

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: TRANSFERS**

## GENERAL INFORMATION

File Frequency: Daily  
Record Size: 500 characters  
Form Name: ACA2

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## DESCRIPTION

The Transfer (ACA2) file contains incoming and outgoing transfers and has two main types of records, Transfer Records and Asset Records.

Each transfer on the file will have one Transfer Record that contains information concerning the account and the specific transfer type and at least one Asset Record, depending on what assets are being transferred. The exception is a Pershing-initiated full incoming NSCC transfer. Pershing does not receive the assets until the contra broker responds through NSCC, so on the day that the request is created, there will be no asset records on ACA2.

The various transfer types will be identified by Transfer Types A-F in position 003. The Record Type found in position 025 will determine if the record is a Transfer Record (value "0") or one of the three Asset Record types. ("1" = Equity, "2" = Option, "3" = Mutual Fund)

All transfers are sorted by account number (and transfer identifier) within transfer type (so all "A" records will be followed by all "B" records, including the associated asset types), as in the following example:

ATA0000000188T123456.....0 (first incoming ACAT transfer, generic transfer record)  
ATA0000000188T123456.....1 (first equity asset for this transfer)  
ATA0000000188T123456.....1 (second equity asset for this transfer)  
ATA0000000188T123456.....2 (first option asset for this transfer)  
ATA0000000288T234567.....0 (second incoming ACAT transfer, generic transfer record)  
ATA0000000288T234567.....3 (first mutual fund asset for this transfer)  
....  
ATB0000052288T345678.....0 (first incoming Non-ACAT; generic transfer record)  
ATB0000052288T345678.....1 (first equity asset for this Non-ACAT event)

The symbol "␣" is used on our standard files to represent spaces.

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# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>B B B B B B</b> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "ACCOUNT <b>B</b> TRANSFER <b>B B</b> "
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>B B</b> "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " <b>B</b> TO <b>B</b> REMOTE <b>B</b> "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <b>B 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"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED/NOT APPLICABLE – literally "REFRESHED", "UPDATED <b>B B</b> " or " <b>B B B B B B B B B</b> "
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally "A"; indicates the end of the header record

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A – INCOMING ACAT (NSCC); TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “A”; Incoming ACAT Transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FRV” = Fail Reversal “FUL” = Full Transfer “MFC” = Mutual Fund Clean-up “PTD” = Partial Transfer Deliverer Initiated “PTR” = Partial Transfer Receiver Initiated “RCL” = Reclaims “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T, ACA2 Codes, for values
032-033	9(02)	N	NUMBER OF DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “ <b>B</b> ” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>b</b> ” = Not Applicable

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Roll Over Contribution “TOA” = Transfer of Account
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>b</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-233	X(02)	AN	NSCC ACCOUNT TYPE; see Appendix T, ACA2 Codes, for values
234-236	X(03)	AN	NSCC STATUS; see Appendix T, ACA2 Codes, for values
237-238	9(02)	N	NUMBER OF DAYS IN NSCC STATUS
239-252	X(14)	AN	NSCC CONTROL NUMBER
253-254	X(02)	AN	REASON CODE FOR REJECT; see Appendix T, ACA2 Codes, for values
255-374	X(120)	AN	REASON COMMENTS; free-form text
375-487	X(113)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B – INCOMING NON-ACAT; TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “B”; Incoming Non-ACAT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FUL” = Full Transfer “PTR” = Partial Transfer Receiver Initiated “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T, ACA2 Codes, for values
032-033	9(02)	N	DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “BB” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “B” = Not Applicable
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Rollover Contribution “TOA” = Transfer of Account
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>B</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-263	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 2
264-295	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 3
296-327	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 4
328-335	9(08)	N	FOLLOW-UP DATE, in CCYYMMDD format
336-343	9(08)	N	RELEASE/APPROVAL DATE, in CCYYMMDD format
344-351	9(08)	N	TRANSFER CLOSED DATE, in CCYYMMDD format
352-353	X(02)	AN	REJECT CODE; see Appendix T, ACA2 Codes, for values
354-473	X(120)	AN	REASON COMMENTS; free-form text
474-487	X(14)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record B

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD C – INCOMING CIT (INTERNAL); TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “C”; Incoming CIT (Internal) Transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FUL” = Full Transfer “PTR” = Partial Transfer Receiver Initiated “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T for values
032-033	9(02)	N	DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “BB” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “B” = Not Applicable
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Roll Over Contribution “TOA” = Transfer of Account

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>B</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-233	X(02)	AN	REASON CODE FOR REJECT; see Appendix T, ACA2 Codes, for values
234-353	X(120)	AN	REASON COMMENTS; free-form text
354-487	X(134)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record C



# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D – OUTGOING ACAT (NSCC); TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “D”; Outgoing ACAT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FRV” = Fail Reversal “FUL” = Full Transfer “MFC” = Mutual Fund Clean-up “PTD” = Partial Transfer Deliverer Initiated “PTR” = Partial Transfer Receiver Initiated “RCL” = Reclaims “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T, ACA2 Codes, for values
032-033	9(02)	N	NUMBER OF DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “ <b>B</b> ” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>b</b> ” = Not Applicable

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Roll Over Contribution “TOA” = Transfer of Account
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>b</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-233	X(02)	AN	NSCC ACCOUNT TYPE; see Appendix T, ACA2 Codes, for values
234-236	X(03)	AN	NSCC STATUS; see Appendix T, ACA2 Codes, for values
237-238	9(02)	N	NUMBER OF DAYS IN NSCC STATUS
239-252	X(14)	AN	NSCC CONTROL NUMBER
253-254	X(02)	AN	REASON CODE FOR REJECT; see Appendix T, ACA2 Codes, for values
255-374	X(120)	AN	REASON COMMENTS; free-form text
375-487	X(113)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record D

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD E – OUTGOING NON-ACAT; TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “E” Outgoing Non-ACAT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FUL” = Full Transfer “PTR” = Partial Transfer Receiver Initiated “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T, ACA2 Codes, for values
032-033	9(02)	N	DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “BB” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “B” = Not Applicable
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Roll Over Contribution “TOA” = Transfer of Account

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>B</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-263	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 2
264-295	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 3
296-327	X(32)	AN	CUSTOMER ACCOUNT REGISTRATION 4
328-335	9(08)	N	FOLLOW-UP DATE, in CCYYMMDD format
336-343	9(08)	N	RELEASE/APPROVAL DATE, in CCYYMMDD format
344-351	9(08)	N	TRANSFER CLOSED DATE, in CCYYMMDD format
352-353	X(02)	AN	REJECT CODE; see Appendix T, ACA2 Codes ,
354-473	X(120)	AN	REASON COMMENTS; free-form text
474-487	X(14)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record E

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD F – OUTGOING CIT (INTERNAL); TRANSFER LEVEL

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE = “F”; Outgoing CIT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “0” = Transfer Level record
026-028	X(03)	AN	TRANSFER TYPE; values include: “FUL” = Full Transfer “PTR” = Partial Transfer Receiver Initiated “RCR” = Residual Transfer
029-031	X(03)	AN	TRANSFER STATUS; see Appendix T, ACA2 Codes, for values
032-033	9(02)	N	DAYS IN PERSHING STATUS
034-037	X(04)	AN	CONTRA BROKER NUMBER
038-072	X(35)	AN	CONTRA BROKER NAME
073-107	X(35)	AN	CONTRA ACCOUNT NUMBER
108-109	X(02)	AN	RETIREMENT ACCOUNT CLASS INDICATOR; values include: “B1” = IRA for which Pershing LLC is the Custodian “B2” = IRA for which Pershing LLC is not the Custodian “B3” = IRA where Pershing LLC acts as a servicing agent “BB” = Non-retirement account
110-117	9(08)	N	REQUEST CREATION DATE, in CCYYMMDD format
118-125	X(08)	AN	REQUEST CREATION USER ID
126-133	9(08)	N	LAST UPDATE DATE, in CCYYMMDD format
134-141	X(08)	AN	LAST UPDATE USER ID
142-159	9(16)v9(02)	N	TOTAL MARKET VALUE OF THIS TRANSFER
160-160	X(01)	AN	TOTAL MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “B” = Not Applicable
161-163	X(03)	AN	SOURCE CODE; values include: “DRD” = Direct Rollover Due to Death “DRQ” = Direct Rollover “ROC” = Roll Over Contribution “TOA” = Transfer of Account

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
164-181	9(16)v9(02)	N	SPECIAL MEMORANDUM ACCOUNT (SMA).
182-182	X(01)	AN	SPECIAL MEMORANDUM ACCOUNT SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>B</b> ” = Not Applicable
183-222	X(40)	AN	CUSTOMER NAME
223-231	X(09)	AN	PRIMARY TAX IDENTIFICATION NUMBER
232-233	X(02)	AN	REASON CODE FOR REJECT; see Appendix T, ACA2 Codes, for values
234-353	X(120)	AN	REASON COMMENTS; free-form text
354-487	X(134)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record F

