

PERSHING STANDARD FILE LAYOUTS

N FILE LAYOUT FOR: BUSINESS PARTY INFORMATION

GENERAL INFORMATION

File Frequency: Daily
Record Size: 750 characters
Form Name: BPDF (Update) BPDF (Refresh)

DESCRIPTION

The Business Party Information files (BPDF and BPDF) contain Business Party Information and is generated from the Business Party database. The Business party role code identifies the Business party role including IP, IP Team etc., BPDF is a full Refresh file and BPDF is an update file that provides records that were added/updated/deleted on a given day.

BPDF and BPDF work in conjunction with the new optional “N” record on the ACCT/F files. You will need to request this record so that you will be able to cross-reference the Business Party information associated with a specific account.

Record A contains the general Business Party information, which is the basic detail of the Business Party. All other record types are specific to particular business party roles. Record A is the only mandatory record on the file.

Records B, C and D are specific to the Investment Professional type. Record B provides the Exam / License details of IP, Record C provides the Annuity License Information, Record D provides the State License / Registration. For each A record in a given sequence number, there can be zero, one, or more iterations of the B, C, and D records.

Record E provides the relationship between two or more business parties. In the case of an IP Team, it defines the relationship between IP Team. The individual IP members who are part of the Team are provided in Record E. Record E will be populated only if there is an established relationship between business parties.

Record F provides the cross reference between the business party and other alternate identifiers. For an IP or IP Team, the cross reference between the IP Unique Identifier and the rep codes assigned to them are provided in Record F. For each A record in a given sequence number, there can be zero, one, or more iterations of Record F.

Record G provides the Address Info, Record H provides the additional address info (telephone & email) and Record I provides the service info for the business party. For each A record in a given sequence number, there can be zero, one, or more iterations of Record G, H and I, because a business party can have multiple address and service information.

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Record J provides information associated with Institutional Master/Client relationships (Business Party Role Code MSUB only).

Record K is reserved.

Record L provides average price account numbers associated with CAT Entities (business Party Role Code “115” only).

With the exception of Record A, all other records are optional and must be requested.

Both BPF and BPFD can be configured only on the IBD level.

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 PERSHING B ” (beginning of Pershing file)
019-036	X(18)	AN	For BPF: Literally “BUSINESSPARTY B UPDT” For BPF: Literally “BUSINESSPARTY B FULL”
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
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally “REFRESHED” or “UPDATED B B ”
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A – BUSINESS PARTY BASIC INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “A”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; see Appendix 12 for values
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	X(03)	AN	Not Used
052 - 052	X(01)	AN	TRANSACTION TYPE; values include: “A” = New Business Party (BPDF only) “C” = Change to Existing Business Party (BPDF only) “D” = Delete Record Business Party (BPDF only) “X” = Unchanged (BPDF only) “B” = Not applicable (BPDF only)
053 - 053	X(01)	AN	NATURAL/NON NATURAL INDICATOR; values include: “I” = Business Party is an Individual/Person “E” = Business Party is an Entity/Business/Nonperson “U” = Unknown
054 - 054	X(01)	AN	BUSINESS PARTY NAME TYPE; how the name is formatted; values include: “I” = Individual (parsed name format) “E” = Entity (free-form name format)
055 - 058	X(04)	AN	BUSINESS PARTY PREFIX (For “I” - parsed name, only) “DR B B ” “MDM B ” “MR B B ” “MS B B ” “MRS B ” “SIR B ” “ B B B B ”

