

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: FIRM TRADING CUMULATIVE

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Process Name: NDM/NJE—PRJ147DP; base—PRJ149DP;
 InfoDirect—INF149DP; FTP—DTM149D\$
 Form Name: FT90

DESCRIPTION

The Firm Trading FT90 Data file is created on a nightly basis. The “A” Record contains a month-to-date recap of all activity in the trading account, organized by CUSIP[®]. Included in this file are trades, journal entries, interest (paid/received), dividends (paid/received), and all other cash and security transactions. This file also shows the investment professional (IP) number and customer account or contra broker.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-009	X(09)	AN	Literally “BOF” (beginning of Pershing file)
010-018	X(09)	AN	Literally “PERSHING”
019-036	X(18)	AN	Literally “FIRM TRADING FT90”
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”
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”
105-249	X(145)	AN	Not Used
250-250	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "CT"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING 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
030-032	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
033-035	X(03)	AN	IP NUMBER
036-042	X(07)	AN	REFERENCE NUMBER
043-043	X(01)	AN	ENTRY TYPE Buy/Sell; acceptable values include: "B" = Buy "S" = Sell
044-051	9(08)	N	TRADE DATE = "CCYYMMDD"
052-059	9(08)	N	SETTLEMENT DATE = "CCYYMMDD"
060-067	9(08)	N	ENTRY DATE = "CCYYMMDD"
068-085	9(13)v9(5)	N	QUANTITY
086-086	X(01)	AN	QUANTITY SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
087-104	9(09)v9(9)	N	PRICE
105-105	X(01)	AN	PRICE SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
106-123	9(16)v9(2)	N	PRINCIPAL
124-124	X(01)	AN	PRINCIPAL SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
125-142	9(16)v9(2)	N	TRADE INTEREST
143	X(01)	AN	TRADE INTEREST SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
144-145	X(02)	AN	TRADE INDICATOR; acceptable values include: "XA" = Cancelled as of Trade "XC" = Cancelled as of Correction "UA" = Unmatched as of Trade "UC" = Unmatched as of Cancel

(cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			<p>“XB” = Cancelled</p> <p>“UB” = Unmatched</p> <p>“AB” = As of Trade</p> <p>“CB” = As of Cancel</p>
146-147	X(02)	AN	KEY CODE
148-172	X(25)	AN	CUSTOMER DETAILS OF STREET TRADE
173-190	9(16)v9(02)	N	OTHER MONEY
191-191	X(01)	AN	<p>OTHER MONEY SIGN; acceptable values include:</p> <p>“+” = Positive</p> <p>“-” = Negative</p> <p>“B” = Not Applicable or Zeroes</p>
192-192	X(01)	AN	<p>MARKET CODE; method that the trade is executed; acceptable values include:</p> <p>“1” = New York Stock Exchange (NYSE)</p> <p>“2” = American Stock Exchange (ASE)</p> <p>“3” = Philadelphia (PHLX)</p> <p>“4” = Over the Counter (OTC)</p> <p>“5” = Boston</p> <p>“6” = Chicago Exchange (CHX)</p> <p>“7” = Chicago Board Options Exchange (CBOE)</p> <p>“8” = Over the Counter/National Clearing Corp. (OTC/NCC)</p> <p>“9” = Pacific (PSE)</p> <p>“8” + BLOT “5” = Cincinnati Principal</p> <p>“8” + BLOT “1” + CONTRA = “9600” Cincinnati Agency</p> <p>“6” + BLOT “2” = Exercised and Assigned Index Options</p> <p>“7” + BLOT “1” = Exercised and Assigned Equity Options</p>
193-193	X(01)	AN	<p>BLOTTER CODE; acceptable values include:</p> <p>“0” = Average Price</p> <p>“1” = Customer vs. the Street</p> <p>“2” = Option</p> <p>“3” = Agency, but used for Cash, Special Settlement, Next Day Trades</p> <p>“5” = Principal Cross Trade</p> <p>“6” = Syndicate Cross Trade</p> <p>“8” = Principal Cross Trade/Over the Counter (PCT/OTC)</p> <p>“9” = Agency Cross Trade</p>
194-196	X(03)	AN	SOURCE CODE
197-214	9(16)v9(02)	N	NET AMOUNT
215-215	X(01)	AN	<p>NET AMOUNT SIGN; acceptable values include:</p> <p>“+” = Positive</p> <p>“-” = Negative</p> <p>“B” = Not Applicable or Zeroes</p>

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POSITION	PICTURE	TYPE	DESCRIPTION
216-241	X(26)	AN	Not Used
242-249	9(08)	N	DATE OF DATA = "CCYYMMDD"
250-25	X(01)	AN	Literally "X"; indicates the end of the detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-009	X(09)	AN	Literally "EOF" followed by 9 B's
010-018	X(09)	AN	Literally "PERSHING" followed by 9 B's
019-036	X(18)	AN	Literally "FIRM" followed by 18 B's, "TRADING" followed by 18 B's, "FT90" followed by 18 B's
037-046	X(10)	AN	Literally "DATA" followed by 10 B's, "OF" followed by 10 B's
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "TO" followed by 11 B's, "REMOTE" followed by 11 B's
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "ENDS" followed by 12 B's, "HERE" followed by 12 B's
084-105	X(22)	AN	Literally "TOTAL" followed by 22 B's, "DETAIL" followed by 22 B's, "RECORDS:" followed by 22 B's
106-115	9(10)	N	Number of detail records
116-249	X(134)	AN	Not Used
250-250	X(01)	AN	Literally "Z"; indicates the end of the trailer record