

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: IBD AVAIL DOWNLOAD

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 1000 characters
 Process Name: NJE—NJE082DP; RJE—SFIADFDP; FTP—DTM082D\$
 Form Name: IADF

DESCRIPTION

The IBD Avail Download file (IADF) contains data related to Avail IBD fees and payees. A record is created on your firm's download file when a fee is calculated in the Avail system and distributed to a payee(s). Included are inception and quarterly fees and fee adjustments based on deposit and withdrawal activity in a client's accounts. The current position of an account's assets and trades at the time of fee calculation is also included. IBD, office, and account numbers make up the sequence of the file. The IBD Avail Download file replaces the CADF Correspondent Avail Download File.

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 "AVAIL B IBD B DOWNLOAD"
037-046	X(10)	AN	Literally " B DATA BOF BB "
047-056	X(10)	AN	DATE OF DATA = "CCYY/MM/DD"
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"
105-999	X(895)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
1000-1000	X(01)	AN	Literally "A"; indicates the end of the header record

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	RECORD INDICATOR = "AD"
003-003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-014	X(03)	AN	IBD NUMBER
015-015	X(01)	AN	Not Used
016-018	X(03)	AN	OFFICE NUMBER
019-027	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6)
028-039	X(12)	AN	GROUP NUMBER; identifier user assigns to a grouping of accounts
040-042	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
043-043	X(01)	AN	Not Used
044-061	9(16)v9(02)	N	#1 PAYEE AMOUNT; the fee that the user will take
062-062	X(01)	AN	#1 PAYEE AMOUNT SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Not Applicable or Zeroes
063-071	X(09)	AN	#1 PAYEE ACCOUNT NUMBER; account in which the haircut is credited
072-074	X(03)	AN	#1 PAYEE SOURCE CODE
075-092	9(16)v9(02)	N	#2 PAYEE AMOUNT; remaining fee after the participation fee has been calculated
093-093	X(01)	AN	#2 PAYEE AMOUNT SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
094-102	X(09)	AN	#2 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
103-105	X(03)	AN	#2 PAYEE SOURCE CODE
106-123	9(16)v9(02)	N	#3 PAYEE AMOUNT
124-124	X(01)	AN	#3 PAYEE AMOUNT SIGN; acceptable values include:

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POSITION	PICTURE	TYPE	DESCRIPTION
			"+" = Positive (cont.)
			"-" = Negative "B" = Unavailable or Zeroes
125-133	X(09)	AN	#3 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
134-136	X(03)	AN	#3 PAYEE SOURCE CODE
137-154	9(16)v9(02)	N	#4 PAYEE AMOUNT
155-155	X(01)	AN	#4 PAYEE AMOUNT SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
156-164	X(09)	AN	#4 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
165-167	X(03)	AN	#4 PAYEE SOURCE CODE
168-185	9(16)v9(02)	N	#5 PAYEE AMOUNT
186-186	X(01)	AN	#5 PAYEE AMOUNT SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
187-195	X(09)	AN	#5 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
196-198	X(03)	AN	#5 PAYEE SOURCE CODE
199-216	9(16)v9(02)	N	#6 PAYEE AMOUNT
217-217	X(01)	AN	#6 PAYEE AMOUNT SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
218-226	X(09)	AN	#6 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
227-229	X(03)	AN	#6 PAYEE SOURCE CODE
230-247	9(16)v9(02)	N	#7 PAYEE AMOUNT
248-248	X(01)	AN	#7 PAYEE AMOUNT SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
249-257	X(09)	AN	#7 PAYEE ACCOUNT NUMBER; account in which the

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POSITION	PICTURE	TYPE	DESCRIPTION
			payee (cont.)
			amount is credited
258-260	X(03)	AN	#7 PAYEE SOURCE CODE
261-278	9(16)v9(02)	N	#8 PAYEE AMOUNT
279-279	X(01)	AN	#8 PAYEE AMOUNT SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
280-288	X(09)	AN	#8 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
289-291	X(03)	AN	#8 PAYEE SOURCE CODE
292-309	9(16)v9(02)	N	#9 PAYEE AMOUNT
310-310	X(01)	AN	#9 PAYEE AMOUNT SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
311-319	X(09)	AN	#9 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
320-322	X(03)	AN	#9 PAYEE SOURCE CODE
323-340	9(16)v9(02)	N	#10 PAYEE AMOUNT
341-341	X(01)	AN	#10 PAYEE AMOUNT SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
342-350	X(09)	AN	#10 PAYEE ACCOUNT NUMBER; account in which the payee amount is credited
351-353	X(03)	AN	#10 PAYEE SOURCE CODE
354-371	9(16)v9(02)	N	FEE ASSESSED TO THE ACCOUNT
372-372	X(01)	AN	# FEE AMOUNT SIGN FOR FEE ASSESSED TO THE ACCOUNT; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
373-390	9(16)v9(02)	N	TIME AND DOLLAR ADJUSTMENT FEE OF AN ACCOUNT
391-391	X(01)	AN	# FEE AMOUNT SIGN FOR TIME AND DOLLAR ADJUSTMENT FEE OF AN ACCOUNT; acceptable