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POSITION	PICTURE	TYPE	DESCRIPTION
059 - 090	X(32)	AN	BUSINESS PARTY INDIVIDUAL FIRST NAME or ENTITY NAME LINE 1; if NAME TYPE = "I" field contains first name; if NAME TYPE = "E" it will be free-form text and can be blank.
091 - 122	X(32)	AN	BUSINESS PARTY INDIVIDUAL MIDDLE NAME or ENTITY NAME LINE 2; if NAME TYPE = "I" field contains middle name; if NAME TYPE = "E" it is free-form or blank.
123 - 154	X(32)	AN	BUSINESS PARTY INDIVIDUAL LAST NAME or ENTITY NAME LINE 3; if NAME TYPE = "I" this field contains last name; if NAME TYPE = "E" it is free-form or blank
155 - 158	X(04)	AN	BUSINESS PARTY INDIVIDUAL NAME SUFFIX
159 - 159	X(01)	AN	FINRA LICENSED INDICATOR; values include: "Y" = FINRA licensed "N" = Not FINRA Licensed "B" = Not applicable
160 - 179	X(20)	AN	CRD NUMBER
180 - 180	X(01)	AN	SSN/TAX ID TYPE; values include: "A" = Applied for "F" = Foreign Taxpayer Identification Number WP-EIN "I" = ITIN "N" = Non-US "Q" = QI-EIN "S" = Social Security Number "T" = Tax ID Number (EIN) "W" = WT-EIN "B" = Not applicable
181 - 189	X(09)	AN	SSN/TAX ID NUMBER
190 - 209	X(20)	AN	FOREIGN TIN
210 - 227	X(18)	AN	INSTITUTIONAL ID
228 - 235	X(08)	AN	LARGE TRADER ROOT ID
236 - 239	X(04)	AN	LARGE TRADER SUFFIX ID
240 - 247	9(08)	N	BUSINESS PARTY EFFECTIVE START DATE, in CCYYMMDD format
248 - 255	9(08)	N	BUSINESS PARTY EFFECTIVE END DATE, in CCYYMMDD format
256 - 315	X(60)	AN	BUSINESS PARTY WEBSITE ADDRESS
316 - 323	9(08)	N	INDUSTRY START DATE, in CCYYMMDD format
324 - 325	X(02)	AN	LARGE TRADER IDENTIFIER; values include: "LT" = SEC Large Trader "Tb" = Unidentified Large Trader "bb" = Not applicable
326 - 327	X(02)	AN	BUSINESS PARTY STATUS; values include "AC" = Active status "IN" = Inactive status

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POSITION	PICTURE	TYPE	DESCRIPTION
328 - 328	X(01)	AN	HOUSE REP INDICATOR; values include (effective 2 nd Q 2015): “Y” = Yes, party is house rep “N” = No, party is not house rep “ b ” = Not applicable
329 - 337	X(09)	AN	INTRODUCING FIRM, when available
338 - 345	9(08)	N	BUSINESS PARTY DATE OF BIRTH, in CCYYMMDD format, effective 06/07/2019
The following three fields apply to CAT Entities (Business Party Role Code 115) only. See Record L for associated Average Price Account Numbers			
346 - 385	X(40)	AN	PERSHING FIRM DESIGNATED IDENTIFER (FDID), for CAT Entities (115) only
386 - 425	X(40)	AN	PREVIOUS FIRM DESIGNATED IDENTIFER (FDID), for CAT Entities (115) only
426 - 426	X(01)	AN	AFFILIATE INDICATOR, for CAT Entities (115) only; values include: “Y” = Affiliate “N” = Not affiliate “ b ” = Not applicable or populated
427 - 446	X(20)	AN	GLOBAL LEGAL ENTITY ID (GLEI)
447 - 456	X(10)	AN	BUSINESS PARTY SHORT NAME
457 - 491	X(35)	AN	REP CODE, for “PREP” or “161” Business Party Role Codes
The following three fields are specific to NetX360 Wealth non-custody Reps when Alternate ID Type = “161”, effective TBA			
492 - 494	X(03)	AN	INTERFACE TYPE
495 - 497	X(03)	AN	VARIABLE ANNUITY CODE
498 - 501	X(04)	AN	FINANCIAL INSTITUTION ID
502 - 511	X(10)	AN	NATIONAL PRODUCER NUMBER (NPN); for Role Code “INVP” only; effective mid 2 nd Q, 2020
512 - 519	9(08)	N	LARGE TRADER EFFECTIVE DATE, for CAT Entities, in CCYYMMDD format; effective 3 rd Q, 2020
520 - 749	X(230)	AN	Not Used
750 - 750	X(01)	AN	Literally “X”; indicates the end of the detail record A

