

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: GLOBAL TRADES

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 1250 characters
 Form Name: GTDE

DESCRIPTION

The Global Trades file (GTDE) contains all Trade Date trades that were processed (executed and/or cleared) through Pershing's batch systems as of the previous business day. This file contains both the domestic and non-domestic 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 "GLBL/DOMESTIC B TRDS"
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"
105-1249	X(1145)	AN	Not Used
1250-1250	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 = "GE"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"

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POSITION	PICTURE	TYPE	DESCRIPTION
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (6); TYPE (1); acceptable values for TYPE include: “0” = COD “1” = Cash “2” = Margin “3” = Short “4” = Special Subs “5” = Arbitrage “8” = Precious Metal “9” = Income
022-022	X(01)	AN	Not Used
023-025	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
026-028	X(03)	AN	Not Used
029-031	X(03)	AN	Not Used
032-042	X(11)	AN	Not Used
ORDER/TRADE IDENTIFIERS			
043-062	X(20)	AN	PERSHING INTERNAL ORDER REFERENCE NUMBER
063-082	X(20)	AN	PERSHING INTERNAL TRADE REFERENCE NUMBER
083-086	9(04)	N	PERSHING INTERNAL VERSION
087-106	X(20)	AN	INTRODUCING BROKER/DEALER (IBD) ID
107-126	X(20)	AN	UNIQUE ORDER ID
127-146	X(20)	AN	ALLOCATION BLOCK ID
147-166	X(20)	AN	EXTERNAL REFERENCE NUMBER
167-186	X(20)	AN	BLOCK TRADE ID; used for FX trades
187-192	X(06)	AN	P&S REFERENCE NUMBER
193-198	X(06)	AN	Not Used
DATES AND TIMES			
199-206	9(08)	N	TRADE DATE = “CCYYMMDD”
207-212	9(06)	N	EXECUTION TIME, when available = “HHMMSS”
213-220	9(08)	N	SETTLEMENT DATE = “CCYYMMDD”
221-228	9(08)	N	PROCESS DATE = “CCYYMMDD”
229-244	X(16)	AN	Not Used
ADDITIONAL ORDER INFORMATION			
245-247	X(03)	AN	Not Used
248-248	X(01)	A	BUY/SELL CODE; acceptable values include: “B” = Buy “S” = Sell
249-257	X(09)	AN	CUSIP® NUMBER
258-264	X(07)	AN	Not Used
265-265	X(01)	AN	INTERNATIONAL SECURITY IDENTIFIER TYPE; acceptable values include: (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“C” = CUSIP “S” = Symbol “I” = ISIN “E” = SEDOL “R” = Reuters Identification Code
266-277	X(12)	AN	INTERNATIONAL SECURITY IDENTIFIER AS ENTERED ON TRANSACTION
278-286	X(09)	AN	SECURITY SYMBOL
287-293	X(07)	AN	Not Used
294-311	9(13)v9(05)	N	ORDER QUANTITY, when available
312-312	X(01)	AN	ORDER QUANTITY SIGN; acceptable values include: “+” = Positive Quantity “-” = Negative Quantity “ B ” = Not Available or Zeroes
313-321	9(09)	N	PRICING GROUP QUANTITY; total quantity used for grouping trades (same Account, Security Identifier, side) for pricing purposes
322-337	X(16)	AN	MARKET CODE; acceptable values include: “1” = New York Stock Exchange® (NYSE) “2” = NYSE ALT (formerly AMEX) “3” = Philadelphia (PHLX) “4” = Over the Counter (OTC) “5” = Boston (BSE) “6” = Chicago Exchange (CHX) “7” = Chicago Board Options Exchange (CBOE) “8” = Over the Counter/National Clearing Corporation (OTC/NCC) “9” = Pacific (PSE) “7” + BLOT “1” = Exercised and Assigned Equity Options
338-341	X(04)	AN	MARKET MNEMONIC CODE; see Appendix S, “GTDE Codes,” for values
342-342	X(01)	AN	BLOTTER CODE; acceptable values include: “0” = Average Price “1” = Customer vs. the Street “2” = Option “3” = Agency, but used for Cash, Special Settlement, Next Day Trades “5” = Principal Cross Trade “6” = Syndicate Cross Trade “8” = Principal Cross Trade/Over the Counter “9” = Agency Cross Trade
343-345	X(03)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
346-349	X(04)	AN	SETTLEMENT LOCATION CODE; see Appendix S, "GTDE Codes," for values
350-353	X(04)	AN	COUNTER PARTY (CLIENT)
354-354	X(01)	AN	CANCEL CODE; acceptable values include: "1" = Cancel "B" = Not Applicable
355-355	X(01)	AN	CORRECTION CODE; acceptable values include: "1" = Correction "5" = Post Settlement Cancel (there must be a "1" in Cancel when "5" is used) "B" = Not Applicable
356-356	X(01)	AN	OPEN/CLOSE INDICATOR FOR OPTIONS; acceptable values include: "O" = Open "C" = Close "B" = Not Applicable
