

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SUBSCRIPTION PRODUCTS ORDERS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 500 Characters
 Form Name: ASPO

DESCRIPTION

The Subscription Products Order file (ASPO) is created daily from the Automated Subscription Products System (ASPS) and contains all annuity orders facilitated through NetX360, including but not limited to new purchases and subsequent purchases. Headers and Trailers are included as part of the file. The ASPO file, together with the ASPF file, currently contains all data for direct orders and transactional activity (financial and non-financial).

Record 1 (Share Class) and Record 2 (Suitability) are both 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 “ASPO B ORDER B FILE 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”
105-499	X(395)	AN	Not Used
500-500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "AO"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-014	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
015-015	X(01)	AN	Not Used
016-018	X(03)	AN	OFFICE NUMBER
019-021	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
022-022	X(01)	AN	Not Used
023-031	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
032-051	X(20)	AN	APPLICATION CONTROL NUMBER; unique order identifier
052-056	9(05)	N	ORDER RECORD SEQUENCE NUMBER
057-060	X(04)	AN	DTCC PARTICIPANT ID
061-063	X(03)	AN	TYPE OF ACTIVITY; values include: "APP" = Initial application "SUB" = Subsequent purchase
064-100	X(37)	AN	Not Used
101-400	X(300)	AN	Refer to the document "DTCC Record Layout: Initial Application and Subsequent Premium (APP/SUB)" for the various record types/layouts that correspond to these 300 bytes.
401-435	X(35)	AN	NAME OF INSURANCE COMPANY
436-499	X(64)	AN	Not Used
500-500	X(01)	AN	Literally "X"; indicates the end of detail record A

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DETAIL RECORD 1 - OPTIONAL SHARE CLASS (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "AO"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "1"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-014	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
015-015	X(01)	AN	Not Used
016-018	X(03)	AN	OFFICE NUMBER
019-021	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
022-022	X(01)	AN	Not Used
023-031	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
032-051	X(20)	AN	APPLICATION CONTROL NUMBER; unique order identifier
052-056	9(05)	N	ORDER RECORD SEQUENCE NUMBER
057-060	X(04)	AN	DTCC PARTICIPANT ID
061-063	X(03)	AN	TYPE OF ACTIVITY; values include: "APP" = Initial application "SUB" = Subsequent purchase
064-100	X(37)	AN	Not Used
101-101	X(01)	AN	SUBMITTERS CODE FROM DTCC DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
102-103	X(02)	AN	RECORD TYPE FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
104-105	X(02)	AN	ORDER RECORD IDENTIFIER; value includes: "AA"
106-125	X(20)	AN	APPLICATION CONTROL NUMBER FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
126-135	X(10)	AN	SHARE CLASS ASSOCIATED WITH THE ANNUITY ORDER
136-400	X(265)	AN	Not Used
401-435	X(35)	AN	NAME OF INSURANCE COMPANY
436-499	X(64)	AN	Not Used
500-500	X(01)	AN	Literally "X"; indicates the end of detail record 1

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DETAIL RECORD 2 - SUITABILITY INFORMATION (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "AO"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "2"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-014	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
015-015	X(01)	AN	Not Used
016-018	X(03)	AN	OFFICE NUMBER
019-021	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
022-022	X(01)	AN	Not Used
023-031	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
032-051	X(20)	AN	APPLICATION CONTROL NUMBER; unique order identifier
052-056	9(05)	N	ORDER RECORD SEQUENCE NUMBER
057-060	X(04)	AN	DTCC PARTICIPANT ID
061-063	X(03)	AN	TYPE OF ACTIVITY; values include: "APP" = Initial application "SUB" = Subsequent purchase
064-100	X(37)	AN	Not Used
101-101	X(01)	AN	SUBMITTERS CODE FROM DTCC DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
102-103	X(02)	AN	RECORD TYPE FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
104-105	X(02)	AN	ORDER RECORD IDENTIFIER; value includes: "BB"
106-125	X(20)	AN	APPLICATION CONTROL NUMBER FROM DOCUMENT "DTCC RECORD LAYOUT: Initial Application and Subsequent Premium (APP/SUB)"
126-135	X(10)	AN	SUITABILITY QUESTION IDENTIFICATION NUMBER
136-305	X(170)	AN	SUITABILITY QUESTION IN TEXT FORMAT
306-315	X(10)	AN	SUITABILITY ANSWER IDENTIFICATION NUMBER
316-395	X(80)	AN	SUITABILITY ANSWER; in text format
396-396	X(1)	AN	SUITABILITY AUTO FAIL INDICATOR; values include: "Y" = Order fails Enterprise Rules Engine edit "N" = Order does not fail Enterprise Rules Engine edit
397-400	X(4)	AN	Not Used
401-435	X(35)	AN	NAME OF INSURANCE COMPANY
436-499	X(64)	AN	Not Used
500-500	X(01)	AN	Literally "X"; indicates the end of detail record 2

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TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF B B B B B PERSHING b " (end of Pershing file)
019-036	X(18)	AN	Literally "ASPO B ORDER B FILE 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"
072-083	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
116-499	X(384)	AN	Not Used
500-500	X(01)	AN	Literally "Z"; indicates the end of the trailer record