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B – EXAM / LICENSE INFORMATION (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “B”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “INVP” = Investment Professional
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
EXAM 1 INFORMATION			
052 - 052	X(01)	AN	EXAM (1) TRANSACTION TYPE; values include: “A” = New Exam (BPDF only) “C” = Change to existing Exam Information (BPDF only) “D” = Delete Exam Information (BPDF only) “X” = Unchanged Exam Information (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 056	X(04)	AN	EXAM (1) ID; values include: “S6” = Series 6 exam “S7” = Series 7 exam “S22” = Series 22 exam “S52” = Series 52 exam “S57” = Series 57 exam “S82” = Series 82 exam “S99” = Series 99 exam “SIE” = General securities knowledge exam “6T” = Series 6 top-off exam “7T” = Series 7 top-off exam “22T” = Series 22 top-off exam “52T” = Series 52 top-off exam “57T” = Series 57 top-off exam “82T” = Series 82 top-off exam “99T” = Series 99 top-off exam

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POSITION	PICTURE	TYPE	DESCRIPTION
057 - 057	X(01)	AN	EXAM (1) STATUS; values include: “E” = Expired “F” = Failed “G” = Grandfathered “P” = Passed “W” = Waived
058 - 065	9(08)	N	EXAM (1) PASS DATE, in CCYYMMDD format
066 - 101	X(36)	AN	Not Used
EXAM 2 INFORMATION			
102 - 102	X(01)	AN	EXAM (2) TRANSACTION TYPE; see position 052 for values
103 - 106	X(04)	AN	EXAM (2) ID; see position 053 for values
107 - 107	X(01)	AN	EXAM (2) STATUS; see position 057 for values:
108 - 115	9(08)	N	EXAM (2) PASS DATE, in CCYYMMDD format
116 - 151	X(36)	AN	Not Used
EXAM 3 INFORMATION			
152 - 152	X(01)	AN	EXAM (3) TRANSACTION TYPE; see position 052 for values
153 - 156	X(04)	AN	EXAM (3) ID; see position 053 for values
157 - 157	X(01)	AN	EXAM (3) STATUS; see position 057 for values:
158 - 165	9(08)	N	EXAM (3) PASS DATE, in CCYYMMDD format
166 - 201	X(36)	AN	Not Used
EXAM 4 INFORMATION			
202 - 202	X(01)	AN	EXAM (4) TRANSACTION TYPE; see position 052 for values
203 - 206	X(04)	AN	EXAM (4) ID; see position 053 for values
207 - 207	X(01)	AN	EXAM (4) STATUS; see position 057 for values:
208 - 215	9(08)	N	EXAM (4) PASS DATE, in CCYYMMDD format
216 - 251	X(36)	AN	Not Used
EXAM 5 INFORMATION			
252 - 252	X(01)	AN	EXAM (5) TRANSACTION TYPE; see position 052 for values
253 - 256	X(04)	AN	EXAM (5) ID; see position 053 for values
257 - 257	X(01)	AN	EXAM (5) STATUS; see position 057 for values:
258 - 265	9(08)	N	EXAM (5) PASS DATE, in CCYYMMDD format
266 - 301	X(36)	AN	Not Used
EXAM 6 INFORMATION			
302 - 302	X(01)	AN	EXAM (6) TRANSACTION TYPE; see position 052 for values
303 - 306	X(04)	AN	EXAM (6) ID; see position 053 for values