357-357	X(01)	AN	TYPE OF ORDER; acceptable values include: "M" = Market "L" = Limit "D" = DOT (DOT indicates via the computer system of the NYSE) "P" = PER (PER indicates via the computer system of the American Stock Exchange) "Z" = Derived (omnibus account, market, product) Note: Type of Order field is blank for the following types of transactions: <ul style="list-style-type: none"> ▪ Cancels ▪ Corrections ▪ When-Issued (Security Type = "4") ▪ International Transaction (Batch Code = "*GLOS" or "INT01") ▪ When Average Price Blotter Code (Blotter = "0") Under these circumstances, Type of Order does not apply, or was not passed from the previous transaction
358-358	X(01)	AN	Not Used
359-359	X(01)	AN	SOLICITED INDICATOR (this field applies to equity orders only); acceptable values include: "U" = Unsolicited "S" = Solicited "B" = Not Provided (Note: This is not a required field in the input system)
360-360	X(01)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
361-368	X(08)	AN	USER ID OF PERSON WHO ENTERED THE ORDER, when available
369-369	X(01)	AN	SOURCE OF INPUT; see Appendix P, "Source of Input"
370-370	X(01)	AN	Not Used
371-378	X(08)	AN	ORDER TERMINAL ID
379-383	9(05)	N	ORDER SEQUENCE NUMBER
384-384	X(01)	AN	Not Used
385-385	X(01)	AN	CAPACITY CODE; method by which trade was executed; see Appendix S, "GTDE Codes," for values
386-386	X(01)	AN	RISKLESS PRINCIPAL INDICATOR; acceptable values include: "R" = Riskless Principal Trade "B" = Not a Riskless Principal Trade
387-387	X(01)	AN	Not Used
388-388	X(01)	AN	SHORT TRADE; acceptable values include: "X" = Short-and-Exempt "S" = Short-and-Non-Exempt "B" = Not Applicable
389-389	X(01)	AN	SYNDICATE INDICATOR; acceptable values include: "Y" = Syndicate Trade "N" or "B" = Non-syndicate Trade
390-390	X(01)	AN	ODD LOT CODE (identifies an odd-lot trade); acceptable values include: "Y" = Odd-Lot trade "N" or "B" = Not an Odd-Lot Trade
391-391	X(01)	AN	MUTUAL FUND VALUES; note abbreviations as follows: NTF = No Transaction Fee SRS = Systematic Reinvestment System; acceptable mutual fund values include: "B" = Load or No Load, Networked or non-Networked Trade, or Not Applicable if not a Mutual Fund "A" = Load, FundServ, Networked Exchange; <i>if the security is an equity, this field is used to suppress automated trade submission to SIACSM. If a trade was executed on either the AMEX[®] or the NYSE and was executed through DOT, or it is an OTC trade and the security is ACT-eligible, an "A" must be present in this field. Automated trades are automatically submitted to SIAC upon execution. This indicator prevents duplicate street-side submission.</i> "B" = Load, FundServ, non-Networked Exchange "C" = Load, FundServ, Networked Trade "D" = Load, FundServ, non-Networked Trade "E" = Load or No-Load, non-FundServ, Networked or non-Networked Exchange (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“G” = No-Load, FundServ, Networked Exchange “H” = No-Load, FundServ, non-Networked Exchange “I” = No-Load, FundServ, Networked Trade “J” = No-Load, FundServ, non-Networked Trade “K” = NTF, Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade “L” = NTF, Below Minimum Load or No-Load, FundServ, or non-FundServ, Networked or non-Networked Trade “M” = NTF, Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade “N” = NTF, SRS Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade “O” = NTF, SRS Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Exchange “P” = NTF, SRS Below Minimum Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade “Q” = NTF, SRS Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Trade “R” = SRS Reinvestment Trade “S” = SRS Trade “T” = SRS Exchange “U” = NTF, SRS Short Term Redemption Load or No-Load, FundServ or non-FundServ, Networked or non-Networked Exchange “V” = Special Price 1 Trade “W” = Special Price 1 Exchange “X” = Special Price 1 SRS Trade “Y” = Special Price 1 SRS Exchange “Z” = No-Load, FundServ, non-Exchange, non-SRS, non-NTF trade for eligible surcharge fund “0” = No-Load, non-FundServ, non-Exchange, non-SRS, non-NTF trade for eligible surcharge fund “1” = Special Price 2 Trade “2” = Special Price 2 Exchange “3” = Special Price 2 SRS Trade “4” = Special Price 2 SRS Exchange “5” = Special Price 3 Trade “6” = Special Price 3 Exchange “7” = Special Price 3 SRS Trade “8” = Special Price 3 SRS Exchange
392-392	X(01)	AN	SPREAD/STRADDLE INDICATOR; acceptable values include: “S” = Spread “T” = Straddle “ B ” = Not Applicable

