

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: GLOBAL OPEN ORDER AND TRADE EXECUTION

GENERAL INFORMATION

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

DESCRIPTION

The Global Open Order and Trade Execution (GOTX) file is created from the Books and Records system. This file contains all of the data pertinent to global orders and open orders, including security information, quantities, and prices.

The file contains A, B, and C records:

- A relates to full order information
- B relates to trade execution information
- C relates to generic information

Be aware of the following:

1. A given order can have an A and C record with no B record. This would indicate an open order not executed yet.
 2. Multiple A, B, and C records are possible (orders with multiple executions).
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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 "ORD/OPN B ORD B & B EXEC"
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"

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POSITION	PICTURE	TYPE	DESCRIPTION
105-749	X(645)	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 = "OX"
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 (6); TYPE (1)
022-022	X(01)	AN	Not Used
023-025	X(03)	AN	INTRODUCING BROKER NUMBER (IBD)
026-028	X(03)	AN	Not Used
029-031	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
032-032	X(01)	AN	Not Used
033-042	X(10)	AN	ACCOUNT SHORT NAME
ORDER/EXECUTION IDENTIFIERS			
043-060	X(18)	AN	ORDER IDENTIFIER
061-064	X(04)	AN	ORDER SEQUENCE NUMBER
065-084	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; order identifier from the source system
085-086	X(02)	AN	SOURCE SYSTEM ID; see Appendix W, Source System Source ID
087-092	X(06)	AN	P&S REFERENCE NUMBER, if available
093-112	X(20)	AN	INTERNAL ORDER REFERENCE NUMBER
113-132	X(20)	AN	INTERNAL EXECUTION REFERENCE NUMBER
133-153	X(21)	AN	Not Used
DATES AND TIMES			
154-161	9(08)	N	SOURCE SYSTEM CREATION DATE = "CCYYMMDD"
162-173	9(12)	N	SOURCE SYSTEM CREATION TIME = "HHMMSSNNNNNN"
174-188	X(15)	AN	SOURCE SYSTEM CREATION USER ID
189-196	9(08)	N	SOURCE SYSTEM UPDATE DATE = "CCYYMMDD"
197-208	9(12)	N	SOURCE SYSTEM UPDATE TIME = "HHMMSSNNNNNN"
209-216	X(08)	AN	SOURCE SYSTEM UPDATE USER ID
217-236	X(20)	AN	Not Used
TRANSACTION CHARACTERISTICS			
237-238	X(02)	AN	TRANSACTION RECORD TYPE; acceptable values include: "01" = New Order (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"02" = Cancelled Order "03" = Renewed Order "04" = Corporate Action "05" = Dropped "06" = Cancelled and Replaced Order "07" = Replaced Order "08" = Execution Only Order "09" = SFX Execution "10" = Corrected Order "11" = Cancel/Replace Add-On "BB" = Not Applicable
239-240	X(02)	AN	ORDER TYPE CODE; acceptable values include: "01" = Simple Order "02" = Complex Order "03" = Exchange Order "04" = Exchange Order "05" = Trade "06" = Cash Adjustment "98" = Other "99" = Type Unknown "BB" = Not Applicable
241-242	X(02)	AN	ORDER/EXECUTION STATUS CODE; acceptable values include: "01" = Open Order "02" = Partially Filled "03" = Fully Filled "99" = Execution Status Not Available "BB" = Not Applicable
243-248	X(06)	AN	Not Used
249-249	X(01)	AN	BUY/SELL CODE; acceptable values include: "B" = Buy "S" = Sell "B" = Buy/Sell Code Not Available
250-251	X(02)	AN	BUY/SELL QUALIFIER INDICATOR; acceptable values include: "01" = Buy "02" = Buy Minus "03" = Sell "04" = Sell Plus "05" = Short Sale "99" = Not Available "BB" = Not Applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
252-260	X(09)	AN	CUSIP® NUMBER
261-267	X(07)	AN	Not Used
268-283	X(16)	AN	SYMBOL
DATE/TIME ORDER RECEIVED ON IBD'S SYSTEM			
284-291	9(08)	N	ORDER RECEIPT DATE = "CCYYMMDD"
292-303	9(12)	N	ORDER RECEIPT TIME = "HHMMSSNNNNNN"
304-313	X(10)	AN	ORDER RECEIPT TIME ZONE "NYT BBBBBBBB " = New York Time "UTC BBBBBBBB " = Coordinated Universal Time " BBBBBBBBBBBB " = Time Zone Not Available
314-323	X(10)	AN	Not Used
DATE/TIME ORDER ENTERED INTO PERSHING'S SYSTEM BY IBD'S CUSTOMER			
324-331	9(08)	N	PERSHING ORDER ENTRY DATE = "CCYYMMDD"
332-343	9(12)	N	PERSHING ORDER ENTRY TIME = "HHMMSSNNNNNN"
344-353	X(10)	AN	PERSHING ORDER ENTRY TIME ZONE "NYT BBBBBBBB " = New York Time "UTC BBBBBBBB " = Coordinated Universal Time " BBBBBBBBBBBB " = Time Zone Not Available
354-363	X(10)	AN	Not Used
DATE/TIME ORDER WAS RECEIVED FROM IBD BY PERSHING			
364-371	9(08)	N	PERSHING ORDER RECEIPT DATE = "CCYYMMDD"
372-383	9(12)	N	PERSHING ORDER RECEIPT TIME = "HHMMSSNNNNNN"
384-393	X(10)	AN	PERSHING ORDER RECEIPT TIME ZONE "NYT BBBBBBBB " = New York Time "UTC BBBBBBBB " = Coordinated Universal Time " BBBBBBBBBBBB " = Time Zone Not Available
394-403	X(10)	AN	Not Used
DATE/TIME ORDER ENTERED VIA EXTERNAL (NON-PERSHING) SYSTEM			
404-411	9(08)	N	EXTERNAL SYSTEM ORDER ENTRY DATE = "CCYYMMDD"
412-423	9(12)	N	EXTERNAL SYSTEM ORDER ENTRY TIME = "HHMMSSNNNNNN"
424-433	X(10)	AN	EXTERNAL SYSTEM ORDER ENTRY TIME ZONE "NYT" = New York Time "UTC" = Coordinated Universal Time " BBB " = Time Zone Not Available
434-441	9(08)	N	ORDER EXPIRATION DATE = "CCYYMMDD"
442-453	9(12)	N	ORDER EXPIRATION TIME = "HHMMSSNNNNNN"
454-463	X(10)	AN	Not Used
ORDER CHARACTERISTICS – USED TO DEFINE RECORD			

