

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: CONCENTRATED ACCOUNTS

GENERAL INFORMATION

File Frequency: Weekly
 Record Size: 132 characters
 Form Name: CONC

DESCRIPTION

The Concentrated Accounts file (CONC) is created weekly and contains concentrated accounting information as is reported on the Concentrated Accounts Report–MXD321-04.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF B B B B B B PERSHING B " (beginning of Pershing file)
019-037	X(19)	AN	Literally "CA B CONCEN. B ACCOUNT"
038-046	X(09)	AN	Literally "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 "
086-095	X(10)	AN	RUN DATE = "MM/DD/CCYY"
096-096	X(01)	AN	Not Used
097-104	X(08)	AN	RUN TIME = "HH:MM:SS"
105-131	X(27)	AN	Not Used
132-132	X(01)	AN	Literally "A"; indicates the end of the header record

DETAIL RECORD A: GENERAL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CA"
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-012	X(03)	AN	IBD NUMBER

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
013-019	9(07)	N	MARGIN DEBIT RANGE – THRESHOLD LOW
020-026	9(07)	N	MARGIN DEBIT RANGE – THRESHOLD HIGH
027-035	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (5); CHECK DIGIT (1)
036-038	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
039-074	X(36)	N	INVESTMENT PROFESSIONAL NAME
075-094	X(10)	AN	IBD SHORT NAME
095-122	X(28)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally “X”; indicates the end of record A

DETAIL RECORD B: ACCOUNT REGISTRATION INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “CA”
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = “B”
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH “000001”
010-045	X(36)	AN	ACCOUNT REGISTRATION LINE 1
046-081	X(36)	AN	ACCOUNT REGISTRATION LINE 2
082-117	X(36)	AN	ACCOUNT REGISTRATION LINE 3
118-122	X(36)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally “X”; indicates the end of record B

DETAIL RECORD C: ACCOUNT REGISTRATION INFORMATION, CONTINUED

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “CA”
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = “C”
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH “000001”
010-045	X(36)	AN	ACCOUNT REGISTRATION LINE 4
046-081	X(36)	AN	ACCOUNT REGISTRATION LINE 5
082-117	X(36)	AN	ACCOUNT REGISTRATION LINE 6
118-122	X(36)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally “X”; indicates the end of record C

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD D: ACCOUNT BALANCE INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CA"
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "D"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-022	s9(11)v99	N	TOTAL LONG MARKET VALUE
023-033	s9(11)	N	TRADE DATE LIQUIDATING EQUITY
034-046	s9(11)v99	N	SHORT MARKET VALUE
047-059	s9(11)v99	N	MONEY FUND CURRENT TOTAL
060-070	s9(11)	N	MONEY FUND OPENING BALANCE
071-083	s9(11)v99	N	TOTAL EQUITY
084-086	s9(03)	N	TOTAL EQUITY PERCENT
087-097	s9(11)	N	TOTAL MARGIN MAINTENANCE REQUIREMENT
098-122	X(25)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally "X"; indicates the end of record D