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POSITION	PICTURE	TYPE	DESCRIPTION
393-397	X(05)	AN	BATCH CODE
398-405	X(08)	AN	INVESTMENT MANAGER CODE
406-409	X(04)	AN	Not Used
EXECUTION PARTICIPANTS/SIDES			
410-419	X(10)	AN	OFFSET ACCOUNT; street-side account
420-426	X(07)	AN	Not Used
427-430	X(04)	AN	EXECUTING BROKER
431-434	X(04)	AN	MAJOR BROKERAGE BADGE NUMBER
435-438	X(04)	AN	CONTRA BROKER; broker-dealer, market maker, broker acting as an agent, or dealer acting as principal offset account (street-side account)
439-442	X(04)	AN	MINOR BROKERAGE BADGE NUMBER
443-445	X(03)	AN	TRADER INITIALS
446-446	X(01)	AN	STEP IN/STEP OUT INDICATOR; acceptable values include: “I” = Step In “O” = Step Out “ B ” = Not Applicable
447-448	X(02)	AN	EXECUTION TERMINAL
449-454	X(06)	AN	Not Used
455-459	9(05)	N	EXECUTION SEQUENCE NUMBER
460-465	X(06)	AN	Not Used
CUSTOMER ACCOUNT INFORMATION			
466-466	X(01)	AN	PRIME BROKER INDICATOR; acceptable values include: “P” = Prime Broker “Q” = Prime Broker; COD Account “ B ” = Not Applicable
467-469	X(03)	AN	COUNTRY OF CITIZENSHIP; see Appendix G, “State and Country Codes”
470-472	X(03)	AN	COUNTRY/STATE OF RESIDENCE; see Appendix G, “State and Country Codes”
473-473	X(01)	AN	WITHHOLDING CODE/TAX EXEMPT INDICATOR; acceptable values include: “0” = No Adoption Agreement “1” = Adoption Agreement “ B ” = Non-custodian
474-476	X(03)	AN	BASE CURRENCY; see Appendix N, “Currency Codes”
477-494	9(09)v9(09)	N	BASE CURRENCY EXCHANGE RATE
495-495	X(01)	AN	BASE CURRENCY MULTIPLY/DIVIDE CODE; acceptable values include: “M” = Multiply “D” = Divide
496-505	X(10)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
INVESTMENT PROFESSIONAL EXECUTION INFORMATION			
506-508	X(03)	AN	PRIMARY EXECUTION INVESTMENT PROFESSIONAL
509-509	X(01)	AN	Not Used
510-512	X(03)	AN	INVESTMENT PROFESSIONAL 2 OVERRIDE
513-513	X(01)	AN	Not Used
514-531	9(09)v9(09)	N	INVESTMENT PROFESSIONAL 2 PERCENTAGE
532-534	X(03)	AN	INVESTMENT PROFESSIONAL 3 OVERRIDE
535-535	X(01)	AN	Not Used
536-553	9(09)v9(09)	N	INVESTMENT PROFESSIONAL 3 PERCENTAGE
554-558	X(05)	AN	Not Used
SECURITY INFORMATION			
559-559	X(01)	AN	SECURITY TYPE CODE; see Appendix B, “ Security Code Matrix”
560-560	X(01)	AN	SECURITY MODIFIER CODE; see Appendix B, “ Security Code Matrix”
561-561	X(01)	AN	SECURITY CALCULATION CODE; see Appendix B, “ Security Code Matrix”
562-564	X(03)	AN	MINOR PRODUCT CODE; see Appendix B, “Minor Product Codes”
565-572	X(08)	AN	ASSET TYPE
573-580	X(08)	AN	ASSET SUBTYPE
581-588	X(08)	AN	ASSET SUB-SUBTYPE
589-590	X(02)	AN	Not Used
591-594	X(04)	AN	INTERNATIONAL EXCHANGE CODE; see Appendix S, “GTDE Codes,” for values
595-603	X(09)	AN	UNDERLYING CUSIP
604-610	X(07)	AN	Not Used
611-628	9(09)v9(09)	N	STRIKE PRICE; the price at which an option can be exercised
629-643	9(03)v9(12)	N	POOL FACTOR
644-644	X(01)	AN	NON-US SECURITY INDICATOR; acceptable values include: “1” = Non-US Security “2” = ADR/Canadian “ B ” = US Security
645-645	X(01)	AN	CONTINUOUS NET SETTLEMENT (CNS) ELIGIBILITY; acceptable values include: “1” = CNS Eligible “ B ” = Not CNS Eligible
646-646	X(01)	AN	DEPOSITORY TRUST COMPANY (DTC) ELIGIBILITY; identifies where physical records of a firm are stored; acceptable values include: “1” = DTC Eligible “ B ” = Not DTC Eligible