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
464-481	9(13)v9(05)	N	INPUT SHARE QUANTITY
482-482	X(01)	AN	INPUT SHARE QUANTITY SIGN; acceptable values include: “+” = Positive “-“ = Negative “ B ” = Not Applicable or Zeroes
483-484	X(02)	AN	LOT TYPE CODE; acceptable values include: “01” = Round Lot “02” = Odd Lot “03” = Mixed Lot “99” = Unknown Lot “ BB ” = Not Applicable or Available
485-502	9(13)v9(5)	N	ROUTED QUANTITY
503-503	X(01)	AN	ROUTED QUANTITY SIGN; acceptable values include: “+” = Positive “-“ = Negative “ B ” = Not Applicable or Zeroes
504-521	9(13)v9(5)	N	CANCELLED QUANTITY
522-522	X(01)	AN	CANCELLED QUANTITY SIGN; acceptable values include: “+” = Positive “-“ = Negative “ B ” = Not Applicable or Zeroes
523-540	9(09)v9(09)	N	LIMIT PRICE
541-541	X(01)	AN	Not Used
542-544	X(03)	AN	CURRENCY
545-562	9(09)v9(09)	N	INCREMENTAL DISCRETIONARY PRICE
563-563	X(01)	AN	Not Used
564-581	9(09)v9(09)	N	STOP PRICE
582-582	X(01)	AN	Not Used
583-584	X(02)	AN	PRICE QUALIFIER CODE; acceptable values include: “01” = Basis “02” = OB “03” = WOW “04” = MIT “05” = Stop “06” = CLO “99” = Unknown
585-586	X(02)	AN	PRICE TYPE CODE; acceptable values include: “01” = Market Order “02” = Limit Order “03” = Stop Order

