

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND TRADES

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Process Name: NJE—N/A; Base—PRJ142DP; InfoDirect—INF142DP;
 FTP—DTM142D\$
 Form Name: MFTD

DESCRIPTION

The Mutual Fund Trades file (MFTD) is created daily, reflecting the Mutual Fund Daily Trade Activity Log report. The Mutual Fund Trade Activity Log report provides the mutual fund trading desk a daily report that contains all the mutual fund orders that were routed to the MIPMASTR file along with their present statuses and other details. The file is created in parallel to the creation of the report and contains a duplicate of the information fields from the report. There is a possibility of receiving multiple “C” records for each transaction.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “BOF B B B B B B B PERSHING B ” (beginning of Pershing file)
019-036	X(18)	AN	Literally “MF B TRADE B LOGS B B B B B 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”
105-249	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 = "MF"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	RECORD SEQUENCE NUMBER BEGINNING WITH "000001"
010-019	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6); TYPE (1); acceptable values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
020-028	X(09)	AN	CUSIP® NUMBER
029-048	X(20)	AN	CUSIP DESCRIPTION
049-080	X(32)	AN	ACCOUNT NAME
081-083	X(03)	AN	INVESTMENT PROFESSIONAL NUMBER
084-093	9(10)	N	INVESTMENT PROFESSIONAL HOME TELEPHONE NUMBER (area code plus phone number)
094-103	9(10)	N	INVESTMENT PROFESSIONAL BUSINESS TELEPHONE NUMBER (area code plus phone number)
104-104	X(01)	AN	TRADE STATUS; acceptable values include: "I" = Open Order "O" = Confirmed Trade "P" = Processed Trade "S" = Settled Trade "A" = Approve "N" = Pending "R" = Reject "B" = Default; not used
105-110	X(06)	AN	REFERENCE NUMBER
111-111	X(01)	AN	MUTUAL FUND INFORMATION TRANSACTION TYPE; acceptable values include: "Y" = XBUY – Exchange Order or Exchange Trade Buy "L" = XSELL – Exchange Order or Exchange Trade Sell "B" = BUY – Trade or Order Buy "S" = SELL – Trade or Order Sell "X" = XCHN - Exchange "B" = Default; not used
112-122	9(07)v9(04)	N	SHARES QUANTITY
123-123	X(01)	AN	SHARES QUANTITY SIGN; acceptable values include: "-" = Negative "+" = Positive

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“B” = Unavailable or Zero Value
124-138	9(09)v9(06)	N	DOLLARS AMOUNT PAYABLE
139-141	X(03)	AN	Not Used
142-142	X(01)	AN	DOLLAR AMOUNT PAYABLE SIGN; acceptable values include: “-” = Negative “+” = Positive “B” = Unavailable or Zero Value
143-157	9(09)v9(06)	N	COMMISSION
158-160	X(03)	AN	Not Used
161-161	X(01)	AN	COMMISSION SIGN; acceptable values include: “-” = Negative “+” = Positive “B” = Unavailable or Zero Value
162-162	X(01)	AN	CASH REINVEST INDICATOR; acceptable values include: “D” = Registered under Pershing LLC, distribution paid in cash “U” = Registered under Pershing LLC, distribution reinvested “#” = Registered under Pershing LLC, dividend reinvested. LT CAP Gain and CAP Gain paid in cash “\$” = Registered under Pershing LLC, dividend paid in cash. LT CAP CAP Gain reinvested “C” = Held under broker dealer’s name with customer on registration, distribution paid in cash “G” = Held under broker dealer’s name with customer on registration, distribution reinvested “K” = Held under broker dealer’s name with customer on registration, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested “O” = Held under broker dealer’s name with customer on registration, dividend reinvested. LT CAP Gain and ST CAP paid in cash “B” = Customer received hard copy, distribution paid in cash “F” = Customer received hard copy, distribution reinvested “I” = Customer received hard copy, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested “M” = Customer received hard copy, dividend reinvested. LT CAP Gain and ST CAP Gain reinvested “B” = Default; not used
163-163	X(01)	AN	OVER/UNDER PRICE INDICATOR; acceptable values include: “O” = Specific to the fund, on a dollar trade, (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			to round off the trade to the nearest whole share amount over the dollar amount specified "U" = Specific to the fund, on a dollar trade, to round off the trade to the nearest whole share amount under the dollar amount specified "B" = Default; not used
164-171	9(08)	N	DATE OF DATA = "CCYYMMDD"
172-177	X(06)	AN	TIME OF DATA = "HHMMSS"
178-185	X(08)	AN	USER ID
186-188	X(03)	AN	IBD NUMBER
189-196	X(08)	N	ORDER ENTRY DATE = "CCYYMMDD"
197-202	X(06)	AN	ORDER ENTRY TIME = "HHMMSS"
203-220	9(09)v9(09)	N	NET AMOUNT
221-221	X(01)	AN	NET AMOUNT SIGN; acceptable values include: "-" = Negative "+" = Positive "B" = Unavailable or Zero Value
222-239	9(08)v9(10)	N	PRICE
240-240	X(01)	AN	PRICE SIGN; acceptable values include: "-" = Negative "+" = Positive "B" = Unavailable or Zero Value
241-241	X(01)	AN	SOLICIT INDICATOR; acceptable values include: "1" = Solicited "2" = Unsolicited "B" = Unsolicited
242-243	X(02)	AN	SOURCE OF INPUT (SOI); See Appendix P
244-248	v9(05)	N	ADD NEW LOAD PERCENTAGE
249-249	X(01)	AN	SHARE CLASS REVIEWED, acceptable values include: "Y" = Share class reviewed "N" = Share class not reviewed "B" = Not applicable (default)
250-250	X(01)	AN	Literally "X"; indicates the end of the record