# PERSHING STANDARD FILE LAYOUTS

## ASSET LEVEL RECORD TYPE 1 – EQUITY

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE (depends on the type of transfer); values include: “A” = Incoming ACAT transfer “B” = incoming Non-ACAT transfer “C” = Incoming CIT transfer “D” = Outgoing ACAT transfer “E” = Outgoing Non-ACAT transfer “F” = Outgoing CIT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “1” = Equity Asset record
026-026	X(01)	AN	ASSET TYPE ID; values include: “C” = CUSIP “M” = Memo
027-035	X(09)	AN	ASSET NUMBER (NOTE: if ASSET TYPE ID is “M”, this field will be all ZEROES and ASSET DESCRIPTION becomes a description of the memo); if the ASSET NUMBER = 888888888, then the asset is a credit; if the ASSET NUMBER = 999999999, then the asset is a debit
036-042	X(07)	AN	Not Used
043-102	X(60)	AN	ASSET DESCRIPTION
103-105	X(03)	AN	ASSET STATUS; see Appendix T, ACA2 Codes, for values
106-123	9(13)v9(05)	N	ACTUAL QUANTITY
124-124	X(01)	AN	ACTUAL QUANTITY SIGN; values include: “+” = Positive Quantity “-” = Negative Quantity “ <b>b</b> ” = Not Applicable
125-142	9(16)v9(02)	N	MARKET VALUE OF THIS ASSET
143-143	X(01)	AN	MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>b</b> ” = Not Applicable

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
144-144	X(01)	AN	CASH MARGIN INDICATOR; values include: “C” = Cash “M” = Margin “S” = Short
145-148	X(04)	AN	NSCC METHOD OF DELIVERY CODE; see Appendix T, ACA2 Codes, for values
149-149	X(01)	AN	LONG/SHORT INDICATOR; values include: “0” = Position Long “1” = Position Short
150-487	X(338)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record 1



# PERSHING STANDARD FILE LAYOUTS

## ASSET LEVEL RECORD TYPE 2 – OPTION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = “AT”
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE (depends on the type of transfer); values include: “A” = Incoming ACAT transfer “B” = incoming Non-ACAT transfer “C” = Incoming CIT transfer “D” = Outgoing ACAT transfer “E” = Outgoing Non-ACAT transfer “F” = Outgoing CIT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: “2” = Option Asset record
026-026	X(01)	AN	ASSET TYPE ID; values include: “C” = CUSIP “M” = Memo
027-035	X(09)	AN	ASSET NUMBER (NOTE: if ASSET TYPE ID is “M”, this field will be all ZEROES and ASSET DESCRIPTION becomes a description of the memo)*
036-042	X(07)	AN	Not Used
043-102	X(60)	AN	ASSET DESCRIPTION
103-105	X(03)	AN	ASSET STATUS; see Appendix T, ACA2 Codes, for values
106-123	9(13)v9(05)	N	ACTUAL QUANTITY
124-124	X(01)	AN	ACTUAL QUANTITY SIGN; values include: “+” = Positive Quantity “-” = Negative Quantity “ <b>B</b> ” = Not Applicable
125-142	9(16)v9(02)	N	MARKET VALUE OF THIS ASSET
143-143	X(01)	AN	MARKET VALUE SIGN; values include: “+” = Debit Amount “-” = Credit Amount “ <b>B</b> ” = Not Applicable
144-144	X(01)	AN	CASH MARGIN INDICATOR; values include: “C” = Cash “M” = Margin “S” = Short

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
145-148	X(04)	AN	NSCC METHOD OF DELIVERY CODE; see Appendix T, ACA2 Codes, for values
149-149	X(01)	AN	LONG/SHORT INDICATOR; values include: "0" = Position Long "1" = Position Short
OCC DATA SET – The following four fields (in position 150 through 170) comprise the OCC DATA SET. To be used in lieu of the OPRA Symbol			
150-155	X(06)	AN	OPTION ROOT ID
156-161	9(06)	N	EXPIRATION DATE, in YYMMDD format
162-162	X(01)	AN	PUT/CALL CODE; 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
163-170	9(05)v9(03)	N	STRIKE PRICE
171-487	X(317)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally "X"; indicates the end of detail record 2

