

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: FIRM TRADING TRADE DATE**

## GENERAL INFORMATION

File Frequency: Daily  
 Record Size: 500 characters  
 Process Name: NJE—PRJ113DP; RJE—PRJ112DP; InfoDirect—INF112DP;  
 FTP—DTM112D\$  
 Form Name: FT10

## DESCRIPTION:

The Firm Trading Data file (FT10) is created on a nightly basis. The “A” Record contains the trade date based information that summarizes the status of each security in the trading account. Profit/loss data is shown along with dividend and interest information. Pending dividends are also shown, as well as sales credits paid to brokers on principal transactions. Sales credits are, however, memo entries and are not calculated by the Firm Trading system. Ticket counts are also provided. This file is of primary use to IBDs who close their books on a trade date basis. The “B” Record is optional and contains the trade date bookkeeping balances and currency codes for the settlement for each account. Record Sales credits are, however, memo entries and are not calculated by the Firm Trading System. The “C” Record contains Multi currency Information of an account on Trade Date basis and is associated with every MCCY ‘A’ type record, which comes from Security Summary file. This record also indicates that the account is for Multi Currency Position that gives the Currency information of the MCCY Position along with Currency Code, Currency conversion Rate and Currency Rate multiply/Division Indicator for converting the Currency Rate. Additionally, this file houses domestic trade information only. Ticket counts are also provided. This file is of primary use to those firms who close their books on a trade date basis.

## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-009	X(09)	AN	Literally “BOF” (beginning of Pershing
010-018	X(09)	AN	Literally “PERSHING”
019-036	X(18)	AN	Literally “FIRM TRADING FT10”
037-046	X(10)	AN	Literally “DATA OF”
047-056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057-067	X(11)	AN	Literally “TO REMOTE”
068-071	X(04)	AN	REMOTE ID = “XXXX”
072-085	X(14)	AN	Literally “BEGINS HERE”

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POSITION	PICTURE	TYPE	DESCRIPTION
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"
105-499	X(395)	AN	Not Used
500-500	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 = "TD"
003-003	X(01)	AN	RECORD ID = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT(5); CHECK DIGIT (1)
021-029	X(09)	AN	CUSIP® NUMBER
	X(03)	AN	IBD NUMBER (from SECSUM File)
033-033	X(01)	AN	SEC TYPE (See Appendix B; note When-issued = '4')
034-034	X(01)	AN	SEC MOD
035-035	X(01)	AN	SEC CALC
036-053	9(13)v9(5)	N	TOTAL POSITION
054-054	X(01)	AN	TOTAL POSITION SIGN; acceptable values include: "+" = Positive "-" = Negative "b" = N/A or Zeroes
055-055	X(01)	AN	STOCK SPLIT; acceptable values include: "*" = Stock Split "0" = Default IF SS-STOCK-DIV-PEND(3) NOT = ZEROES
056-073	9(16)v9(2)	N	BOOK COST
074-074	X(01)	AN	BOOK COST SIGN "+" = Positive "-" = Negative "b" = N/A or Zeroes