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POSITION	PICTURE	TYPE	DESCRIPTION
			values include: (cont.)
			"+" = Positive "-" = Negative "B" = Unavailable or Zeroes
392-400	X(09)	AN	#FEE CHARGED TO ACCOUNT NUMBER; account in which the payee amount is credited
401-403	X(03)	AN	#FEE CHARGED SOURCE CODE
404-412	9(09)	N	NUMBER OF TRADES; for current quarter
413-421	9(09)	N	NUMBER OF TRADES; for previous quarter
422-429	X(08)	AN	BILLING DATE = "CCYYMMDD"; process date of journal record
430-437	X(08)	AN	FBB INCEPTION DATE = "CCYYMMDD"; day the account gets the initial billing
438-445	X(08)	AN	FBB SERVICE DATE = "CCYYMMDD"; day the account was flagged on PONA Supplemental or Account Services
446-463	9(16)v9(02)	N	PERSHING CHARGE AMOUNT
464-464	X(01)	AN	PERSHING CHARGE AMOUNT SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Unavailable or Zeroes
465-465	X(01)	AN	PERSHING MIN/MAX INDICATOR
466-474	X(09)	AN	PERSHING ACCOUNT NUMBER; revenue account
475-477	X(03)	AN	PERSHING SOURCE CODE
478-478	X(01)	AN	CUSTOMER MIN/MAX INDICATOR
479-496	9(16)v9(02)	N	TOTAL ASSET MARKET VALUE AMOUNT
497-497	X(01)	AN	TOTAL ASSET MARKET VALUE AMOUNT SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Unavailable or Zeroes
498-515	9(16)v9(02)	N	TOTAL CUSTOMER ASSET FEE AMOUNT
516-516	X(01)	AN	TOTAL CUSTOMER ASSET FEE AMOUNT SIGN; acceptable values include: "+" = Positive "-" = Negative "B" = Unavailable or Zeroes

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POSITION	PICTURE	TYPE	DESCRIPTION
517-524	X(08)	AN	ASSET CLASS 1
525-542	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 1
543-543	X(01)	AN	ASSET MARKET VALUE AMOUNT 1 SIGN; acceptable values include: (cont.)
			"+" = Positive "- " = Negative "B" = Unavailable or Zeroes
544-561	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 1
562-562	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 1 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
563-570	X(08)	AN	ASSET CLASS 2
571-588	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 2
589-589	X(01)	AN	ASSET MARKET VALUE AMOUNT 2 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
590-607	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 2
608-608	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 2 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
609-616	X(08)	AN	ASSET CLASS 3
617-634	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 3
635-635	X(01)	AN	ASSET MARKET VALUE AMOUNT 3 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
636-653	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 3
654-654	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 3 SIGN; acceptable values include: "+" = Positive

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POSITION	PICTURE	TYPE	DESCRIPTION
			"-" = Negative "B" = Unavailable or Zeroes
655-662	X(08)	AN	ASSET CLASS 4
663-680	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 4
681-681	X(01)	AN	ASSET MARKET VALUE AMOUNT 4 SIGN; acceptable values include: "+" = Positive (cont.)
			"-" = Negative "B" = Unavailable or Zeroes
682-699	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 4
700-700	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 4 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
701-708	X(08)	AN	ASSET CLASS 5
709-726	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 5
727-727	X(01)	AN	ASSET MARKET VALUE AMOUNT 5 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
728-745	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 5
746-746	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 5 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
747-754	X(08)	AN	ASSET CLASS 6
755-772	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 6
773-773	X(01)	AN	ASSET MARKET VALUE AMOUNT 6 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
774-791	9(16)v(02)	N	CUSTOMER ASSET FEE AMOUNT 6

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POSITION	PICTURE	TYPE	DESCRIPTION
792-792	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 6 SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
793-800	X(08)	AN	ASSET CLASS 7
801-818	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 7
819-819	X(01)	AN	ASSET MARKET VALUE AMOUNT 7 SIGN; acceptable values include: " + " = Positive " - " = Negative (cont.) " B " = Unavailable or Zeroes
820-837	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 7
838-838	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 7; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
839-846	X(08)	AN	ASSET CLASS 8
847-864	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 8
865-865	X(01)	AN	ASSET MARKET VALUE AMOUNT 8 SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
866-883	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 8
884-884	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 8 SIGN; acceptable values include: " + " = Positive " - " = Negative " B " = Unavailable or Zeroes
885-892	X(08)	AN	ASSET CLASS 9
893-910	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 9
911-911	X(01)	AN	ASSET MARKET VALUE AMOUNT 9 SIGN; acceptable values include: " + " = Positive

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POSITION	PICTURE	TYPE	DESCRIPTION
			"-" = Negative "B" = Unavailable or Zeroes
912-929	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 9
930-930	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 9 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
931-938	X(08)	AN	ASSET CLASS 10
939-956	9(16)v9(02)	N	ASSET MARKET VALUE AMOUNT 10
957-957	X(01)	AN	ASSET MARKET VALUE AMOUNT 10 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
958-975	9(16)v9(02)	N	CUSTOMER ASSET FEE AMOUNT 10
976-976	X(01)	AN	CUSTOMER ASSET FEE AMOUNT 10 SIGN; acceptable values include: "+" = Positive "- " = Negative "B" = Unavailable or Zeroes
977-999	X(23)	AN	Not Used
1000-1000	X(01)	AN	Literally "X"; indicates the end of the detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOFBBBBB PERSHINGB" (end of Pershing file)
019-036	X(18)	AN	Literally "AVAILBIBD BDOWNLOAD"
037-046	X(10)	AN	Literally "BDATA B OF BB"
047-056	X(10)	AN	DATE OF DATA = "CCYY/ MM/DD"
057-067	X(11)	AN	Literally "BTO BREMOTE B"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "BENDS B HERE. B"
084-105	X(22)	AN	Literally "B TOTAL B DETAIL B RECORDS: B"
106-115	9(10)	N	NUMBER OF DETAIL RECORDS

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POSITION	PICTURE	TYPE	DESCRIPTION
116-999	X(884)	AN	Not Used
1000-1000	X(01)	AN	Literally "Z"; indicates the end of the trailer record