AN	NSCC Option; acceptable values include: “P” = Put “C” = Call
078-083	X(06)	AN	NSCC OPTION SYMBOLS
084-084	X(01)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
085-087	9(03)	N	OPTION EXPIRATION DATE = "MMY"; Y = LAST DIGIT OF DECADE
088-090	9(03)	N	OPTION EXERCISE PRICE
091-131	X(41)	N	Not Used
132-132	X(01)	AN	Literally "X"; indicates the end of the detail record

DETAIL RECORD D

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "OA"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "D"
004-009	9(06)	N	ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-018	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (5); CHECK DIGIT (1)
019-021	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
022-030	X(09)	AN	CUSIP® NUMBER; If option record this field will be equal to space
031-120	X(90)	AN	SECURITY DESCRIPTION LINE TWO
121-131	X(11)	AN	Not Used
132-132	X(01)	AN	Literally "X"; indicates the end of the detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOFBBBBB PERSHING B" (end of Pershing file)
019-036	X(18)	AN	Literally "ACAT B TRANSFERS 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