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POSITION	PICTURE	TYPE	DESCRIPTION
647-647	X(01)	AN	Not Used
648-655	9(08)	N	EX-DIVIDEND DATE = "CCYYMMDD"
656-663	9(08)	N	RECORD DATE = "CCYYMMDD"
664-665	9(02)	N	NUMBER OF DESCRIPTION LINES
666-685	X(20)	AN	DESCRIPTION LINE 1
686-705	X(20)	AN	DESCRIPTION LINE 2
706-725	X(20)	AN	DESCRIPTION LINE 3
726-745	X(20)	AN	DESCRIPTION LINE 4
746-765	X(20)	AN	DESCRIPTION LINE 5
766-785	X(20)	AN	DESCRIPTION LINE 6
786-786	X(01)	AN	LEGEND CODE 1; see Appendix K, "Legend Codes"
787-787	X(01)	AN	Not Used
788-788	X(01)	AN	LEGEND CODE 2; see Appendix K, "Legend Codes"
789-795	X(07)	AN	Not Used
796-797	X(02)	AN	LEGEND CODE ONE; see Appendix K, "Legend Codes"
798-799	X(02)	AN	LEGEND CODE TWO; see Appendix K, "Legend Codes"
800-801	X(02)	AN	LEGEND CODE THREE; see Appendix K, "Legend Codes"
802-803	X(02)	AN	LEGEND CODE FOUR; see Appendix K, "Legend Codes"
804-805	X(02)	AN	LEGEND CODE FIVE; see Appendix K, "Legend Codes"
806-807	X(02)	AN	LEGEND CODE SIX; see Appendix K, "Legend Codes"
TRAILER INFORMATION			
808-809	X(02)	N	Not Used
810-829	X(20)	AN	TRAILER LINE ONE
830-849	X(20)	AN	TRAILER LINE TWO
850-869	X(20)	AN	TRAILER LINE THREE
870-889	X(20)	AN	TRAILER LINE FOUR
890-909	X(20)	AN	TRAILER LINE FIVE
910-929	X(20)	AN	TRAILER LINE SIX
930-949	X(20)	AN	TRAILER LINE SEVEN
950-969	X(20)	AN	TRAILER LINE EIGHT
970-989	X(20)	AN	TRAILER LINE NINE
990-996	X(07)	AN	MIPS COMMENT; reserved for Rules Engine message; will display "RE-APRV" if systematically approved
997-1012	X(16)	AN	MIPS COMMENT; free-formatted information that was entered in the NetExchange Pro®
1013-1013	X(01)	AN	SOURCE OF INITIAL FUNDS PURCHASE INDICATOR; acceptable values include: "0" = Not Initial Purchase "1" = Initial Purchase "2" = Not Initial Purchase – Share Class Not Reviewed "3" = Initial Purchase – Share Class Not Reviewed "4" = Not Initial Purchase – Share Class Reviewed (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"5" = Initial Purchase – Share Class Reviewed "6" = Share Class Reviewed "7" = Share Class No Reviewed
1014-1014	X(01)	AN	SOURCE OF FUNDS; acceptable values include: "2" = Account Credit Balance/Money Market "3" = MF/UIT Redemption "4" = Annuity Redemption "5" = New Monies "6" = Other Advisory Account "7" = Rollover/Qualified Account "8" = Securities Liquidation
1015-1034	X(20)	AN	MIPS COMMENT
OCC Data Set – The following four fields (in position 1035-1055) comprise the OCC Data Set to be used in lieu if the OPRA Symbol (not all fields will be populated until February, 2010)			
1035-1040	X(06)	AN	OPTION ROOT ID
1041-1046	9(06)	N	EXPIRATION DATE, in YYMMDD format
1047-1047	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
1048-1055	9(05)v9(03)	N	STRIKE PRICE
1056-1249	X(194)	AN	Not Used
1250-1250	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 = "GE"
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 (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	Not Used
032-042	X(11)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
TRADE AMOUNTS AND FEES UNLESS OTHERWISE INDICATED ALL FEES, AMOUNT, ETC. ARE DENOMINATED IN TRADE CURRENCY			
043-060	9(13)v9(05)	N	QUANTITY
061-061	X(01)	AN	QUANTITY SIGN; acceptable values include: “+” = Positive Quantity “-” = Negative Quantity “B” = Not Applicable or Zeroes
062-079	9(09)v9(09)	N	PRICE
080-082	X(03)	AN	TRADE CURRENCY; see Appendix N, “Currency Codes”
083-083	X(01)	AN	BASIS PRICE INDICATOR; indicates how the price was entered; acceptable values include: “B” = Dollar Price “1” = Yield “D” = Discount “2” = Mutual Fund
084-100	9(08)v9(09)	N	YIELD
101-101	X(01)	AN	YIELD SIGN; acceptable values include: “+” = Positive Yield “-” = Negative Yield “B” = Not Applicable
102-118	9(08)v9(09)	N	YIELD TO WORST
119-119	(X01)	AN	YIELD TO WORST SIGN; acceptable values include: “+” = Positive Yield to Worst “-” = Negative Yield to Worst “B” = Not Applicable
120-121	X(02)	AN	YIELD TO WORST CODE; acceptable values include: “M” = Yield to Maturity “O” = Yield to Par “C” = Yield to Call “P” = Yield to Put “R” = Yield to Pre-refunded “B” = Not Applicable
122-139	9(16)v9(02)	N	PERSHING CHARGE; contractual fee for services rendered based upon the type of relationship with Pershing
140-140	X(01)	AN	PERSHING CHARGE SIGN; acceptable values include: “+” = Amount Charged “-” = Amount Credited “B” = Not Applicable or Zeroes
141-158	9(16)v9(02)	N	TRANSACTION FEE (SEC FEE)
159-159	X(01)	AN	TRANSACTION FEE SIGN “+” = Amount Charged