307 - 307	X(01)	AN	EXAM (6) STATUS; see position 057 for values:
308 - 315	9(08)	N	EXAM (6) PASS DATE, in CCYYMMDD format
316 - 351	X(36)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
EXAM 7 INFORMATION			
352 - 352	X(01)	AN	EXAM (7) TRANSACTION TYPE; see position 052 for values
353 - 356	X(04)	AN	EXAM (7) ID; see position 053 for values
357 - 357	X(01)	AN	EXAM (7) STATUS; see position 057 for values:
358 - 365	9(08)	N	EXAM (7) PASS DATE, in CCYYMMDD format
366 - 401	X(36)	AN	Not Used
EXAM 8 INFORMATION			
402 - 402	X(01)	AN	EXAM (8) TRANSACTION TYPE; see position 052 for values
403 - 406	X(04)	AN	EXAM (8) ID; see position 053 for values
407 - 407	X(01)	AN	EXAM (8) STATUS; see position 057 for values:
408 - 415	9(08)	N	EXAM (8) PASS DATE, in CCYYMMDD format
416 - 451	X(36)	AN	Not Used
EXAM 9 INFORMATION			
452 - 452	X(01)	AN	EXAM (9) TRANSACTION TYPE; see position 052 for values
453 - 456	X(04)	AN	EXAM (9) ID; see position 053 for values
457 - 457	X(01)	AN	EXAM (9) STATUS; see position 057 for values:
458 - 465	9(08)	N	EXAM (9) PASS DATE, in CCYYMMDD format
466 - 501	X(36)	AN	Not Used
EXAM 10 INFORMATION			
502 - 502	X(01)	AN	EXAM (10) TRANS. TYPE; see position 052 for values
503 - 506	X(04)	AN	EXAM (10) ID; see position 053 for values
507 - 507	X(01)	AN	EXAM (10) STATUS; see position 057 for values:
508 - 515	9(08)	N	EXAM (10) PASS DATE, in CCYYMMDD format
516 - 551	X(36)	AN	Not Used
EXAM 11 INFORMATION			
552 - 552	X(01)	AN	EXAM (11) TRANS. TYPE; see position 052 for values
553 - 556	X(04)	AN	EXAM (11) ID; see position 053 for values
557 - 557	X(01)	AN	EXAM (11) STATUS; see position 057 for values:
558 - 565	9(08)	N	EXAM (11) PASS DATE, in CCYYMMDD format
566 - 601	X(36)	AN	Not Used
EXAM 12 INFORMATION			
602 - 602	X(01)	AN	EXAM (12) TRANS. TYPE; see position 052 for values
603 - 606	X(04)	AN	EXAM (12) ID; see position 053 for values
607 - 607	X(01)	AN	EXAM (12) STATUS; see position 057 for values:
608 - 615	9(08)	N	EXAM (12) PASS DATE, in CCYYMMDD format
616 - 651	X(36)	AN	Not Used
EXAM 13 INFORMATION			
652 - 652	X(01)	AN	EXAM (13) TRANS. TYPE; see position 052 for values
653 - 656	X(04)	AN	EXAM (13) ID; see position 053 for values
657 - 657	X(01)	AN	EXAM (13) STATUS; see position 057 for values:
658 - 665	9(08)	N	EXAM (13) PASS DATE, in CCYYMMDD format
666 - 701	X(36)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
EXAM 14 INFORMATION			
702 - 702	X(01)	AN	EXAM (14) TRANS. TYPE; see position 052 for values
703 - 706	X(04)	AN	EXAM (14) ID; see position 053 for values
707 - 707	X(01)	AN	EXAM (14) STATUS; see position 057 for values:
708 - 715	9(08)	N	EXAM (14) PASS DATE, in CCYYMMDD format
716 - 749	X(34)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record B

