

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SUBSCRIPTION PRODUCTS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 132 Characters
 Form Name: ASPS

DESCRIPTION

This file originates from the Subscription Products System (ASPS) and results from annuity orders that have been processed through ASPS, and acknowledged by the product sponsor. The Subscription file contains all data pertinent to the position such as the contract number and subaccount balances (including their valuations), as provided by the product sponsors.

There is one "1" record, one "2" record, with one or multiple "3" records.

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)
019-037	X(19)	AN	Literally "SUBSCRIPTION B PRODUC"
038-046	X(09)	AN	Literally "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"
105-131	X(27)	AN	Not Used
132-132	X(01)	AN	Literally "A"; indicates the end of the header record

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DETAIL RECORD ONE

POSITION	PICTURE	TYPE	DESCRIPTION
001-001	X(01)	AN	RECORD INDICATOR VALUE = "1"
002-010	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5) and Check Digit (1)
011-013	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
014-026	X(13)	AN	SUBSCRIPTION PRODUCTS REFERENCE NUMBER
027-041	X(15)	AN	CONTRACT NUMBER
042-043	X(02)	AN	<p>SUBSCRIPTION STATUS; values include:</p> <p>"01" = An order has been entered and is pending</p> <p>"03" = An order has been entered and approved but in "Hold" status, most likely due to insufficient funds in the brokerage account to send the order to the insurance company</p> <p>"04" = An order has been entered, approved, and is waiting to be sent to the insurance company</p> <p>"05" = An order has been entered, approved, and has been transmitted to the insurance company</p> <p>"08" = The contract is considered "Active" on Pershing's books and is networked to a Pershing account</p> <p>"09" = The contract is considered "Closed" on Pershing's books and is not networked to a Pershing account</p> <p>"10" = An order was entered, but was deleted and is no longer active (this is a legacy value that is currently not used)</p> <p>"11" = An order was entered, but was cancelled; no longer active</p> <p>"12" = An order was entered, rejected, and is no longer active</p> <p>"15" = The contract is in reversed status and may be set back to active status at some point</p> <p>"19" = An order was entered, approved, and transmitted, but never acknowledged by the insurance company. A balance for the Subscription Number was processed as active, giving this contract a status of "Received"</p>
044-052	X(09)	AN	CUSIP NUMBER
053-053	X(01)	AN	<p>PRODUCT TYPE; values include:</p> <p>"E" = Indexed Annuity</p> <p>"F" = Fixed Annuity</p> <p>"I" = Insurance Annuity</p> <p>"O" = Offshore Annuity</p> <p>"V" = Variable Annuity</p>
054-068	9(09)v9(06)	N	SHARE QUANTITY
069-083	9(13)v9(02)	N	SHARE PRICE
084-098	9(13)v9(02)	N	CONTRACT VALUE
099-100	9(02)	N	NUMBER OF UNDERLYING FUNDS
101-108	X(08)	AN	PRODUCT CODE
109-132	X(24)	AN	Not Used

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DETAIL RECORD TWO

POSITION	PICTURE	TYPE	DESCRIPTION
001-001	X(01)	AN	RECORD INDICATOR VALUE = "2"
002-010	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5) and Check Digit (1)
011-013	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
014-026	X(13)	AN	SUBSCRIPTION PRODUCTS REFERENCE NUMBER
027-132	X(106)	AN	PRODUCT DESCRIPTION

DETAIL RECORD THREE

POSITION	PICTURE	TYPE	DESCRIPTION
001-001	X(01)	AN	RECORD INDICATOR VALUE = "3"
002-010	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5) and Check Digit (1)
011-013	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD
014-026	X(13)	AN	SUBSCRIPTION PRODUCTS REFERENCE NUMBER
027-039	X(13)	AN	INVESTMENT CODE
040-069	X(30)	AN	UNDERLYING FUND DESCRIPTION
070-084	9(09)v9(06)	N	UNITS HELD
085-099	9(09)v9(06)	N	UNIT PRICE
100-105	9(03)v9(03)	N	GUARANTEED RATE (zero if not fixed income instrument)
106-113	9(08)	N	MATURITY DATE, in MMDDCCYY format
114-119	9(03)v9(03)	N	INVESTMENT PERCENTAGE
120-132	X(13)	AN	Not Used

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)
019-037	X(19)	AN	Literally "SUBSCRIPTION B PRODUC"
038-046	X(09)	AN	Literally "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
116-131	X(16)	AN	Not Used
132-132	X(01)	AN	Literally "Z"; indicates the end of the trailer record