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POSITION	PICTURE	TYPE	DESCRIPTION
075-075	X(01)	AN	X-DIVIDEND; acceptable values include: "X" = Dividend "b" = Default Value 'X', IF (SEC-EX-DIV-DATE - FT-DATE) < 8 AND > ZERO *****OR***** IF SEC-TYPE = ('8' OR '5' OR '6' OR '7' OR 'B' OR 'P') AND SEC-EXPIRE-DATE NOT = ZEROES
076-093	9(09)v9(9)	N	AVERAGE PRICE
094-094	X(01)	AN	AVERAGE PRICE SIGN; acceptable values include: "+" = Positive "-" = Negative "b" = N/A or Zeroes
095-112	9(16)v9(2)	N	MARKET VALUE
113-113	X(01)	AN	MARKET VALUE SIGN; acceptable values include: "+" = Positive "-" = Negative "b" = Not Applicable or Zeroes
114-131	9(09)v9(9)	N	CURRENT PRICE
132-132	X(01)	AN	CURRENT PRICE SIGN; acceptable values include: "+" = Positive "-" = Negative "b" = Not Applicable or Zeroes
133-133	X(01)	AN	USER PRICE IND; acceptable values include: "#" = Pricing Service "b" = User Entered
134-151	9(16)v9(2)	N	ACCRUED INTEREST/CASH DIVIDENDS
152-152	X(01)	AN	ACCRUED INTEREST/CASH DIVIDENDS SIGN; "+" = Positive "-" = Negative "b" = Not Applicable or Zeroes
153-170	9(16)v9(2)	N	DAILY SALES CREDIT
171-171	X(01)	AN	DAILY SALES CREDIT SIGN; acceptable values include: "+" = Positive "-" = Negative "b" = Not Applicable or Zeroes
172-181	9(10)	N	PREVIOUS DAY TOTAL TICKETS
182-182	X(01)	AN	PREVIOUS DAY TOTAL TICKETS SIGN; acceptable "+" = Positive (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
183-200	9(16)v9(2)	N	“-“ = Negative
			“ <b>B</b> ” = Not Applicable or Zeroes
			CUMULATIVE PROFIT AND LOSS DAILY
201-201	X(01)	AN	CUMULATIVE PROFIT AND LOSS DAILY SIGN;
			“+” = Positive
			“-“ = Negative
			“ <b>B</b> ” = Not Applicable or Zeroes
IF SS-CAL-TD-PROCESS (2) = "T"			
202-219	9(16)v9(2)	N	CUMULATIVE PROFIT AND LOSS MONTH TO DATE
			DATE (TD) PROCESS
220-220	X(01)	AN	CUMULATIVE PROFIT AND LOSS MONTH TO DATE SIGN; acceptable values include: “+” = Positive “-“ = Negative (cont.) “ <b>B</b> ” = Not Applicable or Zeroes
221-230	9(10)	N	MONTH TO DATE TOTAL TICKETS WITH TD
231-231	X(01)	AN	MONTH TO DATE TOTAL TICKETS WITH TD acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
232-249	9(16)v9(2)	N	TRADE INTEREST WITH TD PROCESS
250-250	X(01)	AN	TRADE INTEREST WITH TD PROCESS SIGN; include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
251-268	9(16)v9(2)	N	MONTH TO DATE CHANGE IN UNREALIZED PROCESS; populated when trade date calendar equals zeroes
269-269	X(01)	AN	MONTH TO DATE CHANGE IN UNREALIZED PROCESS SIGN; acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
270-287	9(16)v9(2)	N	MONTH TO DATE REALIZED PROFIT/LOSS WITH TD
288-288	X(01)	AN	MONTH TO DATE REALIZED PROFIT/LOSS WITH TD SIGN; acceptable values include: “+” = Positive (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
289-306	9(16)v9(2)	N	MONTH TO DATE SALES CREDIT WITH TD PROCESS
307-307	X(01)	AN	MONTH TO DATE SALES CREDIT WITH TD PROCESS values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
308-325	9(16)v9(2)	N	MONTH TO DATE PERSHING CHARGE; acceptable values include “SPACES” for all accounts
326-326	X(01)	AN	MONTH TO DATE PERSHING CHARGE SIGN; acceptable values include “SPACES” for all accounts
IF SS-CAL-TD-PROCESS (2) ="ANY VALUES"			
327-344	9(16)v9(2)	N	CUMULATIVE PROFIT AND LOSS MONTH TO DATE
345-345	X(01)	AN	CUMULATIVE PROFIT AND LOSS MONTH TO DATE SIGN; acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
346-355	9(10)	N	MONTH TO DATE TOTAL TICKETS
356-356	X(01)	AN	MONTH TO DATE TOTAL TICKETS SIGN; acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
357-374	9(16)v9(2)	N	TRADE INTEREST
375-375	X(01)	AN	TRADE INTEREST SIGN; acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
376-393	9(16)v9(2)	N	UNREALIZED PROFIT/LOSS
394-394	X(01)	AN	UNREALIZED PROFIT/LOSS SIGN; acceptable values “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
395-412	9(16)v9(2)	N	MONTH TO DATE REALIZED PROFIT/LOSS

