

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND DESCRIPTIONS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 500 characters
 Form Name MFDS

DESCRIPTION

This file contains mutual fund codes and descriptions from the Pershing Mutual Fund Department. A mutual fund code is a four-letter code indicating the type of mutual fund group. This file is a full daily file that is not refreshed or updated.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF B B B B B PERSHING B " (beginning of Pershing file)
019-036	X(18)	AN	Literally "Mutual B Funds B Desc B "
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"
105-499	X(395)	AN	Not Used
500-500	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 = "DS"
003-003	X(01)	AN	RECORD ID = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "000001"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
010-018	X(09)	AN	CUSIP® NUMBER
019-022	X(04)	AN	FAMILY FUND CODE
023-028	X(06)	AN	SECURITY SYMBOL; acceptable values include: "BBBBBB" = Unavailable Data
029-029	X(01)	AN	Not Used
030-030	X(01)	AN	DIVIDEND REINVEST INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
031-031	X(01)	AN	CAPITAL GAIN REINVEST INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
032-032	X(01)	AN	Not Used
033-033	X(01)	AN	FUNDSERV INDICATOR; acceptable values include: "Y" = Eligible "N" = Not Eligible
034-034	X(01)	AN	GRANDFATHER INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
035-035	X(01)	AN	LOAD/NO-LOAD INDICATOR; acceptable values include: "L" = Front-End Load "B" = Back-End Load "D" = Dual Load "N" = No Load
036-036	X(01)	AN	NETWORKING INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
037-037	X(01)	AN	NO TRANSACTION FEE ELIGIBILITY INDICATOR; acceptable values include: "Y" = Trade Participated in FundVest "N" = Does Not Participate in FundVest "I" = Institutional "R" = Retail "O" = Offshore
038-038	X(01)	AN	SHORT SETTLEMENT ELIGIBILITY INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
039-039	X(01)	AN	SYSTEMATIC REINVESTMENT SYSTEM ELIGIBILITY INDICATOR; acceptable values include: "N" = Not Eligible (default) "T" = Trades Only

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"R" = Reinvestment Only "A" = Trades/Reinvestment
040-040	X(01)	AN	DIVIDEND FREQUENCY; acceptable values include: "D" = Daily "W" = Weekly "M" = Monthly "Q" = Quarterly "S" = Semiannually "A" = Annually
041-041	X(01)	AN	CLOSED TO BUYS INDICATOR; acceptable values include: "Y" = Closed to Buys "N" = Open to Buys (default)
042-042	X(01)	AN	CLOSED TO SELLS INDICATOR; acceptable values include: "Y" = Closed to Sells "N" = Open to Sells (default)
043-043	X(01)	AN	NEW INVESTMENT CLOSED INDICATOR; acceptable values include: "Y" = Yes "N" = No (default)
044-045	X(02)	AN	SETTLE PURCHASE DAYS, NON-FUNDSERV; acceptable values include: "BB" = Unavailable data
046-047	X(02)	AN	SETTLE REDEMPTION DAYS, NON-FUNDSERV; acceptable values include: "BB" = Unavailable data
048-049	X(02)	AN	SETTLE PURCHASE DAYS, FUNDSERV; acceptable values include: "BB" = Unavailable data
050-051	X(02)	AN	SETTLE REDEMPTION DAYS, FUNDSERV; acceptable values include: "BB" = Unavailable data
052-055	X(04)	AN	EXCHANGE CUT-OFF TIME = "HHMM"; acceptable values include: "BB" = Unavailable data
056-059	X(04)	AN	PURCHASE CUT-OFF TIME = "HHMM"; acceptable values include: "BB" = Unavailable data
060-063	X(04)	AN	REDEMPTION CUT-OFF TIME = "HHMM"; acceptable values include: "BB" = Unavailable data
064-080	9(09)v9(08)	N	LAST PRICE
081-081	X(01)	An	LAST PRICE SIGN; acceptable values include: "-" = Negative

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“+” = Positive “ B ” = Unavailable or Zero Value
082-089	9(08)	N	LAST PRICE DATE = “CCYYMMDD”
090-115	X(26)	AN	FUND FAMILY NAME
116-116	X(01)	AN	SHARE CLASS; begins with “a” and ends with “z”
117-136	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 1
137-156	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 2
157-176	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 3
177-196	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 4
197-216	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 5
217-236	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 6
237-237	X(01)	AN	EXCHANGE INDICATOR; acceptable values include: “Y” = Yes “N” = No (default)
238-238	X(01)	AN	TRADE STATUS; acceptable values include: “Y” = CUSIP – Trade Eligible For The IBD “N” = CUSIP – Non Trade Eligible For The IBD
239-258	X(20)	AN	CUSTOMER COMMENTS
259-259	X(01)	AN	OFFSHORE INDICATOR; acceptable values include: “O” = Offshore “ B ” = Domestic
260-260	X(01)	AN	OFFSHORE PROCESSING INDICATOR; acceptable values include: “N” = NCSS “D” = Direct to Fund “F” = FundSettle “A” = Direct to Fund and FundSettle “ B ” = N/A
261-261	X(01)	AN	DEALER AGREEMENT REQUIRED FOR LOAD TRADES; acceptable values include: “Y” = Yes “N” = No “ B ” = No
262-262	X(01)	AN	DEALER AGREEMENT REQUIRED FOR NO-LOAD TRADES; acceptable values include: “Y” = Yes “N” = No “ B ” = No
263-263	X(01)	AN	DEALER AGREEMENT REQUIRED FOR LOAD TRANSFERS; acceptable values include: “Y” = Yes “N” = No

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ B ” = No
264-264	X(01)	AN	DEALER AGREEMENT REQUIRED FOR NO-LOAD TRANSFERS; acceptable values include: “Y” = Yes “N” = No “ B ” = No
265-265	X(01)	AN	AS/OF INDICATOR; acceptable values include: “Y” = Eligible “N” = Not Eligible “ B ” = No
266-268	9(03)	N	AS/OF DAYS; Number of calendar days prior that the fund permits the use of “As/Of” transactions through FundServ
269-269	X(01)	AN	POST SETTLE CANCEL INDICATOR; acceptable values include: “Y” = Eligible “N” = Not Eligible “ B ” = No
270-272	9(03)	N	POST SETTLE CANCEL DAYS; Number of calendar days prior that the fund permits the use of “Post Settle Cancel” transactions through FundServ
273-283	9(09)v9(02)	N	POST SETTLE MAXIMUM DOLLAR AMOUNT; Maximum dollar amount up to which the fund permits the use of post settle cancels through FundServ
284-301	9(16)v9(02)	N	MINIMUM INITIAL PURCHASE AMOUNT; zeroes equal no minimum enforced
302-319	9(16)v9(02)	N	MINIMUM SUBSEQUENT PURCHASE AMOUNT; zeroes equal no minimum enforced
320-337	9(16)v9(02)	N	MAXIMUM INITIAL PURCHASE AMOUNT; zeroes equal no maximum enforced
338-355	9(16)v9(02)	N	MAXIMUM SUBSEQUENT PURCHASE AMOUNT; zeroes equal no maximum enforced
356-499	X (144)	AN	Not Used
500-500	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 B B B B B B PERSHING B ” (end of Pershing file)
019-036	X(18)	AN	Literally “Mutual B Funds B B B B Desc B ”
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 ”

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "bENDS bHERE. b"
084-105	X(22)	AN	Literally "TOTAL bDETAIL bRECORDS: b"
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-499	X(384)	AN	Not Used
500-500	X(01)	AN	Literally "Z"; indicates the end of the trailer record