

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: KUST MISSING DOCUMENTS DETAILS

GENERAL INFORMATION

File Frequency: Daily/Weekly/Monthly
 Record Size: 132 characters
 Process Name: NDM—NDM157DP; Base – PRJ151DP; InfoDirect—INF151DP;
 FTP—DTM151D\$
 Form Name: KTMS

DESCRIPTION

KTMS is the Missing Documents section of the Documentation Recording and Tracking System (KUST). This file provides the introducing broker dealer with such things as the document category name, age, code description etc.

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)
019-036	X(18)	AN	Literally “KUST B B MISS B B FILE B B ”
037-046	X(10)	AN	Literally “ B 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 end of header record

DETAIL RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	RECORD IDENTIFIER = “KM”
003-003	X(01)	A	RECORD INDICATOR = “A”

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POSITION	PICTURE	TYPE	DESCRIPTION
004-009	9(06)	N	RECORD SEQUENCE NUMBER BEGINNING WITH "000001"
010-018	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3);BASE ACCOUNT NUMBER (6)
019-053	X(35)	AN	DOCUMENT CATEGORY NAME
054-057	X(04)	AN	DOCUMENT CODE; see Appendix M, Document Codes
058-102	X(45)	AN	DOCUMENT DESCRIPTION
103-105	X(03)	AN	DOCUMENT AGE; in days
106-106	X(01)	AN	DOCUMENT REQUIRED; acceptable values include: "O" = Required by IBD "P" and "R" = Pershing Required
107-131	X(25)	AN	Not Used
132-132	X(01)	AN	Literally "X"; indicates end of detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF" followed by 18 B's followed by "PERSHING" followed by 1 B (end of Pershing file)
019-036	X(18)	AN	Literally KUST followed by 2 B's followed by "MISS" followed by 2 B's followed by "FILE" followed by 2 B's
037-046	X(10)	AN	Literally "DATA" 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 followed by "REMOTE" followed by 1 B
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-105	X(34)	AN	Literally "ENDS" followed by 34 B's followed by "HERE." followed by 1 B
106-115	9(10)	N	NUMBER OF DETAIL RECORDS (number physical lines minus the header and trailer)
116-131	X(16)	AN	Not Used
132-132	X(01)	AN	Literally "Z"; indicates end of trailer record