

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND PROSPECTUS FULFILLMENT

GENERAL INFORMATION

File Frequency: Daily
Record Size: 250 characters
Process Name: NDM—NDMFPPFD; FTP—FTMFPPFD\$
Form Name: MFPP

DESCRIPTION

The Daily Mutual Fund Prospectus Fulfillment file (MFPP) contains the details of each mutual fund trade sent to Pershing's fulfillment vendor and the status of each item once received and acknowledged by the vendor. Once a completed status is received (e.g., Mailed, Closed, etc.), items are dropped from the file.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF" followed by 6 blank characters and "PERSHING" followed by 1 blank character (beginning of Pershing file)
019-036	X(18)	AN	Literally "MF" followed by 1 blank character, "PROSPECT" followed by 1 blank character, and "FULFIL"
037-046	X(10)	AN	Literally "B" followed by 1 blank character, "DATA" followed by 1 blank character, and "BOF" followed by 2 blank characters
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "B" followed by 1 blank character, "TO" followed by 1 blank character, and "REMOTE" followed by 1 blank character
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally "B" followed by 1 blank character, "BEGINS" followed by 1 blank character, "HERE" followed by 2 blank characters, and "B" followed by 1 blank character
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"
105-249	X(145)	AN	Not Used
250-250	X(01)	AN	Literally "A"; indicates the end of the header record

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "MP"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-020	X(09)	AN	CUSIP®
021-060	X(40)	AN	SECURITY DESCRIPTION
061-069	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6)
070-133	X(64)	AN	ACCOUNT DESCRIPTION
134-141	X(08)	AN	TRADE DATE = "MMDDYYYY"
142-149	X(08)	AN	LAST UPDATE DATE = "MMDDYYYY"
150-151	X(02)	AN	STATUS; acceptable values include: "01" = Pending Information "02" = Waiting Material "03" = Suppressed "04" = Closed "05" = Mailed "06" = Other Status "07" = Purged "08" = Combined Mail "16" = Client Providing "17" = Undeliverable "IC" = Invalid CUSIP "NU" = Need Underwriter "DD" = Old Dated Date "AR" = Assistance Required "NO" = No Statement "CA" = Client Application Closed "CF" = Closed End Fund
152-153	X(02)	AN	AGE; number of business days an item has been open
154-161	X(08)	AN	STATUS DATE = "MMDDYYYY"
162-162	X(01)	AN	SECURITY CATEGORY; acceptable values include: "M" = Mutual Fund "S" = Systematic Investment
163-249	X(87)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
250-250	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 BBBBBB PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "MF B PROSPECT B FULFIL"
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"
072-083	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
118-126	X(09)	AN	Indicates if the file is REFRESHED/UPDATED/NOT APPLICABLE – literally "REFRESHED", "UPDATED BB ", or " BBBBBBBBBB "
127-249	X(123)	AN	Not Used
250-250	X(01)	AN	Literally "Z"; indicates the end of the trailer record