

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 - 249	X(124)	AN	Not Used
250 - 250	X(01)	AN	Literally “A”; indicates the end of the header record

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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

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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

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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:MI: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" followed by 17 'B's, "PERSHING" followed by 1 'B' (end of Pershing file)
019 - 036	X(18)	AN	Literally "ASAT" followed by 17 'B's, "STND" followed by 1 'B', "FILE" followed by 4 'B's
037 - 046	X(10)	AN	Literally "B" followed by 9 'B's, "DATA" followed by 1 'B', "OF" followed by 2 'B's
047 - 056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057 - 067	X(11)	AN	Literally "B" followed by 10 'B's, "TO" followed by 1 'B', "REMOTE" followed by 1 'B'
068 - 071	X(04)	AN	REMOTE ID = "XXXX"
072 - 083	X(12)	AN	Literally "B" followed by 11 'B's, "ENDS" followed by 1 'B', "HERE." followed by 1 'B'
084 - 105	X(22)	AN	Literally "TOTAL" followed by 1 'B', "DETAIL" followed by 1 'B', "RECORDS:" followed by 1 '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 - 249	X(124)	AN	Not Used
250 - 250	X(01)	AN	Literally "Z"; indicates the end of the trailer record