

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: ACCOUNTS FOR STATEMENT REVIEW

GENERAL INFORMATION

File Frequency: Monthly
 Record Size: 500 characters
 Form Name: ASTM

DESCRIPTION

The Accounts for Statement Review file (ASTM) is created monthly using data from the Accounts for Statement Review Report. This file consists of data that your firm defines in the Statement Selection Criteria screen in Compliance View.

This file contains header and trailer records that confirm the beginning and end of the file, the date it was created, and the file's total number of records.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF BBBBBB PERSHING b " (beginning of Pershing file)
019-036	X(18)	AN	Literally "ACCOUNTS b STMT b REVIEW"
037-046	X(10)	AN	Literally " b DATA b OF bb "
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	Literally = "XXXX"
072-085	X(14)	AN	Literally " b BEGINS b HERE bb "
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 = "AS"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	ID SEQUENCE NUMBER; begins with "000001"
010-018	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), and Check Digit (1)
019-021	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
022-024	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
025-034	X(10)	AN	ACCOUNT SHORT NAME
035-036	X(02)	AN	Not Used
037-046	X(10)	AN	INVESTMENT PROFESSIONAL NAME
047-054	X(08)	AN	STATEMENT REVIEWED REFERENCE; free-form; space is a valid value
055-069	9(13)v9(02)	N	MARGIN ACCOUNT SETTLED DEBIT BALANCE, as of month end
070-070	X(01)	AN	MARGIN ACCOUNT SETTLED DEBIT BALANCE SIGN; values include: “-” = Negative “+” = Positive “X” = Not applicable “ b ” = Unavailable or zero value
071-085	9(13)v9(02)	N	SUM OF GROSS COMMISSION, from all settled trades during this statement period
086-086	X(01)	AN	SUM OF GROSS COMMISSION SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
087-097	9(09)v9(02)	N	ANNUALIZED TURNOVER RATIO FOR THE ACCOUNT
098-098	X(01)	AN	ANNUALIZED TURNOVER RATIO SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
099-113	9(13)v9(02)	N	CURRENT MONTH NET WORTH; when compared to last month
114-114	X(01)	AN	CURRENT MONTH NET WORTH SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
115-123	9(07)v9(02)	N	PERCENTAGE DECREASE IN NET WORTH (last month)

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POSITION	PICTURE	TYPE	DESCRIPTION
124-124	X(01)	AN	PERCENTAGE MONTH DECREASE IN NET WORTH SIGN; values include: “-” = Negative “+” = Positive “X” = Not applicable “ b ” = Unavailable or zero value
125-133	9(07)v9(02)	N	PERCENTAGE YEAR-END DECREASE IN NET WORTH
134-134	X(01)	AN	PERCENTAGE YEAR-END DECREASE IN NET WORTH SIGN; values include: “-” = Negative “+” = Positive “X” = Not applicable “ b ” = Unavailable or zero value
135-149	9(13)v9(02)	N	PREVIOUS MONTH NET WORTH
150-150	X(01)	AN	PREVIOUS MONTH NET WORTH SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
151-165	9(13)v9(02)	N	PREVIOUS YEAR-END NET WORTH
166-166	X(01)	AN	PREVIOUS YEAR-END NET WORTH SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
167-181	9(13)v9(02)	N	TOTAL AMOUNT OF FUNDS RECEIVED INTO THE ACCOUNT DURING THE PREVIOUS MONTH
182-182	X(01)	AN	TOTAL AMOUNT OF FUNDS RECEIVED DURING THE PREVIOUS MONTH SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
183-197	9(13)v9(02)	N	TOTAL AMOUNT OF FUNDS RECEIVED INTO THE ACCOUNT DURING THE PREVIOUS YEAR
198-198	X(01)	AN	TOTAL AMOUNT OF FUNDS RECEIVED DURING THE PREVIOUS YEAR SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
199-213-	9(13)v9(02)	N	TOTAL AMOUNT OF FUNDS DISBURSED FROM THE ACCOUNT DURING THE PREVIOUS MONTH
214-214	X(01)	AN	TOTAL AMOUNT OF FUNDS DISBURSED DURING THE PREVIOUS YEAR MONTH; values include: “-” = Negative “+” = Positive

(cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“ b ” = Unavailable or zero value
215-229	9(13)v9(02)	N	TOTAL AMOUNT OF FUNDS DISBURSED FROM THE ACCOUNT DURING THE PREVIOUS YEAR
230-230	X(01)	AN	TOTAL AMOUNT OF FUNDS DISBURSED DURING THE PREVIOUS YEAR; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
231-245	9(13)v9(02)	N	NET AMOUNT OF FUNDS RECEIVED/DISBURSED DURING THE PREVIOUS MONTH
246-246	X(01)	AN	NET AMOUNT OF FUNDS RECEIVED/DISBURSED DURING THE PREVIOUS MONTH; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
247-261	9(13)v9(02)	N	NET AMOUNT OF FUNDS RECEIVED/DISBURSED DURING THE PREVIOUS YEAR
262-262	X(01)	AN	NET AMOUNT OF FUNDS RECEIVED/DISBURSED DURING THE PREVIOUS YEAR; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
263-270	9(08)	N	NUMBER OF EQUITY TRADES
271-271	X(01)	AN	NUMBER OF EQUITY TRADES SIGN; value include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
272-279	9(08)	N	NUMBER OF FUND TRADES
280-280	X(01)	AN	NUMBER OF FUND TRADES SIGN; value include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
281-288	9(08)	N	NUMBER OF FIXED INCOME TRADES
289-289	X(01)	AN	NUMBER OF FIXED INCOME TRADES SIGN; value include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value
290-297	9(08)	N	NUMBER OF OPTIONS TRADES
298-298	X(01)	AN	NUMBER OF OPTIONS TRADES SIGN; value include: “-” = Negative “+” = Positive “ b ” = Unavailable or zero value