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"04" = Stop Limit Order "05" = Over Parity "06" = Under Parity "07" = Parity "99" = Not Available
587-587	X(01)	AN	COMPLEX ORDER INSTRUCTIONS; acceptable values include: "1" = Spread "2" = Straddle "3" = Combo "4" = Hedge "5" = Or (at limit price OR market on close) "6" = Switch "7" = SFX "8" = Two-Sided Cross "9" = Unknown or Unavailable
588-590	X(03)	AN	Not Used
591-608	9(08)v9(10)	N	COMPLEX ORDER PRICE AMOUNT
609-609	X(01)	AN	COMPLEX ORDER PRICE AMOUNT SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
610-611	X(02)	AN	COMPLEX ORDER PRICE INSTRUCTION CODE; acceptable values include: "1B" = Credit "2B" = Debit "9B" = Unknown
612-631	X(20)	AN	ORDER RELATOR ID
632-635	X(04)	AN	FIRST WIRE CODE
636-637	X(02)	AN	CANCEL STATUS CODE; acceptable values include: "01" = Full "02" = Replaced "03" = Partial "99" = Status Not Available
638-638	X(01)	AN	CANCEL CORRECT REASON CODE; acceptable values include: "N" = Not Cancelled; corrected or restored "U" = Corrected Entry Date "D" = Deleted on Entry Date "R" = Restored; today's correction/deletion annulled "C" = Corrected After Entering P&S, but before settling (cont)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"X" = Cancelled After Entering P&S, but before settling "Z" = Cancelled as a result of earlier Pre-Settlement correction "1" = Corrected After Settlement "2" = Corrected as a result of earlier Pre-Settlement correction "5" = Cancelled Post-Settlement "6" = NSCC Notification "9" = Reason Not Available
639-639	X(01)	AN	OPTION OPEN/CLOSE CODE; acceptable values include: "1" = Open "2" = Close "9" = Not Available
640-640	X(01)	AN	OPTION PUT/CALL CODE; acceptable values include: "1" = Call "2" = Put "9" = Not Available
641-642	X(02)	AN	CUSTOMER/FIRM INDICATOR; acceptable values include: "01" = Customer Account "02" = Firm Account "03" = Broker/Dealer Account "99" = Broker/Dealer Unknown
643-643	X(01)	AN	DISCRETION EXERCISED; acceptable values include: "Y" = Discretion was Exercised "N" = No Discretion Exercised "U" = Unknown
644-644	X(01)	AN	SOLICITED INDICATOR; acceptable values include: "Y" = Solicited "N" = Unsolicited "U" = Unknown
645-647	X(03)	AN	PRINCIPAL/AGENCY CODE; see Appendix V, Principal/Agency Codes
648-649	X(02)	AN	TIME IN FORCE CODE; acceptable values include: "01" = Day "02" = GTC (Good Till Cancelled) "03" = Fill or Kill "04" = Immediate or Cancel "05" = Open Only "06" = GTC, Eligible for Extended Market "07" = Good until Day "08" = Good for Month "09" = Good for Week "10" = Good until Time "11" = Pre-Market Session