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POSITION	PICTURE	TYPE	DESCRIPTION
			“-” = Amount Credited “B” = Not Applicable or Zeroes
160-177	9(16)v9(02)	N	REBATE AMOUNT; amount rebated to your firm
178-178	X(01)	AN	REBATE AMOUNT SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
179-196	9(16)v9(02)	N	NET AMOUNT; principal, plus/minus interest, plus/minus fees. Note: This amount is in settlement currency.
197-197	X(01)	AN	NET AMOUNT SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
198-200	X(03)	AN	SETTLEMENT CURRENCY; see Appendix N, “Currency Codes”
201-218	9(09)v9(09)	N	SETTLEMENT CURRENCY EXCHANGE RATE
219-219	X(01)	AN	SETTLEMENT CURRENCY MULTIPLY/DIVIDE CODE; acceptable values include: “M” = Multiply “D” = Divide
220-237	9(13)v9(05)	N	INTEREST
238-238	X(01)	AN	INTEREST SIGN; acceptable values include: “+” = Amount Charged “-” = Amount Credited “B” = Not Applicable or Zeroes
239-256	9(16)v9(02)	N	SERVICE CHARGE FOR IBD
257-257	X(01)	AN	SERVICE CHARGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
258-275	9(16)v9(02)	N	POSTAGE (SOMETIMES KNOWN AS THE CONFIRM FEE)
276-276	X(01)	AN	POSTAGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
277-277	X(01)	AN	COMMISSION/SALES CREDIT TYPE; acceptable values include: “1” = Sales Credit Rate “6” = Sales Credit Flat Amount “2” = Commission by Discount