# PERSHING STANDARD FILE LAYOUTS

## ASSET LEVEL RECORD TYPE 3 – MUTUAL FUND

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE VALUE = "AT"
003-003	X(01)	AN	RECORD INDICATOR TRANSFER TYPE (depends on the type of transfer); values include: "A" = Incoming ACAT transfer "B" = incoming Non-ACAT transfer "C" = Incoming CIT transfer "D" = Outgoing ACAT transfer "E" = Outgoing Non-ACAT transfer "F" = Outgoing CIT transfer
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER, begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
024-024	X(01)	AN	Not Used
025-025	X(01)	AN	RECORD TYPE; value includes: "3" = Mutual Fund Asset record
026-026	X(01)	AN	ASSET TYPE ID; values include: "C" = CUSIP "M" = Memo
027-035	X(09)	AN	ASSET NUMBER (NOTE: if ASSET TYPE ID is "M", this field will be all ZEROES and ASSET DESCRIPTION becomes a description of the memo)*
036-042	X(07)	AN	Not Used
043-102	X(60)	AN	ASSET DESCRIPTION
103-105	X(03)	AN	ASSET STATUS; see Appendix T, ACA2 Codes, for values
106-123	9(13)v9(05)	N	ACTUAL QUANTITY
124-124	X(01)	AN	ACTUAL QUANTITY SIGN; values include: "+" = Positive Quantity "-" = Negative Quantity "B" = Not Applicable
125-142	9(16)v9(02)	N	MARKET VALUE OF THIS ASSET
143-143	X(01)	AN	MARKET VALUE SIGN; values include: "+" = Debit Amount "-" = Credit Amount "B" = Not Applicable
144-144	X(01)	AN	CASH MARGIN INDICATOR; values include: "C" = Cash "M" = Margin "S" = Short

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
145-148	X(04)	AN	NSCC METHOD OF DELIVERY CODE; see Appendix T, ACA2 Codes, for values
149-149	X(01)	AN	NETWORK INDICATOR; values include: "Y" = Yes "N" = No
150-150	X(01)	AN	DIVIDEND /CAPITAL GAIN CODE; values include: "0" = Cash "1" = Reinvest "2" = Div-Cash/LTG-Cash/STG-Reinvest "3" = Div-Cash/LTG-Reinvest/STG-Reinvest "4" = Div-Cash/LTG-Reinvest/STG-Cash "5" = Div-Reinvest/LTG-Cash/STG-Cash "6" = Div- Reinvest/LTG-Reinvest/STG-Cash "7" = Div- Reinvest/LTG-Cash/STG-Reinvest
151-151	X(01)	AN	BROKER DEALER INDICATOR; values include: "Y" = Yes "N" = No "U" = Unknown
152-152	X(01)	AN	MUTUAL FUND DETAIL STATUS CODE; values include: "A" = Pending Pershing Approval "B" = Booked "C" = Completed "D" = Deleted - No Pending "E" = Pending Dealer Change Form "F" = Fund Processing Letter "I" = Pending Instruction Letter to the Fund "J" = Reject "K" = Cancelled "L" = Deleted - Pending Revision "M" = Pending IBD Papers "N" = Fund Processing - B52 "P" = Pending Pershing Instruction "Q" = Completed - Tolerance Problem "R" = Rejected - Both "S" = Pending B50 / 3rd party instruction "T" = Pending Transmission "W" = Sent B50 / 3rd party instruction "Z" = Rejected Pershing
153-160	X(08)	AN	LAST STATUS UPDATE USER ID
161-168	9(08)	N	ACTUAL FUND DATE, in CCYYMMDD format
169-176	X(08)	AN	ACTUAL FUND USER ID
177-196	X(20)	AN	FUND ACCOUNT NUMBER

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
197-200	X(04)	AN	FUND FAMILY NUMBER
201-206	X(06)	AN	MFTS REFERENCE NUMBER
207-207	X(01)	AN	REQUESTED QUANTITY INDICATOR; values include: “F” = Full Position Requested “P” = Partial Position Requested
208-225	9(13)v9(05)	N	REQUESTED QUANTITY - this will be zero when a Full Position is requested
226-226	X(01)	AN	REQUESTED QUANTITY SIGN; values include: “+” = Positive Quantity “-” = Negative Quantity “ <b>B</b> ” = Not Applicable
227-487	X(261)	AN	Not Used
488-499	X(12)	AN	REQUEST ID
500-500	X(01)	AN	Literally “X”; indicates the end of detail record 3

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOF <b>B B B B B B</b> PERSHING <b>B</b> ” (end of Pershing file)
019-036	X(18)	AN	Literally “ACCOUNT <b>B</b> TRANSFER <b>B B</b> ”
037-046	X(10)	AN	Literally “ <b>B</b> DATA <b>B</b> OF <b>B B</b> ”
047-056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057-067	X(11)	AN	Literally “ <b>B</b> TO <b>B</b> REMOTE <b>B</b> ”
068-071	X(04)	AN	REMOTE ID = “XXXX”
072-083	X(12)	AN	Literally “ <b>B</b> ENDS <b>B</b> HERE <b>B</b> ”
084-105	X(22)	AN	Literally “TOTAL <b>B</b> DETAIL <b>B</b> RECORDS: <b>B</b> ”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED/NOT APPLICABLE – literally “REFRESHED”, UPDATED <b>B B</b> , or “ <b>B B B B B B B B B</b> ”
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally “Z”; indicates the end of the trailer record