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POSITION	PICTURE	TYPE	DESCRIPTION
			"12" = After-Market Session "13" = Crossing Session "99" = Not Available
650-650	X(01)	AN	ALL OR NONE INDICATOR; acceptable values include: "Y" = All "N" = None "U" = Unknown
651-651	X(01)	AN	NOT HELD INDICATOR; acceptable values include: "Y" = Yes "N" = No "U" = Unknown
652-652	X(01)	AN	DO NOT INCREASE QUANTITY INDICATOR; acceptable values include: "Y" = Yes "N" = No "U" = Unknown
653-653	X(01)	AN	DO NOT REDUCE PRICE INDICATOR; acceptable values include: "Y" = Yes "N" = No "U" = Unknown
654-654	X(01)	AN	SPECIAL DISPLAY INDICATOR; acceptable values include: "Y" = Display "N" = Do Not Display "U" = Not Available
655-658	X(04)	AN	CLEARING MEMBER TRADING AGREEMENT ID
659-659	X(01)	AN	OATS SUBMISSION INDICATOR; acceptable values include: "Y" = Yes "N" = No "U" = Unknown
660-660	X(01)	AN	RISKLESS PRINCIPAL CODE; acceptable values include: "1" = Customer "2" = Firm "9" = Not Available
661-680	X(20)	AN	Not Used
SPECIAL SETTLEMENT CRITERIA			
681-681	X(01)	AN	SPECIAL SETTLEMENT PERIOD CODE;
			acceptable values include: "1" = Cash "2" = Next Day "3" = Seller

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POSITION	PICTURE	TYPE	DESCRIPTION
			“4” = BOES Registered Seller “9” = Not Available
682-682	X(01)	AN	Not Used
683-685	9(03)	N	SPECIAL SETTLEMENT NUMBER OF DAYS
686-691	X(06)	AN	Not Used
APPROVALS			
692-693	X(02)	AN	ORDER APPROVAL STATUS CODE; acceptable values include: “01” = Approved “02” = Pending “03” = Rejected “04” = Cancelled “05” = Skipped “99” = Not Available
694-694	X(01)	AN	ORDER APPROVAL SYSTEM ID; acceptable values include: “1” = BrokerView “9” = Not Available
695-749	X(55)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of the detail record

DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “OX”
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 (6); TYPE (1)
022-022	X(01)	AN	Not Used
023-025	X(03)	AN	INTRODUCING BROKER NUMBER
026-028	X(03)	AN	Not Used
029-031	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
032-032	X(01)	AN	Not Used
033-042	X(10)	AN	ACCOUNT SHORT NAME
ORDER/EXECUTION IDENTIFIERS			
043-060	X(18)	AN	ORDER IDENTIFIER
061-064	X(04)	AN	ORDER SEQUENCE NUMBER
065-084	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; order identifier from the source system
085-086	X(02)	AN	SOURCE SYSTEM ID; see Appendix W, Source System Source ID

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
087-092	X(06)	AN	P&S REFERENCE NUMBER, if available
093-112	X(20)	AN	INTERNAL ORDER REFERENCE NUMBER
113-132	X(20)	AN	INTERNAL EXECUTION REFERENCE NUMBER
133-153	X(21)	AN	Not Used
DATES AND TIMES			
154-161	9(08)	N	SOURCE SYSTEM CREATION DATE = "CCYYMMDD"
162-173	9(12)	N	SOURCE SYSTEM CREATION TIME = "HHMMSSNNNNNN"
174-188	X(15)	AN	SOURCE SYSTEM CREATION USER ID
189-196	9(08)	N	SOURCE SYSTEM UPDATE DATA = "CCYYMMDD"
197-208	9(12)	N	SOURCE SYSTEM UPDATE TIME = "HHMMSSNNNNNN"
209-216	X(08)	AN	SOURCE SYSTEM UPDATE USER ID
217-236	X(20)	AN	Not Used
ORDER CHARACTERISTICS			
237-238	X(02)	AN	TRANSACTION RECORD TYPE; acceptable values include: "01" = New Order "02" = Cancelled Order "03" = Renewed Order "04" = Corporate Action "05" = Dropped "06" = Cancelled and Replaced Order "07" = Replacing Order "08" = Execution Only Order "09" = SFX Execution "10" = Corrected Order "11" = Cancel/Replace Add-On "BB" = Not Applicable
239-240	X(02)	AN	ORDER TYPE CODE; acceptable values include: "01" = Simple "02" = Complex "03" = Exchange "04" = Exchange Trade "05" = Trade "06" = Cash Adjustment "98" = Other "99" = Unknown Order Type "BB" = Not Applicable
241-242	X(02)	AN	ORDER/EXECUTION STATUS CODE;
			acceptable values include: "01" = Open Order "02" = Partially Filled