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“3” = Commission by Rate “4” or “A” = Commission by Amount “5” = Zero Commission
278-295	9(16)v9(02)	N	COMMISSION
296-296	X(01)	AN	COMMISSION SIGN; acceptable values include: “+” = Amount Debited (same for Buy or Sell) “-” = Amount Credited (same for Buy or Sell)
			“B” = Not Applicable or Zeroes
297-303	9(03)v9(04)	N	COMMISSION PERCENT DISCOUNT
304-314	X(11)	AN	Not Used
315-332	9(16)v9(02)	N	SALES CREDIT
333-333	X(01)	AN	SALES CREDIT SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
334-351	9(16)v9(02)	N	CUSTOMER DEFERRED SALES CHARGE (CDSC)
352-352	X(01)	AN	CDSC SIGN; acceptable values include: “+” = Positive “-” = Negative “B” = Not Applicable or Zeroes
353-370	9(16)v9(02)	N	BASE COMMISSION (This is what the commission would be without any discounts applied.)
371-371	X(01)	AN	BASE COMMISSION SIGN; acceptable values include: “+” = Amount Debited (same for Buy or Sell) “-” = Amount Credited (same for Buy or Sell) “B” = Not Applicable or Zeroes
372-389	9(16)v9(02)	N	MARK UP/MARK DOWN
390-390	X(01)	AN	MARK UP/MARK DOWN SIGN; acceptable values include: “+” = Mark Down Amount “-” = Mark Up Amount “B” = Not Applicable or Zeroes
391-408	9(16)v9(02)	N	PRINCIPAL
409-409	X(01)	AN	PRINCIPAL SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
410-427	9(16)v9(02)	N	EXECUTION CHARGE
428-428	X(01)	AN	EXECUTION CHARGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
429-429	X(01)	AN	EXECUTION ONLY INDICATOR; acceptable values include: “Y” = Execution Only “B” = Not Applicable
430-447	9(16)v9(02)	N	SETTLEMENT FEE – CUSTOMER (CLEARANCE CHARGE)
448-448	X(01)	AN	SETTLEMENT FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
449-449	X(01)	AN	CLEARANCE ONLY INDICATOR; acceptable values include: “Y” = Clearance Only “B” = Not Applicable
450-467	9(16)v9(02)	N	FOREIGN RECEIVE/DELIVER CHARGE
468-468	X(01)	AN	FOREIGN RECEIVE/DELIVER CHARGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
469-486	9(16)v9(02)	N	NTF REDEMPTION FEE; includes base redemption fee for NTF eligible trades and add-on fee
487-487	X(01)	AN	NTF REDEMPTION FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
488-505	9(16)v9(02)	N	NTF REDEMPTION ADD-ON FEE
506-506	X(01)	AN	NTF REDEMPTION ADD-ON SIGN; values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
507-524	9(16)v9(02)	N	MUTUAL FUND EXCHANGE FEE
525-525	X(01)	AN	MUTUAL FUND EXCHANGE FEE SIGN; values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes
526-543	9(16)v9(02)	N	SRS FUND EXCHANGE FEE
544-544	X(01)	AN	SRS FUND EXCHANGE FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “B” = Not Applicable or Zeroes

