

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: ACCOUNT SERVICES AUDIT DATA

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Form Name: ASAT

DESCRIPTION

The ASAT file contains Account Services Audit Trail information.

- Record type A contains account opening information and three levels of approval details. This is the only mandatory record.
- Record B contains changes. This record is optional and must be requested.
- Record C contains deletes. This record is optional and must be requested.

The symbol “**B**” is used on our standard files to represent spaces.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|--|
| 001-018 | X(18) | AN | Literally “BOF B B B B B B PERSHING B ” (beginning of Pershing file) |
| 019-036 | X(18) | AN | Literally “ASAT B STND B FILE 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” |
| 105-118 | X(14) | AN | Not Used |
| 119-125 | X(07) | AN | Literally “UPDATED” |
| 126-149 | X(24) | AN | Not Used |
| 150-150 | X(01) | AN | Literally “A”; indicates the end of the header record |

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD A - ADDS

| POSITION | PICTURE | TYPE | DESCRIPTION |
|-----------------------------------|---------|------|---|
| 001-002 | X(02) | AN | TRANSACTION CODE = "AT" |
| 003-003 | X(01) | AN | RECORD ID = "A" |
| 004-011 | 9(08) | N | SEQUENCE NUMBER |
| 012-020 | X(09) | AN | ACCOUNT NUMBER |
| 021-028 | X(08) | AN | ACCOUNT OPEN DATE, in CCYYMMDD format |
| Account Opening Level - Initiator | | | |
| 029-036 | X(08) | AN | USER ID |
| 037-048 | X(12) | AN | USER ROLE |
| 049-056 | X(08) | AN | AUDIT ACTION DATE, in CCYYMMDD format |
| 057-062 | X(06) | AN | AUDIT ACTION TIME, in HHMISS format |
| Approval Level 1 | | | |
| 063-070 | X(08) | AN | USER ID |
| 071-082 | X(12) | AN | USER ROLE |
| 083-090 | X(08) | AN | AUDIT ACTION DATE, in CCYYMMDD format |
| 091-096 | X(06) | AN | AUDIT ACTION TIME, in HHMISS format |
| Approval Level 2 | | | |
| 097-104 | X(08) | AN | USER ID |
| 105-116 | X(12) | AN | USER ROLE |
| 117-124 | X(08) | AN | AUDIT ACTION DATE, in CCYYMMDD format |
| 125-130 | X(06) | AN | AUDIT ACTION TIME, in HHMISS format |
| Approval Level 3 | | | |
| 131-138 | X(08) | AN | USER ID |
| 139-150 | X(12) | AN | USER ROLE |
| 151-158 | X(08) | AN | AUDIT ACTION DATE, in CCYYMMDD format |
| 159-164 | X(06) | AN | AUDIT ACTION TIME, in HHMISS format |
| 165-249 | X(85) | AN | Not Used |
| 250-250 | X(01) | AN | Literally "X"; indicates the end of the detail record |

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B - CHANGES (OPTIONAL; MUST BE REQUESTED)

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|--|
| 001-002 | X(02) | AN | TRANSACTION CODE = "AT" |
| 003-003 | X(01) | AN | RECORD ID = "B" |
| 004-011 | 9(08) | N | SEQUENCE NUMBER |
| 012-020 | X(09) | AN | ACCOUNT NUMBER |
| 021-024 | X(04) | AN | ACCOUNT TYPE |
| 025-032 | X(08) | AN | ACCOUNT CHANGE DATE, in MM/DD/YY format |
| 033-040 | X(08) | AN | ACCOUNT CHANGE TIME, in HH:MI:SS format |
| 041-048 | X(08) | AN | USER ID |
| 049-071 | X(23) | AN | CHANGE DESCRIPTION |
| 072-103 | X(32) | AN | PREVIOUS VALUE |
| 104-135 | X(32) | AN | VALUE AFTER CHANGE |
| 136-138 | X(03) | AN | INTRODUCING BROKER DEALER (IBD) NUMBER |
| 139-139 | X(01) | AN | <i>Reserved</i> |
| 140-249 | X(110) | AN | Not Used |
| 250-250 | X(01) | AN | Literally "X"; indicates the end of record B |

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C - DELETES (OPTIONAL; MUST BE REQUESTED)

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|---|
| 001-002 | X(02) | AN | TRANSACTION CODE = "AT" |
| 003-003 | X(01) | AN | RECORD ID = "C" |
| 004-011 | 9(08) | N | SEQUENCE NUMBER |
| 012-020 | X(09) | AN | ACCOUNT NUMBER |
| 021-024 | X(04) | AN | ACCOUNT TYPE; see Record B, position 24, for values |
| 025-032 | X(08) | AN | DELETE DATE, in MM/DD/YY format |
| 033-040 | X(08) | AN | DELETE TIME, in HH:MM:SS format |
| 041-048 | X(08) | AN | DELETE USER-ID |
| 049-112 | X(64) | AN | DELETE DESCRIPTION |
| 113-115 | X(03) | AN | INTRODUCING BROKER DEALER (IBD) NUMBER |
| 116-116 | X(01) | AN | <i>Reserved</i> |
| 117-249 | X(133) | 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) |
| 019-036 | X(18) | AN | Literally "ASAT b STND b FILE b b b b " |
| 037-046 | X(10) | AN | Literally " b DATA b OR 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" |
| 072-083 | 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 |
| 116-118 | X(03) | AN | Not Used |
| 119-125 | X(07) | AN | Literally "UPDATED" |
| 126-149 | X(24) | AN | Not Used |
| 150-150 | X(01) | AN | Literally "Z"; indicates the end of the trailer record |