

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: M12B

GENERAL INFORMATION

File Frequency: Monthly or Daily
 Record Size: 250 characters
 Process Name: NDM—PRJ139DP; Base—PRJ138DP; FTP—DTM138D\$
 Form Name: M12B

DESCRIPTION

The monthly 12B1 filed (M12B) contains 12b-1 trail fees that have been passed to Pershing from the NSCC. The information represents the commission fees that are credited to the introducing broker/dealer's (IBDs) sundry account and that is eventually credited to the investment professional of record for the associated transactions.

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 "12B1 B STANDARD B FILE"
037-046	X(10)	A	Literally " B DATA B OF B B "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	A	Literally " B TO B REMOTE B "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	A	Literally " B BEGINS B HERE B B "
086-095	X(10)	AN	RUN DATE = "MM/DD/CCYY"
096-096	X(01)	A	Not Used
097-104	X(08)	AN	RUN TIME = "HH:MM:SS"
105-249	X(145)	A	Not Used
250-250	X(01)	A	Literally "A"; indicates the end of the header record

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "MB"
003-003	X(01)	A	RECORD INDICATOR VALUE = "A"

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POSITION	PICTURE	TYPE	DESCRIPTION
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "000001"
010-013	X(04)	AN	FOUR-CHARACTER IDENTIFIER FOR THE FUND FAMILY OF THE TRANSACTION
014-022	X(09)	AN	CUSIP® NUMBER FOR THIS TRANSACTION
023-030	X(08)	AN	TRANSACTION PROCESSING DATE = "CCYYMMDD"
031-033	X(03)	AN	THREE-CHARACTER BRANCH CODE
034-036	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
037-068	X(32)	AN	IBD NAME
069-071	X(03)	AN	CUSTOMER ACCOUNT BRANCH CODE
072-077	X(06)	AN	CUSTOMER ACCOUNT BASE CODE
078-087	X(10)	AN	CUSTOMER SHORT NAME
088-088	X(01)	AN	INDICATES THIS WAS A PERSHING TRANSACTION; acceptable values include: "1" = Not a Pershing Transaction "1" = Is a Pershing Transaction
089-092	X(04)	AN	INVESTMENT PROFESSION (IP) NUMBER
093-117	X(25)	AN	IP NAME
118-127	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (6); TYPE (1); acceptable values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "4" = Special Subs "5" = Arbitrage "8" = Precious Metals "9" = Income
128-128	X(01)	AN	NETWORKING INDICATOR; acceptable values include: "0" = Not-Network "1" = Level-1 "2" = Level-2 "3" = Level-3 "4" = Level-4
129-143	9(07)v9(08)	N	TRANSACTION COMMISSION AMOUNT
144-144	X(01)	AN	CREDIT/DEBIT INDICATOR; acceptable values include: "1" = Debit "2" = Credit
145-145	X(01)	AN	CUSTOMER TYPE INDICATOR; acceptable values include: "1" = Dealer "2" = Fund
146-165	X(20)	AN	TRANSACTION DESCRIPTION 1

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POSITION	PICTURE	TYPE	DESCRIPTION
166-185	X(20)	AN	TRANSACTION DESCRIPTION 2
186-205	X(20)	AN	TRANSACTION DESCRIPTION 3
206-225	X(20)	AN	TRANSACTION DESCRIPTION 4
226-228	X(03)	AN	SOURCE CODE; acceptable values include: “/MF” = 12b1 Payment Type “/FF” = All Other Payment Types
229-246	9(16)v9(02)	N	AVERAGE DAILY ASSETS ASSOCIATED WITH A 12B1 PAYMENT AS PROVIDED TO PERSHING BY THE FUND COMPANY
247-249	X(03)	AN	Not Used
250-240	X(01)	A	Literally “X”; indicates the end of the detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOF B B B B B PERSHING” (end of Pershing file)
019-036	X(18)	AN	Literally “12B1 B STANDARD B FILE”
037-046	X(10)	A	Literally “ B DATA B OF B B ”
047-056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057-067	X(11)	A	Literally “ B TO B REMOTE B ”
068-071	X(04)	AN	REMOTE ID = “XXXX”
072-083	X(12)	A	Literally “ B ENDS B HERE B ”
084-105	X(22)	A	Literally TOTAL B DETAIL B RECORDS: B ”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-249	X(134)	A	Not Used
250-250	X(01)	A	Literally “Z”; indicates the end of the trailer record