

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: SOURCE CODES

### GENERAL INFORMATION

File Frequency: Monthly/Request

Record Size: 250 characters

Process Name:

Refresh File: NJE—PRJ088DP; RJE—PRJ086DP;  
InfoDirect—INF086DP;

FTP—DTM086D\$

Update File: NJE—PRJ495MP; RJE—PRJ496MP;  
InfoDirect—INF496MP;

FTP—DTM496M\$

Form Name: ISRC/SRCD

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### DESCRIPTION

The Source Codes file (ISRC and SRCD) will contain source codes from different Pershing business units. A source code is a three-letter code indicating the type of transaction carried out by a specific business unit. This file can either be a refresh file or an update file. A refresh file is one that contains all the data records in the input file. An update file is one that contains only records that have changed in the current input file with reference to the previous refresh file. This change may be addition/deletion of source codes or change in the other fields corresponding to a particular source code.

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### FILE LAYOUT SPECIFICATIONS

#### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>BBBBBB</b> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "SOURCE <b>BB</b> CODES <b>BBBBBB</b> "
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>BOF</b> <b>BB</b> "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"

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POSITION	PICTURE	TYPE	DESCRIPTION
057-067	X(11)	AN	Literally "BTOBREMOTEB"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally "BBEGINSBHEREBB"
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

## DETAIL RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "SR"
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "A"
004-009	9(06)	N	RECORD SEQUENCE NUMBER BEGINNING WITH "000001"
010-010	X(01)	AN	CHANGE INDICATOR; acceptable values include: "R" = indicates that this is a refresh file "D" = indicates that the file is an update file and the record has been deleted "A" = indicates that the file is an update file and the record has been added "C" = indicates that the file is an update file and the record has been changed
011-013	X(03)	AN	SOURCE CODE
014-039	X(26)	AN	SOURCE CODE DESCRIPTION LINE 1
040-065	X(26)	AN	SOURCE CODE DESCRIPTION LINE 2
066-091	X(26)	AN	SOURCE CODE DESCRIPTION LINE 3
092-094	X(03)	AN	STATUS
095-095	X(01)	AN	DISPLAY STATUS
096-97	X(02)	AN	Not Used
098-105	X(08)	AN	USER ID; User ID that last updated the record
106-113	X(08)	AN	DATE ADDED = "CCYYMMDD"
114-121	X(08)	AN	DATE UPDATED = "CCYYMMDD"
122-122	X(01)	AN	IRA INCOME ELIGIBLE; acceptable values include: (cont.)
			"Y" = Yes

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POSITION	PICTURE	TYPE	DESCRIPTION
			"N" = No
123-123	X(01)	AN	RETIREMENT INCOME ELIGIBLE; acceptable values include: "Y" = Yes "N" = No
124-124	X(01)	AN	CUSTOMER FIRM; this field indicates if the transaction was done with a customer firm; acceptable values include: "Y" = Yes "N" = No
125-125	X(01)	AN	CREDIT/DEBIT; this field indicates whether the transaction is credit or debit; acceptable values include: "C" = Credit "D" = Debit "B" = Both BLANK = not applicable
126-129	X(04)	AN	STATEMENT INDICATOR; this field is used to tell the Pershing statement system that transactions with this source code need to be displayed on the client statement; acceptable values include: "STMT" = Transaction appears on statement "NONE" = Transaction does not appear on statement
130-133	X(04)	AN	STATEMENT ACTIVITY SUMMARY INDICATOR; this field tells the statement system that transactions with this source code will cause an update to the Activity Summary section; acceptable values include: "ASUM" = Update appears in Activity Summary section BLANK = Update does not appear in Activity Summary section
134-135	X(02)	AN	STATEMENT ACTIVITY SUMMARY NUMBER; this field tells the statement system what bucket in the Activity Summary section will be updated by this transaction; acceptable values include: "01" = ProCash Plus® Checks "02" = MasterCard® Activity "03" = Securities Bought and Sold "04" = Cash Withdrawals and Deposits "05" = Withdrawals and Deposits of Securities "06" = Fees