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
545-562	9(16)v9(02)	N	HANDLING FEE
563-563	X(01)	AN	HANDLING FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
564-581	9(16)v9(02)	N	STAMP DUTY
582-582	X(01)	AN	STAMP DUTY SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
583-600	9(16)v9(02)	N	PRIME BROKER FEE
601-601	X(01)	AN	PRIME BROKER FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
602-621	X(20)	AN	IBD MISCELLANEOUS CHARGE LABEL
622-639	9(16)v9(02)	N	IBD MISCELLANEOUS CHARGE
640-640	X(01)	AN	IBD MISCELLANEOUS CHARGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
641-660	X(20)	AN	STREETSIDE MISCELLANEOUS CHARGE LABEL
661-678	9(16)v9(02)	N	STREETSIDE MISCELLANEOUS CHARGE
679-679	X(01)	AN	STREETSIDE MISCELLANEOUS CHARGE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
680-697	9(16)v9(02)	N	TRANSACTION LEVY
698-698	X(01)	AN	TRANSACTION LEVY SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
699-716	9(16)v9(02)	N	TRANSFER STAMP FEE
717-717	X(01)	AN	TRANSFER STAMP FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
718-735	9(16)v9(02)	N	TRANSFER TAX

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
736-736	X(01)	AN	TRANSFER TAX SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
737-754	9(16)v9(02)	N	CUSTOMER CONFIRM FEE
755-755	X(01)	AN	CUSTOMER CONFIRM FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
756-773	9(16)v9(02)	N	IBD CONFIRM FEE
774-774	X(01)	AN	IBD CONFIRM FEE SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
775-792	9(16)v9(02)	N	VALUE ADDED TAX
793-793	X(01)	AN	VALUE ADDED TAX SIGN; acceptable values include: “+” = Amount Debited “-” = Amount Credited “ B ” = Not Applicable or Zeroes
794-811	9(09)v9(09)	N	REPORTED PRICE
812-815	X(04)	AN	Not Used
816-835	X(20)	AN	ADDITIONAL TRAILER LINE ONE
836-855	X(20)	AN	ADDITIONAL TRAILER LINE TWO
856-875	X(20)	AN	ADDITIONAL TRAILER LINE THREE
876-895	X(20)	AN	ADDITIONAL TRAILER LINE FOUR
896-915	X(20)	AN	ADDITIONAL TRAILER LINE FIVE
916-935	X(20)	AN	ADDITIONAL TRAILER LINE SIX
936-955	X(20)	AN	FREEFORM LOT INFORMATION (1)
956-975	X(20)	AN	FREEFORM LOT INFORMATION (2)
976-995	X(20)	AN	FREEFORM LOT INFORMATION (3)
996-1249	X(254)	AN	Not Used
1250-1250	X(01)	AN	Literally “X”; indicates the end of the detail record

PERSHING STANDARD FILE LAYOUTS

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF B B B B B B B PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "GLBL/DOMESTIC B TRDS"
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"
072-083	X(12)	AN	Literally " B ENDS B HERE B "
084-105	X(22)	AN	Literally "TOTAL B DETAIL B RECORDS: B "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-117	X(02)	AN	Not Used
118-129	X(12)	AN	TRAILER REFERENCE UPDATE
130-1249	X(1120)	AN	Not Used
1250-1250	X(01)	AN	Literally "Z"; indicates the end of the trailer record