

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: GLOBAL CUSTOMER POSITION

GENERAL INFORMATION

File Frequency: Daily
Record Size: 750 characters
Form Name: GCUS

DESCRIPTION

The Global Customer Position file (GCUS) is created after the close of business each day. The file reflects account positions within your office range on an update and refresh basis. Records can be passed to your firm on an update or refresh basis and include security descriptions.

This file is replacing the original CUST file, which was created in 1991, and has some significant data enhancements. The three most important ones are:

- Foreign currency is also displayed on this file as a position and identified with a Currency/Security Position Indicator of C.
- Foreign currency is assigned a user CUSIP® beginning with the currency code (such as GBR999997 for British pounds).
- US currency is also displayed on this file as a position with a user CUSIP of USD999997.

US dollar currency amounts and balances will continue to be displayed on the Global Moneyline (GMON) file.

Note: This file contains information on Security positions only. Money Fund positions are shown separately on our FUND file and Annuity holdings are shown separately on our ASPS file.

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF BBBBBB PERSHING B " (beginning of Pershing file)
019-036	X(18)	AN	Literally "GLOBAL B CUST B POS BBB "
037-046	X(10)	AN	Literally " B DATA B OF BB "
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 BB "
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"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED/NOT APPLICABLE – literally "REFRESHED", "UPDATED BB ", or " BBBBBBBBBB "
128-749	X(622)	AN	Not Used
750-750	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 = "GC"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1); TYPE (1); acceptable values for TYPE include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
022-030	X(09)	AN	CUSIP® NUMBER
031-034	X(04)	AN	Not Used
035-043	X(09)	AN	UNDERLYING CUSIP NUMBER
044-047	X(04)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
048-050	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD NUMBER
051-053	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
054-054	X(01)	AN	CURRENCY/SECURITY POSITION INDICATOR; acceptable values include: “C” = Currency Position “S” = Security Position
055-057	X(03)	AN	ISSUE CURRENCY; see Appendix N, “Currency Codes”
058-065	9(08)	N	DATE STAMP/TRADE DATE = “CCYYMMDD”; the date the TRADE DATE quantity was last updated
066-073	9(08)	N	DATE STAMP/SETTLEMENT DATE = “CCYYMMDD”; the date the SETTLEMENT DATE quantity was last updated
074-091	9(13)v9(05)	N	TRADE DATE QUANTITY; number of shares traded, but not yet settled
092-092	X(01)	AN	TRADE DATE QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
093-110	9(13)v9(05)	N	SETTLEMENT DATE QUANTITY; the books and records position (for instance, the position shown on your clients’ brokerage statements); it reflects all securities that are received or delivered and all settled trades; it does not include pending trades
111-111	X(01)	AN	SETTLEMENT DATE QUANTITY SIGN: acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
112-129	9(13)v9(05)	N	SEG QUANTITY (MEMO); the securities held in street name
130-130	X(01)	AN	SEG QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
131-148	9(13)v9(05)	N	SAFEKEEPING QUANTITY (MEMO); number of shares registered in the customer’s name
149-149	X(01)	AN	SAFEKEEPING QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
150-167	9(13)v9(05)	N	TRANSFER QUANTITY (MEMO); number of shares in the process of being registered in the customer’s name
168-168	X(01)	AN	TRANSFER QUANTITY SIGN; acceptable values include: “+” = Long Position

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“-” = Short Position (cont.)
			“ B ” = Not Applicable
169-186	9(13)v9(05)	N	PENDING TRANSFER QUANTITY; the number of shares currently pending the transfer process
187-187	X(01)	AN	PENDING TRANSFER QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
188-205	9(13)v9(05)	N	LEGAL TRANSFER QUANTITY; the number of shares awaiting clearance at the transfer agent
206-206	X(01)	AN	LEGAL TRANSFER QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
207-224	9(13)v9(05)	N	TENDERED (REORG) QUANTITY (MEMO); number of shares submitted with instructions to participate in a corporate reorganization (e.g., exchange, tender, redemption, etc.)
225-225	X(01)	AN	TENDERED QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
226-243	9(13)v9(05)	N	PENDING PAPERS (MEMO); number of shares pending the receipt of documents to make them negotiable
244-244	X(01)	AN	PENDING PAPERS SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
245-262	9(13)v9(05)	N	SHORT AGAINST THE BOX QUANTITY (MEMO)
263-263	X(01)	AN	SHORT AGAINST THE BOX QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
264-281	9(13)v9(05)	N	NETWORKED QUANTITY (MEMO)
282-282	X(01)	AN	NETWORKED QUANTITY SIGN; acceptable values include: “+” = Long Position “-” = Short Position “ B ” = Not Applicable
283-300	9(13)v9(05)	N	PENDING SPLIT QUANTITY (MEMO); quantity of the security that is subject to a pending stock distribution