DETAIL RECORD B: COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "MF"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-009	9(06)	N	RECORD SEQUENCE NUMBER BEGINNING WITH "000001"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
010-019	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6); TYPE (1); acceptable values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
020-028	X(09)	AN	CUSIP NUMBER
029-088	X(60)	AN	COMMENTS
089-089	X(01)	AN	ORDER STATUS; acceptable values include: "E" = Executed "P" = Pending "O" = Open "A" = Approved
090-097	X(08)	AN	STATUS DATE = "CCYYMMDD" "B" = Default; not used
098-103	X(06)	AN	STATUS TIME = "HHMMSS" "B" = Default; not used
104-104	X(01)	AN	SYSTEMATIC REINVESTMENT SYSTEM (SRS) INDICATOR; acceptable values include: "T" = Trade has been processed as an SRS trade "N" = Trade has not been processed as an SRS trade "R" = Reinvest only "A" = Eligible for trade reinvest "B" = Default; not used
105-108	X(04)	AN	INVESTMENT PROFESSIONAL 1 SPLIT ID; "B" = Default; not used
109-111	X(03)	AN	INVESTMENT PROFESSIONAL 1 SPLIT PERCENTAGE; percentages represented range from 1 to 100; "B" = Default; not used
112-115	X(04)	AN	INVESTMENT PROFESSIONAL 2 SPLIT ID; "B" = Default; not used
116-118	X(03)	AN	INVESTMENT PROFESSIONAL 2 SPLIT PERCENTAGE; percentages represented range from 1 to 100
119-126	X(08)	AN	STATUS OPERATOR/USER ID "B" = Default; not used
127-127	X(01)	AN	NAV INDICATOR; acceptable values include: "0" = Other "1" = Net Asset Value Transfer "2" = Repurchase "3" = Employee

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“4” = Error Correction “5” = Wrap Fee Account “6” = NAV Commissionable “7” = Commissionable Defined Contribution Plan “8” = Non-Commissionable Defined Contribution Plan “9” = Section 529 – Qualified State Tuition Program “N” or “ B ” = Non NAV
128-128	X(01)	AN	CDSC WAIVER INDICATOR; acceptable values include: “1” = Gross “2” = Net “4” = Correction “5” = Death “6” = Disability “7” = Mandatory Distribution “8” = Systematic Withdrawal “9” = Defined Contribution “A” = Hardship “B” = No Commission “ B ” = No Waiver Requested
129-129	X(01)	AN	LOI/ROA INDICATOR; acceptable values include: “L” = LOI “R” = ROA “ B ” = No Indicator Requested
130-147	9(09)v9(09)	N	LOI/ROA CFRM AMOUNT; dollar value threshold to meet fund breakpoints
148-148	X(01)	AN	LOI/ROA CFRM AOUNT SIGN; acceptable values include: “-” = Negative “+” = Positive “ B ” = Unavailable or Zero Value
149-168	X(20)	AN	ROA LINK ACCOUNT; additional client accounts to aggregate for purpose of meeting stated ROA amount
169-176	X(08)	N	LOI DATE = “CCYYMMDD”
177-194	9(08)v9(10)	N	CONCESSION AMOUNT
195-195	X(01)	AN	CONCESSION AMOUNT SIGN; acceptable values include: “-” = Negative “+” = Positive “ B ” = Unavailable or Zero Value
196-196	X(01)	AN	NTF INDICATOR; acceptable values include: “R” = FundVest Trade
			“M” = FundVest Below Minimum Purchase Trade “S” = Short Term Redemption “N” or “ B ” = Not a FundVest Trade