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C – IP ANNUITY LICENSE INFORMATION (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “C”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “INVP” = Investment Professional
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
ANNUITY LICENSE 1 INFORMATION			
052 - 052	X(01)	AN	ANNUITY LICENSE (1) TRANSACTION TYPE; values include: “A” = New License (BPDF only) “C” = Change to existing License Information (BPDF only) “D” = Delete License Information (BPDF only) “X” = Unchanged License Information (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 054	X(02)	AN	ANNUITY LICENSE (1) STATE CODE, see Appendix Q
055 - 058	X(04)	AN	ANNUITY PRODUCT TYPE (1); values include: “FA B B ” = Fixed Annuity “VA B B ” = Variable Annuity
059 - 073	X(15)	AN	ANNUITY LICENSE NUMBER (1)
074 - 081	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (1), CCYYMMDD format
082 - 089	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (1), CCYYMMDD format
090 - 090	X(01)	AN	ANNUITY STATE LICENSE STATUS (1); values include: “A” = Active “E” = Expired “P” = Pending
091 - 094	X(04)	AN	DTCC ANNUITY ID (1); effective mid 2 nd Q 2020
095 - 101	X(07)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
ANNUITY LICENSE 2 INFORMATION			
102 - 102	X(01)	AN	ANNUITY LICENSE (2) TRANSACTION TYPE; see position 052 for values
103 - 104	X(02)	AN	ANNUITY LICENSE (2) STATE CODE, see Appendix Q
105 - 108	X(04)	AN	ANNUITY PRODUCT TYPE (2); see position 055-058 for values
109 - 123	X(15)	AN	ANNUITY LICENSE NUMBER (2)
124 - 131	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (2), CCYYMMDD format
132 - 139	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (2), CCYYMMDD format
140 - 140	X(01)	AN	ANNUITY STATE LICENSE STATUS (2); see position 090 for values
141 - 144	X(04)	AN	DTCC ANNUITY ID (2); effective mid 2 nd Q 2020
145 - 151	X(07)	AN	Not Used
ANNUITY LICENSE 3 INFORMATION			
152 - 152	X(01)	AN	ANNUITY LICENSE (3) TRANSACTION TYPE; see position 052 for values
153 - 154	X(02)	AN	ANNUITY LICENSE (3) STATE CODE, see Appendix Q
155 - 158	X(04)	AN	ANNUITY PRODUCT TYPE (3); see position 055-058 for values
159 - 173	X(15)	AN	ANNUITY LICENSE NUMBER (3)
174 - 181	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (3), CCYYMMDD format
182 - 189	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (3), CCYYMMDD format
190 - 190	X(01)	AN	ANNUITY STATE LICENSE STATUS (3); see position 090 for values
191 - 194	X(04)	AN	DTCC ANNUITY ID (3); effective mid 2 nd Q 2020
195 - 201	X(07)	AN	Not Used
ANNUITY LICENSE 4 INFORMATION			
202 - 202	X(01)	AN	ANNUITY LICENSE (4) TRANSACTION TYPE; see position 052 for values
203 - 204	X(02)	AN	ANNUITY LICENSE (4) STATE CODE, see Appendix Q
205 - 208	X(04)	AN	ANNUITY PRODUCT TYPE (4); see position 055-058 for values
209 - 223	X(15)	AN	ANNUITY LICENSE NUMBER (4)
224 - 231	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (4), CCYYMMDD format
232 - 239	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (4), CCYYMMDD format
240 - 240	X(01)	AN	ANNUITY STATE LICENSE STATUS (4); see position 090 for values
241 - 244	X(04)	AN	DTCC ANNUITY ID (4); effective mid 2 nd Q 2020
245 - 251	X(07)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
ANNUITY LICENSE 5 INFORMATION			