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
301-301	X(01)	AN	PENDING SPLIT QUANTITY SIGN; acceptable values include: (cont.)
			“+” = Long Position “-” = Short Position “ B ” = Not Applicable
302-319	9(13)v9(05)	N	QUANTITY COVERING OPTIONS or COVERED QUANTITY
320-320	X(01)	AN	QUANTITY COVERING OPTIONS or COVERED QUANTITY SIGN; acceptable values include:
			“+” = Long Position “-” = Short Position “ B ” = Not Applicable
321-338	9(13)v9(05)	N	TRADE DATE QUANTITY BOUGHT
339-339	X(01)	AN	TRADE DATE QUANTITY BOUGHT SIGN; acceptable values include:
			“+” = Long Position “-” = Short Position “ B ” = Not Applicable
340-357	9(13)v9(05)	N	TRADE DATE QUANTITY SOLD
358-358	X(01)	AN	TRADE DATE QUANTITY SOLD SIGN; acceptable values include:
			“+” = Long Position “-” = Short Position “ B ” = Not Applicable
REQUIREMENTS			
359-376	9(16)v9(02)	N	FED (REG T) REQUIREMENT
377-377	X(01)	AN	FED REQUIREMENT SIGN; acceptable values include:
			“+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
378-395	9(16)v9(02)	N	HOUSE (PERSHING) MARGIN REQUIREMENT
396-396	X(01)	AN	HOUSE MARGIN REQUIREMENT SIGN; acceptable values include:
			“+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
397-414	9(16)v9(02)	N	EXCHANGE (NYSE) REQUIREMENT
415-415	X(01)	AN	EXCHANGE REQUIREMENT SIGN; acceptable values include:
			“+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
416-433	9(16)v9(02)	N	EQUITY REQUIREMENT
434-434	X(01)	AN	EQUITY REQUIREMENT SIGN; acceptable values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
SELECTED SECURITY INFORMATION			
435-443	X(09)	AN	SECURITY SYMBOL
444-444	X(01)	AN	SECURITY TYPE; see Appendix B, “Security Code Matrix”
445-445	X(01)	AN	SECURITY MOD; see Appendix B, “Security Code Matrix”
446-446	X(01)	AN	SECURITY CALC; see Appendix B, “Security Code Matrix”
447-449	X(03)	AN	MINOR PRODUCT CODE; See Appendix B, “Minor Product Codes”
450-450	X(01)	AN	NETWORK ELIGIBILITY INDICATOR
451-468	9(09)v9(09)	N	STRIKE PRICE
469-469	X(01)	AN	STRIKE PRICE SIGN; acceptable values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
470-477	9(08)	N	EXPIRATION/MATURITY DATE = “CCYYMMDD”
478-495	9(13)v9(5)	N	CONTRACT SIZE
496-513	9(09)v9(9)	N	CONVERSION RATIO
SELECTED CUSTOMER ACCOUNT INFORMATION (for positions 514-529)			
514-523	X(10)	AN	ACCOUNT SHORT NAME
524-526	X(03)	AN	STATE CODE
527-529	X(03)	AN	COUNTRY CODE
530-533	X(04)	AN	For Pershing Internal Use (maxxprodline)
534-537	9(04)	N	NUMBER OF DESCRIPTION LINES
538-557	X(20)	AN	DESCRIPTION LINE 1
558-577	X(20)	AN	DESCRIPTION LINE 2
578-597	X(20)	AN	DESCRIPTION LINE 3
598-617	X(20)	AN	DESCRIPTION LINE 4
618-637	X(20)	AN	DESCRIPTION LINE 5
638-657	X(20)	AN	DESCRIPTION LINE 6
658-658	X(01)	AN	DIVIDEND OPTION; acceptable values include: “C” = Cash “R” = Reinvest “ B ” = Not Applicable
659-659	X(01)	AN	LONG TERM CAPITAL GAINS OPTION (MF only); acceptable values include: “C” = Cash “R” = Reinvest