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
197-197	X(01)	AN	EXCHANGE INDICATOR; acceptable values include: "Y" = Exchange Yes "N" or "B" = Exchange No
198-198	X(01)	AN	GROSS/NET INDICATOR; acceptable values include: "G" or "B" = Gross Dollar "N" = Net Dollar
199-199	X(01)	AN	FULL INDICATOR; acceptable values include: "B" = Full Liquidation not Requested "F" = Full Liquidation Requested
200-207	X(08)	N	TRADE DATE = "CCYYMMDD"
208-215	X(08)	N	SETTLEMENT DATE = "CCYYMMDD"
216-216	X(01)	AN	FUND SERV INDICATOR; acceptable values include: "Y" = FundServ Eligible "N" = Non-FundServ Eligible
217-224	X(08)	N	CONFIRM DATE = "CCYYMMDD"
225-225	X(01)	AN	LOAD INDICATOR; acceptable values include: "L" = Front End Load "B" = Back End Load "D" = Dual Load "N" = No Load
226-243	9(09)v9(09)	N	DEFERRED SALES CHARGE
244-244	X(01)	AN	DEFERRED SALES CHARGE SIGN; acceptable values include: "-" = Negative "+" = Positive "B" = Unavailable or Zero Value
245-249	v9(05)	N	FUND SALES CHG PCT
250-250	X(01)	AN	Literally "X"; indicates the end of record B

DETAIL RECORD C: RULES

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "MF"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-009	9(06)	N	RECORD SEQUENCE NUMBER BEGINNING WITH "000001"
010-019	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT (6); TYPE (1); acceptable values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“8” = Precious Metals “9” = Interest Adjustment
020-028	X(09)	AN	CUSIP NUMBER
029-030	9(02)	AN	RULE NUMBER
031-110	X(80)	AN	RULE MESSAGE
111-128	9(09)v9(09)	N	LOI/ROA CALCULATED AMOUNT; Dollar value threshold to meet fund breakpoints
129-129	X(01)	AN	LOI/ROA CALCULATED AMOUNT SIGN; acceptable values include: “-” = Negative “+” = Positive
130-147	9(09)v9(09)	N	LOI/ROA MANUALLY ENTERED AMOUNT; Dollar value threshold to meet fund breakpoint
148-148	X(01)	AN	LOI/ROA MANUALLY ENTERED AMOUNT SIGN; acceptable values include: “-” = Negative “+” = Positive
149-149	X(01)	AN	DIVIDEND REINVESTMENT INDICATOR; acceptable values include: “R” = Reinvestment “C” = Cash
150-150	X(01)	AN	CAPITAL GAIN INDICATOR; acceptable values include: “R” = Reinvestment “C” = Cash
151-151	X(01)	AN	DELIVERY INSTRUCTIONS; acceptable values include: “S” = Street Name (held at Pershing) “P” = Physical certificate mailed to client by fund “C” = Client name held directly at fund
152-171	X(20)	AN	FUND ACCOUNT NUMBER
172-185	X(14)	AN	LAST ACTION INDICATOR; acceptable values include: “CREATED B HHMM” = Time created “UPDATED B HHMM” = Time updated “CONFIRMED B HHMM” = Time confirmed “CANC/CORR B HHMM” = Time cancelled “DELETED B HHMM” = Time deleted
186-249	X(64)	AN	Not Used
250-250	X(01)	AN	Literally “X”; indicates the end of record C

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)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
019-036	X(18)	AN	Literally "MF B TRADE B LOGS B B B B 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"
072-082	X(11)	AN	Literally " B ENDS B HERE."
083-105	X(23)	AN	Literally "TOTAL B DETAIL B RECORDS: b "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-249	X(134)	AN	Not Used
250-250	X(01)	AN	Literally "Z"; indicates the end of the trailer record