252 - 252	X(01)	AN	ANNUITY LICENSE (5) TRANSACTION TYPE; see position 052 for values
253 - 254	X(02)	AN	ANNUITY LICENSE (5) STATE CODE, see Appendix Q
255 - 258	X(04)	AN	ANNUITY PRODUCT TYPE (5); see position 055-058 for values
259 - 273	X(15)	AN	ANNUITY LICENSE NUMBER (5)
274 - 281	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (5), CCYYMMDD format
282 - 289	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (5), CCYYMMDD format
290 - 290	X(01)	AN	ANNUITY STATE LICENSE STATUS (5); see position 090 for values
291 - 294	X(04)	AN	DTCC ANNUITY ID (5); effective mid 2 nd Q 2020
295 - 301	X(07)	AN	Not Used
ANNUITY LICENSE 6 INFORMATION			
302 - 302	X(01)	AN	ANNUITY LICENSE (6) TRANSACTION TYPE; see position 052 for values
303 - 304	X(02)	AN	ANNUITY LICENSE (6) STATE CODE, see Appendix Q
305 - 308	X(04)	AN	ANNUITY PRODUCT TYPE (6); see position 055-058 for values
309 - 323	X(15)	AN	ANNUITY LICENSE NUMBER (6)
324 - 331	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (6), CCYYMMDD format
332 - 339	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (6), CCYYMMDD format
340 - 340	X(01)	AN	ANNUITY STATE LICENSE STATUS (6); see position 090 for values
341 - 344	X(04)	AN	DTCC ANNUITY ID (6); effective mid 2 nd Q 2020
345 - 351	X(07)	AN	Not Used
ANNUITY LICENSE 7 INFORMATION			
352 - 352	X(01)	AN	ANNUITY LICENSE (7) TRANSACTION TYPE; see position 052 for values
353 - 354	X(02)	AN	ANNUITY LICENSE (7) STATE CODE, see Appendix Q
355 - 358	X(04)	AN	ANNUITY PRODUCT TYPE (7); see position 055-058 for values
359 - 373	X(15)	AN	ANNUITY LICENSE NUMBER (7)
374 - 381	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (7), CCYYMMDD format
382 - 389	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (7), CCYYMMDD format
390 - 390	X(01)	AN	ANNUITY STATE LICENSE STATUS (7); see position 090 for values
391 - 394	X(04)	AN	DTCC ANNUITY ID (7); effective mid 2 nd Q 2020
395 - 401	X(07)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
ANNUITY LICENSE 8 INFORMATION			
402 - 402	X(01)	AN	ANNUITY LICENSE (8) TRANSACTION TYPE; see position 052 for values
403 - 404	X(02)	AN	ANNUITY LICENSE (8) STATE CODE, see Appendix Q
405 - 408	X(04)	AN	ANNUITY PROD. TYPE (8); see position 055-058 for values
409 - 423	X(15)	AN	ANNUITY LICENSE NUMBER (8)
424 - 431	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (8), CCYYMMDD format
432 - 439	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (8), CCYYMMDD format
440 - 440	X(01)	AN	ANNUITY STATE LICENSE STATUS (8); see position 090 for values
441 - 444	X(04)	AN	DTCC ANNUITY ID (8); effective mid 2 nd Q 2020
445 - 451	X(07)	AN	Not Used
ANNUITY LICENSE 9 INFORMATION			
452 - 452	X(01)	AN	ANNUITY LICENSE (9) TRANSACTION TYPE; see position 052 for values
453 - 454	X(02)	AN	ANNUITY LICENSE (9) STATE CODE, see Appendix Q
455 - 458	X(04)	AN	ANNUITY PRODUCT TYPE (9); see position 055-058 for values
459 - 473	X(15)	AN	ANNUITY LICENSE NUMBER (9)
474 - 481	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (9), CCYYMMDD format
482 - 489	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (9), CCYYMMDD format
490 - 490	X(01)	AN	ANNUITY STATE LICENSE STATUS (9); see position 090 for values
491 - 494	X(04)	AN	DTCC ANNUITY ID (9); effective mid 2 nd Q 2020
495 - 501	X(07)	AN	Not Used
ANNUITY LICENSE 10 INFORMATION			
502 - 502	X(01)	AN	ANNUITY LICENSE (10) TRANSACTION TYPE; see position 052 for values