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ B ” = Not Applicable
660-660	X(01)	AN	SHORT TERM CAPITAL GAINS OPTION; acceptable values include: “C” = Cash “R” = Reinvest “ B ” = Not Applicable
661-661	X(01)	AN	FIRM TRADING INDICATOR
662-664	X(03)	AN	POSITION CURRENCY
665-682	9(15)V9(03)	AN	TRADE DATE LIQUIDATING VALUE
683-683	X(01)	AN	TRADE DATE LIQUIDATING VALUE SIGN; acceptable values include: “+” = Long Market Value “-” = Short Market Value “ B ” = Not Applicable
684-693	9(02)V9(08)	AN	POOL FACTOR
694-694	X(01)	AN	POOL FACTOR SIGN; acceptable values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
695-712	9(08)V9(10)	AN	EXCHANGE RATE
713-713	X(01)	AN	EXCHANGE RATE SIGN; acceptable values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
714-731	9(15)v9(03)	N	SETTLEMENT DATE LIQUIDATING VALUE
732-732	X(01)	AN	SETTLEMENT DATE LIQUIDATING VALUE SIGN; acceptable values include: “+” = Long Market Value “-” = Short Market Value “ B ” = Not Applicable
733-735	X(03)	AN	For Internal Pershing Use (Display Currency)
736-736	X(01)	AN	ALTERNATE SECURITY ID TYPE, acceptable values include: “I” = ISIN
737-748	X(12)	AN	ALTERNATE SECURITY ID
749-749	X(01)	AN	Not Used
750-750	X(01)	AN	END OF RECORD DELIMITER “X”

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "GC"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1); TYPE (1); (see Record A, 012-021, for acceptable values for TYPE)
022-030	X(09)	AN	CUSIP NUMBER
031-034	X(04)	AN	Not Used
035-043	X(09)	AN	UNDERLYING CUSIP NUMBER
044-047	X(04)	AN	Not Used
048-050	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD NUMBER
051-053	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
054-071	9(13)v9(05)	N	FULLY PAID LENDING QUANTITY
072-072	X(01)	AN	FULLY PAID LENDING QUANTITY SIGN; acceptable values include: "+ " = Long Position "- " = Short Position
073-090	9(15)v9(03)	N	FULLY PAID LENDING QUANTITY COLLATERAL AMOUNT
091-091	X(01)	AN	FULLY PAID LENDING QUANTITY COLLATERAL AMOUNT SIGN; acceptable values include: "+ " = Positive Amount "- " = Negative Amount
OCC DATA SET – The following four fields comprise the OCC DATA SET to be used in lieu of the OPRA Symbol. They apply only to Options Products (not all fields will be populated until February, 2010).			
092-097	X(06)	AN	OPTION ROOT ID
098-103	9(06)	N	EXPIRATION DATE, in YYMMDD format
104-104	X(01)	AN	CALL/PUT Indicator, acceptable values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put
105-112	9(05)v9(03)	N	STRIKE PRICE
113-749	X(637)	AN	Not Used
750-750	X(01)	AN	END OF RECORD DELIMITER "X"

PERSHING STANDARD FILE LAYOUTS

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF BBBBBB PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "GLOBAL B CUST B POS BBB "
037-046	X(10)	AN	Literally " B DATA B OF BB "
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"
072-105	X(34)	AN	Literally " B ENDS B HERE B TOTAL B DETAIL B RECORDS: B "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED/NOT APPLICABLE – Literally "REFRESHED", "UPDATED BB ", or " BBBBBBBBBB "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record