

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: MONTHLY CAPS

### GENERAL INFORMATION

File Frequency: Monthly  
 Record Size: 133 characters  
 Form Name: CPSM

### DESCRIPTION

This file can be produced on the statement month-end date or the last business day of the month, depending on your firm's month-end cut-off period. Monthly CAPS is a summary file sorted by firm and Investment Professional each Investment Professional's payout information.

**NOTE:** This file is not available to IBD's on Pershing's CAPS Lite system. In order to receive this file, a remote site must be set up for the account office range that matches the IBD number.

### FILE LAYOUT SPECIFICATIONS

#### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> PERSHING <b>B</b> " Pershing file)
019-036	X(18)	AN	Literally "COMMISSION <b>B</b> MONTHLY "
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>B</b> <b>B</b> "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " <b>B</b> TO <b>B</b> REMOTE <b>B</b> "
068-071	X(4)	AN	Literally "XXXX"
072-085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <b>B</b> <b>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"
105-132	X(28)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
133-133	X(01)	AN	Literally "A"; indicates the end of the header record

## PAYOUT SUMMARY BY REGISTERED REPRESENTATIVE DETAIL RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-003	X(03)	AN	IBD NUMBER
004-006	X(03)	AN	REGISTERED REPRESENTATIVE'S CAPS
007-009	X(03)	AN	REGISTERED REPRESENTATIVE'S CAPS OFFICE
010-012	X(03)	AN	REGISTERED REPRESENTATIVE'S NUMBER
013-016	X(04)	AN	PRODUCT CODE; See CAPS online (XCAP), DASH
017-017	X(01)	AN	INSTITUTIONAL/RETAIL INDICATOR; acceptable "I" = Institutional "R" = Retail
018-019	X(02)	AN	PAY CODE; acceptable values include: "00" = Acceptable Trade "87" = Under the Minimum Payout "88" = Not Registered in the State
020-021	X(02)	AN	PROCESS MONTH
022-025	X(04)	AN	PROCESS YEAR
026-038	s9(11)v99	N	GROSS AMOUNT; gross revenue of the trade
039-051	s9(11)v99	N	CALCULATED GROSS AMOUNT; gross revenue more commonly known as "Adjusted Gross" in CAPS
052-064	s9(11)v99	N	PERSHING CHARGE; amount charged to execute
065-077	s9(11)v99	N	NET AMOUNT; only completed if CAPS is
078-133	X(56)	AN	Not Used

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF <b>BBBBBB</b> PERSHING <b>B</b> " (end of file)
019-036	X(18)	AN	Literally "COMMISSION <b>B</b> MONTHLY "
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>BB</b> "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " <b>B</b> TO <b>B</b> REMOTE <b>B</b> "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-105	X(34)	AN	Literally " <b>B</b> ENDS <b>B</b> HERE <b>B</b> TOTAL <b>B</b> DETAIL <b>B</b> "

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<b>POSITION</b>	<b>PICTURE</b>	<b>TYPE</b>	<b>DESCRIPTION</b>
106-115	9(10)	N	NUMBER OF DETAILED RECORDS
116-132	X(17)	AN	Not Used
133-133	X(01)	AN	Literally "Z"; indicates the end of the trailer record