DETAIL RECORD E: POSITION DETAIL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CA"
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "E"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "000001"
If not an option using new Option Symbology: Existing format for position 010-047			
010-018	X(09)	AN	SYMBOL or CUSIP® NUMBER
019-027	s9(09)	N	QUANTITY
028-047	X(20)	AN	SECURITY DESCRIPTION LINE ONE
Positions 10-47 are redefined only for options using the new Symbology. As such, the new Option Indicator field in Record E, position 116 will be set to "Y." All other securities will use the existing format. The following four fields comprise the OCC DATA SET to be used in lieu of the OPRA Symbol and Security Description.			
010-015	X(06)	AN	OPTON ROOT ID
016-021	9(06)	N	EXPIRATION DATE, in YYMMDD format
022-022	X(01)	AN	PUT/CALL CODE; acceptable values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
023-030	9(05)v9(03)	N	STRIKE PRICE
031-038	X(08)	AN	Not Used
039-047	s9(09)	AN	QUANTITY
OCC Option Product Information and redefine ends here. Layout continues in position 048 for all security types			
048-056	9(07)v99	N	PRIOR DAY CLOSING PRICE
057-060	X(04)	AN	EXCHANGE; acceptable values include: "NYSE" = New York Stock Exchange "ASE B " = American Stock Exchange "PBW B " = Philadelphia, Baltimore, Washington "OTC B " = Over the Counter "OTH B " = Other "CBOE" = Chicago Board Options Exchange "PCSE" = Pacific Securities Exchange
061-071	s9(11)	N	MARKET VALUE
072-072	X(01)	AN	MARKET VALUE ASTERISK; the position that allows the account to meet the criteria of the report; values include: "+" = If the largest market value is greater than 40% of total market value or if a combination of the 3 largest market values is greater than 70% of total equity " B " = Does not apply
073-073	X(01)	AN	ACCOUNT TYPE; acceptable values include: "0" = COD "1" = Cash "2" = Margin "3" = Short "8" = Miscellaneous
074-081	s9(06)v99	N	Percent of Equity
082-082	X(01)	AN	Percent Indicator; acceptable values include: "+" = Position is greater than 75% of equity " B " = Position is not greater than 75% of equity
083-089	S9(07)	N	PRIOR DAY'S TRADING VOLUME
090-090	X(01)	AN	VOLUME INDICATOR; acceptable values include: "#" = Position is greater than 75% of prior day's trading Volume " B " = Position is not greater than 75% of prior day's trading volume
091-097	s9(07)	N	NUMBER OF OUTSTANDING SHARES
098-098	X(01)	AN	SHARE INDICATOR; acceptable values include: "@" = Position is greater than 1% of outstanding shares " B " = Position is not greater than 1% of outstanding shares

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
099-101	9(03)	N	MAINTENANCE REQUIREMENT PERCENT
102-102	X(01)	AN	REQUIREMENT PERCENTAGE INDICATOR; acceptable values include: “%” = Position has a market value and the house requirement is a percentage of the market value of the position “ B ” = Position has no market value. For long positions the house requirement is zero. For short positions, the house requirement is \$5 per share
103-103	X(01)	AN	REQUIREMENT OVERRIDE; acceptable values include: “M” = Maintenance requirement override “L” = \$3.00 per share requirement “ B ” = Does not apply
104-114	s9(11)	N	REQUIREMENT AMOUNT
115-115	X(01)	AN	Not Used (changed from “minus sign”)
116-116	X(01)	AN	OPTION INDICATOR; acceptable values include: “Y” = Security is an option using new symbology “N” = Security is not an option or is not using the new symbology
117-122	X(06)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally “X”; indicates the end of record E

DETAIL RECORD F: ACCOUNT MARKET VALUE INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “CA”
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = “F”
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH “000001”
010-011	9(02)	N	40% literal (Market value percentage of one position)
012-026	s9(15)	N	MARKET VALUE OF POSITION REPRESENTING 40% OF THE EQUITY
027-027	X(01)	AN	FIRST MARKET VALUE POSITION INDICATOR; Acceptable values include: “+” = If the largest market value is greater than 40% of total market value “ B ” = Does not apply
028-029	9(02)	N	70% literal (market value percentage of second positions)
030-044	s9(15)	N	MARKET VALUE OF THE SECOND POSITIONS REPRESENTING 70% OF THE EQUITY

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
045-045	X(01)	AN	SECOND MARKET VALUE POSITION INDICATOR; acceptable values include: “+” = If the largest market value is greater than 70% of total market value or if a combination of the three largest market values are greater than 70% of total market value “B” = Does not apply
046-122	X(77)	AN	Not Used
123-128	X(06)	AN	ACCOUNT BASE NUMBER
129-131	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
132-132	X(01)	AN	Literally “X”; indicates the end of record F

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOFBBBBB PERSHING B” (end of Pershing file)
019-037	X(19)	AN	Literally “CA B CONCEN. B ACCOUNT”
038-046	X(09)	AN	Literally “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”
072-083	X(12)	AN	Literally “B ENDS B HERE. B”
084-105	X(22)	AN	Literally “TOTAL B DETAIL B RECORDS: B”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-131	X(16)	AN	Not Used
132-132	X(01)	AN	Literally “Z”; indicates the end of the trailer record