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"03" = Fully Filled "99" = Execution Status not Available "BB" = Not Applicable
243-248	X(06)	AN	Not Used
249-249	X(01)	AN	BUY/SELL CODE; acceptable values include: "B" = Buy "S" = Sell "B" = Buy/Sell Code Not Available
250-251	X(02)	AN	BUY/SELL QUALIFIER; acceptable values include: "01" = Buy "02" = Buy Minus "03" = Sell "04" = Sell Plus "05" = Short Sale "99" = Not Available "BB" = Not Applicable
252-260	X(09)	AN	CUSIP NUMBER
261-267	X(07)	AN	Not Used
268-283	X(16)	AN	SYMBOL
EXECUTION INFORMATION			
284-285	X(02)	AN	ACTIVITY STATUS CODE; acceptable values include: "01" = Bust "02" = Correction "99" = Execution
286-303	X(18)	AN	TRADE EXECUTION IDENTIFIER
304-307	X(04)	AN	EXECUTION SEQUENCE NUMBER
308-309	X(02)	AN	TRADE MARKET CODE
310-311	X(02)	AN	TRADE BLOTTER CODE (if correction or cancel received from TCMS for the executed orders); acceptable values include: "0B" = Trade Average Price "1B" = Trade Regular "2B" = Trade Options "3B" = Trade Irregular Settle "5B" = Trade Blotter Principal "6B" = Trade Syndicate "8B" = Trade PTC - Principal "9B" = Trade Cross Agency "UB" = Trade Blotter Unknown
312-319	9(08)	N	TRADE DATE = "CCYYMMDD"

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POSITION	PICTURE	TYPE	DESCRIPTION
320-331	9(12)	N	TRADE TIME= "HHMMSSNNNNNN"
332-339	9(08)	N	SETTLEMENT DATE = "CCYYMMDD"
340-347	9(08)	N	EXECUTION DATE = "CCYYMMDD"
348-359	9(12)	N	EXECUTION TIME= "HHMMSSNNNNNN"
360-377	9(09)v9(09)	N	EXECUTION PRICE
378-378	X(01)	AN	Not Used
379-396	9(13)v9(05)	N	EXECUTION QUANTITY
397-397	X(01)	AN	EXECUTION QUANTITY SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
398-415	9(13)v9(05)	N	LEAVES QUANTITY
416-416	X(01)	AN	LEAVES QUANTITY SIGN: "+" = Positive "-" = Negative "B" = Not Applicable or Zeroes
417-424	9(08)	N	ORDER ACTIVITY STATUS UPDATE DATE = "CCYYMMDD"
425-436	9(12)	N	ORDER ACTIVITY STATUS UPDATE TIME = "HHMMSSNNNNNN"
437-442	X(06)	AN	Not Used
443-446	X(04)	AN	EXECUTION CONFIRMATION WIRE ID
447-450	9(04)	N	EXECUTION CONFIRMATION SEQUENCE NUMBER
451-462	X(12)	AN	EXECUTION CONFIRMATION TRANSACTION ID
463-465	X(03)	AN	SETTLEMENT LOCATION CODE
466-473	X(08)	AN	EXECUTION ACTIVITY SEQUENCE NUMBER
474-749	X(276)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of the detail record