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POSITION	PICTURE	TYPE	DESCRIPTION
299-306	9(08)	N	NUMBER OF OTHER TRADES
307-307	X(01)	AN	NUMBER OF OTHER TRADES SIGN; value include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
308-315	9(08)	N	TOTAL NUMBER OF TRADES FOR ALL PRODUCT GROUPS
316-316	X(01)	AN	TOTAL NUMBER OF TRADES FOR ALL PRODUCT GROUPS SIGN; value include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
317-331	9(13)v9(02)	N	PRINCIPAL VALUE OF EQUITY TRADES
332-332	X(01)	AN	PRINCIPAL VALUE OF EQUITY TRADES SIGN; vales include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
333-347	9(13)v9(02)	N	PRINCIPAL VALUE OF FUND TRADES
348-348	X(01)	AN	PRINCIPAL VALUE OF FUND TRADES SIGN; vales include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
349-363	9(13)v9(02)	N	PRINCIPAL VALUE OF FIXED INCOME TRADES
364-364	X(01)	AN	PRINCIPAL VALUE OF FIXED INCOME TRADES SIGN; vales include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
365-379	9(13)v9(02)	N	PRINCIPAL VALUE OF OPTION TRADES
380-380	X(01)	AN	PRINCIPAL VALUE OF OPTION TRADES SIGN; vales include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
381-395	9(13)v9(02)	N	PRINCIPAL VALUE OF OTHER TRADES
396-396	X(01)	AN	PRINCIPAL VALUE OF OTHER TRADES SIGN; vales include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value

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POSITION	PICTURE	TYPE	DESCRIPTION
397-411	9(13)v9(02)	N	TOTAL PRINCIPAL VALUE OF TRADES FOR ALL PRODUCT GROUPS
412-412	X(01)	AN	TOTAL PRINCIPAL VALUE OF TRADES SIGN; values include: “-” = Negative “+” = Positive “ B ” = Unavailable or zero value
413-414	X(02)	AN	SELECTION CRITERIA (1) USED TO QUALIFY ACCOUNTS; values include: “01” = Low price; equity “02” = Low price; fund “03” = Low price, fixed income “04” = Low price; option “05” = Low price; other “06” = Multiple trades; equity “07” = Multiple trades; fund “08” = Multiple trades; fixed income “09” = Multiple trades; option “10” = Multiple trades; other “11” = Multiple trades; total “12” = Margin debit balance “13” = Gross commission “14” = Net worth decrease; one month “15” = Net worth decrease; year-to-date “16” = Turnover ratio “17” = Selected account “18” = Selected investment professional “19” = Selected classes “00” = No selection criteria
415-416	X(02)	AN	SELECTION CRITERIA (2); see positions 413-414 for values
417-418	X(02)	AN	SELECTION CRITERIA (3); see positions 413-414 for values
419-420	X(02)	AN	SELECTION CRITERIA (4); see positions 413-414 for values
421-422	X(02)	AN	SELECTION CRITERIA (5); see positions 413-414 for values
423-424	X(02)	AN	SELECTION CRITERIA (6); see positions 413-414 for values
425-426	X(02)	AN	SELECTION CRITERIA (7); see positions 413-414 for values
427-428	X(02)	AN	SELECTION CRITERIA (8); see positions 413-414 for values
429-430	X(02)	AN	SELECTION CRITERIA (9); see positions 413-414 for values
431-432	X(02)	AN	SELECTION CRITERIA (10); see positions 413-414 for values
433-434	X(02)	AN	SELECTION CRITERIA (11); see positions 413-414 for values
435-436	X(02)	AN	SELECTION CRITERIA (12); see positions 413-414 for values
437-438	X(02)	AN	SELECTION CRITERIA (13); see positions 413-414 for values
439-440	X(02)	AN	SELECTION CRITERIA (14); see positions 413-414 for values

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POSITION	PICTURE	TYPE	DESCRIPTION
441-442	X(02)	AN	SELECTION CRITERIA (15); see positions 413-414 for values
443-444	X(02)	AN	SELECTION CRITERIA (16); see positions 413-414 for values
445-446	X(02)	AN	SELECTION CRITERIA (17); see positions 413-414 for values
447-448	X(02)	AN	SELECTION CRITERIA (18); see positions 413-414 for values
449-450	X(02)	AN	SELECTION CRITERIA (19); see positions 413-414 for values
451-460	X(10)	AN	SELECTED CLASS DESCRIPTION; when value = "19". Description is specific to each IBD.
461-499	X(39)	AN	Not Used
500-500	X(01)	AN	Literally "X"; indicates the end of detail record A

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 "ACCOUNTS B STMT B REVW"
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