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"07" = Dividends and Interest "08" = Taxes Withheld (cont.)
			"10" = Money Fund Activity "11" = Other "12" = Distributions "13" = Money Market Deposit Account Activity
136-139	X(04)	AN	STATEMENT TRANSACTION INDICATOR; this field tells the statement system that transactions with this source code will need to be displayed in the Transaction section; acceptable values include: "ATYP" = Display in Transaction section BLANK = Do not display in Transaction section
140-141	X(02)	AN	STATEMENT TRANSACTION NUMBER; this field tells the statement system what subsection in transaction by type this transaction will appear. <b>NOTE:</b> not all IBDs get their transactions broken out by type, but this is an option; acceptable values include: "01" = ProCash Plus Checks "02" = MasterCard Activity "03" = Securities Bought and Sold "04" = Cash Withdrawals and Deposits "05" = Withdrawals and Deposits of Securities "06" = Fees "07" = Dividends and Interest "08" = Taxes Withheld "10" = Money Fund Activity "11" = Other "12" = Distributions "13" = Money Market Deposit Account Activity
142-145	X(04)	AN	STATEMENT DISTRIBUTION INDICATOR; this field tells the statement system that the transaction is a distribution; acceptable values include: "DIST" = Transaction is a distribution BLANK = Transaction is not a distribution
146-147	X(02)	AN	STATEMENT DISTRIBUTION NUMBER; this field tells the statement system what bucket in the Dividend, Interest and Distribution section will be updated by this transaction; acceptable values include:

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POSITION	PICTURE	TYPE	DESCRIPTION
			"01" = Short Term Capital Gain "02" = Long Term Capital Gain "03" = Unspecified Capital Gain "04" = Limited Partnership Distributions (cont.)
			"05" = Principal Distributions "09" = Other "10" = Total Distributions
148-148	X(01)	AN	STATEMENT DISTRIBUTION TAXABLE INDICATOR; this field tells the statement system if the distribution transaction is taxable or nontaxable; acceptable values include: "N" = Nontaxable "T" = Taxable
149-152	X(04)	AN	STATEMENT DIVIDEND INDICATOR; this field tells the statement system that the transaction is either dividend or interest; acceptable values include: "DIVT" = Dividend BLANK = Interest
153-154	X(02)	AN	STATEMENT DIVIDEND NUMBER; this field tells the statement system what bucket in the Dividend, Interest and Distribution section will be updated by this transaction; acceptable values include: "01" = Asset Backed Securities "02" = U.S. Treasury Interest "03" = Other U.S. Government Bonds "04" = Corporate Bond Interest "05" = Municipal Bond Interest "07" = Unit Investment Trust Dividends "08" = Mutual Fund Dividends "09" = Cash Dividends on Equities "10" = Credit Interest Income "11" = Margin Interest Income "12" = Money Fund Income "00" or "15" = Other "16" = Dividends and Interest Total
155-155	X(01)	AN	STATEMENT DIVIDEND TAXABLE INDICATOR; this field tells the statement system if the dividend transaction

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POSITION	PICTURE	TYPE	DESCRIPTION
			is taxable or nontaxable; acceptable values include: "N" = Nontaxable "T" = Taxable
156-158	X(03)	AN	DEPARTMENT; this is the corresponding department in Pershing (for instance CPS, NC, CIM, CSQ, and GBL)
159-180	X(22)	AN	MANAGER; this indicates the group by which this source (cont.)
			code is managed, for instance Pricing, Interest Control, and Global Customers
181-202	X(22)	AN	Not Used
203-204	X(02)	AN	KEY CODE 1
205-206	X(02)	AN	KEY CODE 2
207-208	X(02)	AN	KEY CODE 3
209-210	X(02)	AN	KEY CODE 4
211-212	X(02)	AN	KEY CODE 5
213-214	X(02)	AN	KEY CODE 6
215-216	X(02)	AN	KEY CODE 7
217-218	X(02)	AN	KEY CODE 8
219-220	X(02)	AN	KEY CODE 9
221-228	X(08)	AN	ADDED BY; this is the user ID which was used to add this record
229-236	X(08)	AN	UPDATED BY
237-237	X(01)	AN	MANAGER INDICATOR
238-239	X(02)	AN	MANAGER GROUP
240-240	X(01)	AN	PORT INDICATOR
241-241	X(01)	AN	REINVEST INDICATOR
242-249	X(08)	AN	Not Used
250-250	X(01)	AN	Literally "X"; indicates the end of the detail record

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF" followed by 18 "B" characters followed by "PERSHING" followed by 1 "B" character (end of Pershing file)
019-036	X(18)	AN	Literally "SOURCE" followed by 2 "B" characters followed by "CODES" followed by 14 "B" characters
037-046	X(10)	AN	Literally "B" followed by "DATA" followed by "OF" followed by 2 "B" characters

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
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"
072-083	X(12)	AN	Literally " <b>B</b> ENDS <b>B</b> HERE. <b>B</b> "
084-105	X(22)	AN	Literally "TOTAL <b>B</b> DETAIL <b>B</b> RECORDS. <b>B</b> "
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