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "OX"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6); TYPE (1)
022-022	X(01)	AN	Not Used
023-025	X(03)	AN	INTRODUCING BROKER NUMBER
026-028	X(03)	AN	Not Used
029-031	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
032-032	X(01)	AN	Not Used
033-042	X(10)	AN	ACCOUNT SHORT NAME
ORDER/EXECUTION IDENTIFIERS			
043-060	X(18)	AN	ORDER IDENTIFIER
061-064	X(04)	AN	ORDER SEQUENCE NUMBER
065-084	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; order identifier from the source system
085-086	X(02)	AN	SOURCE SYSTEM ID; see Appendix W, Source System Source ID
087-092	X(06)	AN	P&S REFERENCE NUMBER, if available
093-112	X(20)	AN	INTERNAL ORDER REFERENCE NUMBER
113-132	X(20)	AN	INTERNAL EXECUTION REFERENCE NUMBER
133-153	X(21)	AN	Not Used
INVESTMENT PROFESSIONAL /COMMISSION RATE INFORMATION			
154-171	9(09)v9(09)	N	COMMISSION RATE
172-172	X(01)	AN	COMMISSION/SALES CREDIT TYPE CODE; acceptable values include: "1" = Flat Rate "2" = Per Share "3" = Percent Discount "9" = Commission Type not Available
173-173	X(01)	AN	COMMISSION OVERRIDE INDICATOR; acceptable values include: "Y" = Override in Force "N" = No Override "U" = Override Unknown
174-176	X(03)	AN	PRIMARY EXECUTION INVESTMENT PROFESSIONAL NUMBER
177-177	X(01)	AN	Not Used
178-180	X(03)	AN	INVESTMENT PROFESSIONAL 2 OVERRIDE

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
181-181	X(01)	AN	Not Used
182-199	9(09)v9(09)	N	INVESTMENT PROFESSIONAL 2 PERCENTAGE
200-200	X(01)	AN	Not Used
201-203	X(03)	AN	INVESTMENT PROFESSIONAL 3 OVERRIDE
204-204	X(01)	AN	Not Used
205-222	9(09)v9(09)	N	INVESTMENT PROFESSIONAL 3 PERCENTAGE
223-223	X(01)	AN	Not Used
224-233	X(10)	AN	Not Used
MUTUAL FUND-SPECIFIC INFORMATION			
234-234	X(01)	AN	GAINS REINVESTMENT INDICATOR; acceptable values include: "Y" = Reinvest "N" = Cash "U" = Unknown
235-235	X(01)	AN	DIVIDEND REINVESTMENT INDICATOR; acceptable values include: "Y" = Reinvest "N" = Cash "U" = Unknown
236-236	X(01)	AN	CDSC WAIVER TYPE CODE; acceptable values include: "3" = No Sales "4" = Correction "5" = Death "6" = Disability "7" = Mandatory Distribution "8" = Systematic Withdrawal "9" = Defined Contribution "A" = Hardship "B" = No Commission "U" = Unknown
237-248	9(12)	N	CUTOFF TIME = "HHMMSSNNNNNN"
249-249	X(01)	AN	DELIVERY INSTRUCTION CODE; acceptable values include: "S" = Street-Side Delivery "C" = Book Entry, Customer "P" = Physical Certificate, Customer "U" = Instruction Not Available
250-250	X(01)	AN	GROSS NET LIQUID CODE; acceptable values include: "G" = Gross "N" = Net "U" = Unknown