503 - 504	X(02)	AN	ANNUITY LICENSE (10) STATE CODE, see Appendix Q
505 - 508	X(04)	AN	ANNUITY PRODUCT TYPE (10); see position 055-058 for values
509 - 523	X(15)	AN	ANNUITY LICENSE NUMBER (10)
524 - 531	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (10), CCYYMMDD format
532 - 539	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (10), CCYYMMDD format
540 - 540	X(01)	AN	ANNUITY STATE LICENSE STATUS (10); see position 090 for values
541 - 544	X(04)	AN	DTCC ANNUITY ID (10); effective mid 2 nd Q 2020
545 - 551	X(07)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
ANNUITY LICENSE 11 INFORMATION			
552 - 552	X(01)	AN	ANNUITY LICENSE (11) TRANSACTION TYPE; see position 052 for values
553 - 554	X(02)	AN	ANNUITY LICENSE (11) STATE CODE, see Appendix Q
555 - 558	X(04)	AN	ANNUITY PRODUCT TYPE (11); see position 055-058 for values
559 - 573	X(15)	AN	ANNUITY LICENSE NUMBER (11)
574 - 581	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (11), CCYYMMDD format
582 - 589	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (11), CCYYMMDD format
590 - 590	X(01)	AN	ANNUITY STATE LICENSE STATUS (11); see position 090 for values
591 - 594	X(04)	AN	DTCC ANNUITY ID (11); effective mid 2 nd Q 2020
595 - 601	X(07)	AN	Not Used
ANNUITY LICENSE 12 INFORMATION			
602 - 602	X(01)	AN	ANNUITY LICENSE (12) TRANSACTION TYPE; see position 052 for values
603 - 604	X(02)	AN	ANNUITY LICENSE (12) STATE CODE, see Appendix Q
605 - 608	X(04)	AN	ANNUITY PRODUCT TYPE (12); see position 055-058 for values
609 - 623	X(15)	AN	ANNUITY LICENSE NUMBER (12)
624 - 631	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (12), CCYYMMDD format
632 - 639	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (12), CCYYMMDD format
640 - 640	X(01)	AN	ANNUITY STATE LICENSE STATUS (12); see position 090 for values
641 - 644	X(04)	AN	DTCC ANNUITY ID (12); effective mid 2 nd Q 2020
645 - 651	X(07)	AN	Not Used
ANNUITY LICENSE 13 INFORMATION			
652 - 652	X(01)	AN	ANNUITY LICENSE (13) TRANSACTION TYPE; see position 052 for values
653 - 654	X(02)	AN	ANNUITY LICENSE (13) STATE CODE, see Appendix Q
655 - 658	X(04)	AN	ANNUITY PRODUCT TYPE (13); see position 055-058 for values
659 - 673	X(15)	AN	ANNUITY LICENSE NUMBER (13)
674 - 681	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (13), CCYYMMDD format
682 - 689	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (13), CCYYMMDD format
690 - 690	X(01)	AN	ANNUITY STATE LICENSE STATUS (13); see position 090 for values
691 - 694	X(04)	AN	DTCC ANNUITY ID (13); effective mid 2 nd Q 2020
695 - 701	X(07)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
ANNUITY LICENSE 14 INFORMATION			
702 - 702	X(01)	AN	ANNUITY LICENSE (14) TRANSACTION TYPE; see position 052 for values
703 - 704	X(02)	AN	ANNUITY LICENSE (14) STATE CODE, see Appendix Q
705 - 708	X(04)	AN	ANNUITY PRODUCT TYPE (14); see position 055-058 for values
709 - 723	X(15)	AN	ANNUITY LICENSE NUMBER (14)
724 - 731	9(08)	N	ANNUITY STATE LICENSE EFFECTIVE DATE (14), CCYYMMDD format
732 - 739	9(08)	N	ANNUITY STATE LICENSE EXPIRATION DATE (14), CCYYMMDD format
740 - 740	X(01)	AN	ANNUITY STATE LICENSE STATUS (14); see position 090 for values
741 - 744	X(04)	AN	DTCC ANNUITY ID (14); effective mid 2 nd Q 2020
745 - 749	X(05)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record C