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POSITION	PICTURE	TYPE	DESCRIPTION
413-413	X(01)	AN	MONTH TO DATE REALIZED PROFIT/LOSS SIGN; values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
414-431	9(16)v9(2)	N	MONTH TO DATE SALES CREDIT
432-432	X(01)	AN	MONTH TO DATE SALES CREDIT SIGN; acceptable “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
433-450	9(16)v9(2)	N	BOOK KEEPING BALANCE
451-451	X(01)	AN	BOOK KEEPING BALANCE SIGN; acceptable values include: “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
452-491	X(40)	AN	FILLER (for future use); value “SPACES”
492-499	9(08)	N	DATE OF DATA = “CCYYMMDD”
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record

## DETAIL RECORD B (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “TD”
003-003	X(01)	A	RECORD ID = “B”
004-011	9(08)	N	SEQUENCE NUMBER BEGINNING WITH “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER including OFFICE (3); BASE CHECK DIGIT (1)
021-029	X(09)	AN	LITERALLY “999999999”
030-032	X(03)	AN	IBD NUMBER
033-035	X(03)	AN	FILLER
036-053	9(16)v99	N	TRADE DATE BOOKKEEPING BALANCE
054-054	X(01)	AN	TRADE DATE BOOKKEEPING BALANCE SIGN, “+” = Positive “-“ = Negative “ <b>B</b> ” = Not Applicable or Zeroes
055-491	X(437)	AN	Not Used (SOME ALPHA/SOME NUMERIC FIELDS)
492-499	9(08)	N	DATE OF DATA = “CCYYMMDD”
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record

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## DETAIL RECORD C (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	Transaction Code = "TD"
003-003	X(01)	A	Record ID(s) = "C"
004-011	9(08)	N	SEQUence Number = 00000001 → 99999999
012-020	X(09)	AN	ACCOUNT NUMBER including OFFICE (3); BASE ACCOUNT (5); CHECK DIGIT (1)
021-029	X(09)	AN	CUSIP NUMBER; Literally "999999999"
030-032	X(03)	AN	CORR #
033-035	X(03)	AN	MULTI-CURRENCY (MCCY) Code
036-053	S9(9)V9(9)	N	MULTI-CURRENCY (MCCY) Rate
054-054	X(01)	AN	MCCY Rate Indicator; acceptable values include: "M" = MULT "D" = DIV
055-55	X(01)	AN	SOURCE INDICATOR
056-491	X(436)	AN	FILLER
492-499	9(08)	N	DATE OF DATA = "CCYYMMDD"
500-500	X(01)	AN	DELIMITER; Literally "X"

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-009	X(09)	AN	Literally "EOF" followed by 9 B's (end of Pershing file)
010-018	X(09)	AN	Literally "PERSHING" followed by 9 B's
019-036	X(18)	AN	Literally "FIRM" followed by 1 B, "TRADING" followed by 1 B, "FT10" followed by 1 B
037-046	X(10)	AN	Literally "DATA" followed by 1 B, "OF" followed by 2 B's
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "TO" followed by 1 B, "REMOTE" followed by 1 B
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "ENDS" followed by 1 B, "HERE" followed by 1 B
084-105	X(22)	AN	Literally "TOTAL" followed by 1 B, "DETAIL" followed by 1 B, "RECORDS:" followed by 1 B
106-115	9(10)	N	Number of detail records
116-499	X(384)	AN	Not Used
500-500	X(01)	AN	Literally "Z"; indicates the end of the trailer record