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
251-251	X(01)	AN	MUTUAL FUNDS LEGEND CODE; see "Mutual Fund Legend Codes," Appendix K, "Legend Codes," for values.
252-252	X(01)	AN	NAV STATUS CODE; acceptable values include: "N" = Purchase Not Requested "0" = NAV Other "1" = NAV Transaction "2" = Repurchase "3" = Employee "4" = Error Correction "5" = Wrap-Fee Account "6" = Commission "7" = Commission, Defined Contribution Plan "8" = Non-Commission, Defined Contribution Plan "9" = NAV Section 529 "A" = Reinvestment "B" = NAV per Agreement "U" = Unknown
253-253	X(01)	AN	LOI/ROA CODE; acceptable values include: "L" = LOI "R" = ROA "U" = Unknown
254-271	9(16)v99	N	LOI AMOUNT OR ROA AMOUNT (based on above code)
272-272	X(01)	AN	LOI AMOUNT SIGN; acceptable values include: "+" = Positive "-" = Negative "Z" = Not Applicable or Zeroes
273-277	X(05)	AN	OFFICE OVERRIDE ID
278-278	X(01)	AN	OVER/UNDER BUY RULE CODE; acceptable values include: "0" = Buy Rule Over "U" = Buy Rule Under "N" = Buy Rule Not Applicable
279-280	X(02)	AN	TRADE STATUS CODE; acceptable values include: "01" = Trade Open "02" = Trade Confirmed "03" = Trade PAS Processing "04" = Trade Settled "99" = Trade Unknown
281-284	X(04)	AN	SECOND WIRE ID
285-288	X(04)	AN	THIRD WIRE ID
289-289	X(01)	AN	EXCHANGE RECORD INDICATOR; acceptable values include: (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“Y” = Exchange Record “N” = Do not Exchange Record “U” = Not Applicable
290-298	X(09)	AN	EXCHANGE TO CUSIP
299-311	X(13)	AN	Not Used
ADDITIONAL SECURITY INFORMATION			
312-312	X(01)	AN	SECURITY TYPE CODE; see Appendix B, “Security Code Matrix”
313-313	X(01)	AN	SECURITY MODIFIER CODE; see Appendix B, “Security Code Matrix”
314-314	X(01)	AN	SECURITY CALCULATION CODE; see Appendix B, “Security Code Matrix”
315-317	X(03)	AN	MINOR PRODUCT CODE; see Appendix B, “Minor Product Codes”
318-325	X(08)	AN	ASSET TYPE
326-333	X(08)	AN	ASSET SUBTYPE
334-341	X(08)	AN	ASSET SUB SUBTYPE
342-343	X(02)	AN	Not Used
344-352	X(09)	AN	UNDERLYING CUSIP NUMBER
353-356	X(04)	AN	Not Used
357-371	9(11)v9(04)	N	STRIKE PRICE
372-386	9(07)v9(08)	N	POOL FACTOR
387-387	X(01)	AN	NON-US SECURITY INDICATOR; acceptable values include: “1” = Non-US Security “2” = ADR/Canadian “ B ” or D” = US Security
388-388	X(01)	AN	CONTINUOUS NET SETTLEMENT ELIGIBILITY; acceptable values include: “1” = CNS Eligible “ B ” = Not CNS Eligible
389-389	X(01)	AN	DEPOSITORY TRUST COMPANY ELIGIBILITY; acceptable values include: “1” = DTC Eligible “ B ” = Not DTC Eligible
390-390	X(01)	AN	Not Used
391-398	9(08)	N	EX-DIVIDEND DATE = “CCYYMMDD”
399-406	9(08)	N	RECORD DATE = “CCYYMMDD”
407-438	X(32)	AN	ISIN IDENTIFIER
439-439	X(01)	AN	NUMBER OF DESCRIPTION LINES
440-459	X(20)	AN	DESCRIPTION LINE 1
460-479	X(20)	AN	DESCRIPTION LINE 2

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
480-499	X(20)	AN	DESCRIPTION LINE 3
500-519	X(20)	AN	DESCRIPTION LINE 4
520-539	X(20)	AN	DESCRIPTION LINE 5
540-559	X(20)	AN	DESCRIPTION LINE 6
560-565	X(06)	AN	PRIMARY EXCHANGE
566-749	X(184)	AN	Not Used
750-750	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 6 B's, "PERSHING" followed by 1 B (end of Pershing file)
019-036	X(18)	AN	Literally "ORD/OPN" followed by 1 B, "ORD" followed by 1 B, "&" followed by 1 B, "EXEC"
037-046	X(10)	AN	Literally "B" followed by 1 B, "DATA" followed by 1 B, "OF" followed by 1 B, "B" followed by 1 B
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "B" followed by 1 B, "TO" followed by 1 B, "REMOTE" followed by 1 B
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "B" followed by 1 B, "ENDS" followed by 1 B, "HERE" followed by 1 B, "B" followed by 1 B
084-105	X(22)	AN	Literally "TOTAL" followed by 1 B, "DETAIL" followed by 1 B, "RECORDS:" followed by 1 B
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-749	X(634)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record