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD D – IP STATE / EXCHANGE REGISTRATION (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “D”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “INVP” = Investment Professional
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
STATE / EXCHANGE 1 INFORMATION			
052 - 052	X(01)	AN	STATE/EXCHANGE (1) TRANS. TYPE; values include: “A” = New Registration (BPDF only) “C” = Change to existing Registration (BPDF only) “D” = Delete Registration (BPDF only) “X” = Unchanged Registration (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 056	X(04)	AN	STATE/EXCHANGE (1) CODE
057 - 060	X(04)	AN	EXCHANGE POSITION (1)
061 - 068	9(08)	N	REGISTRATION DATE (1), in CCYYMMDD format
069 - 069	X(01)	AN	REGISTRATION STATUS (1); values include: “A” = Approved “C” = Conditional “D” = Deficient “P” = Pending “U” = U5 received before approval
070 - 101	X(32)	AN	Not Used
STATE / EXCHANGE 2 INFORMATION			
102 - 102	X(01)	AN	STATE/EXCHANGE (2) TRANSACTION TYPE; see position 052 for values
103 - 106	X(04)	AN	STATE/EXCHANGE (2) CODE
107 - 110	X(04)	AN	EXCHANGE POSITION (2)
111 - 118	9(08)	N	REGISTRATION DATE (2), in CCYYMMDD format
119 - 119	X(01)	AN	REGISTRATION STATUS (2); see position 069 for values
120 - 151	X(32)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
STATE / EXCHANGE 3 INFORMATION			
152 - 152	X(01)	AN	STATE/EXCHANGE (3) TRANSACTION TYPE; see position 052 for values
153 - 156	X(04)	AN	STATE/EXCHANGE (3) CODE
157 - 160	X(04)	AN	EXCHANGE POSITION (3)
161 - 168	9(08)	N	REGISTRATION DATE (3), in CCYYMMDD format
169 - 169	X(01)	AN	REGISTRATION STATUS (3); see position 069 for values
170 - 201	X(32)	AN	Not Used
STATE / EXCHANGE 4 INFORMATION			
202 - 202	X(01)	AN	STATE/EXCHANGE (4) TRANSACTION TYPE; see position 052 for values
203 - 206	X(04)	AN	STATE/EXCHANGE (4) CODE
207 - 210	X(04)	AN	EXCHANGE POSITION (4)
211 - 218	9(08)	N	REGISTRATION DATE (4), in CCYYMMDD format
219 - 219	X(01)	AN	REGISTRATION STATUS (4); see position 069 for values
220 - 251	X(32)	AN	Not Used
STATE / EXCHANGE 5 INFORMATION			
252 - 252	X(01)	AN	STATE/EXCHANGE (5) TRANSACTION TYPE; see position 052 for values
253 - 256	X(04)	AN	STATE/EXCHANGE (5) CODE
257 - 260	X(04)	AN	EXCHANGE POSITION (5)
261 - 268	9(08)	N	REGISTRATION DATE (5), in CCYYMMDD format
269 - 269	X(01)	AN	REGISTRATION STATUS (5); see position 069 for values
270 - 301	X(32)	AN	Not Used
STATE / EXCHANGE 6 INFORMATION			
302 - 302	X(01)	AN	STATE/EXCHANGE (6) TRANSACTION TYPE; see position 052 for values
303 - 306	X(04)	AN	STATE/EXCHANGE (6) CODE
307 - 310	X(04)	AN	EXCHANGE POSITION (6)
311 - 318	9(08)	N	REGISTRATION DATE (6), in CCYYMMDD format
319 - 319	X(01)	AN	REGISTRATION STATUS (6); see position 069 for values
320 - 351	X(32)	AN	Not Used
STATE / EXCHANGE 7 INFORMATION			
352 - 352	X(01)	AN	STATE/EXCHANGE (7) TRANSACTION TYPE; see position 052 for values
353 - 356	X(04)	AN	STATE/EXCHANGE (7) CODE
357 - 360	X(04)	AN	EXCHANGE POSITION (7)
361 - 368	9(08)	N	REGISTRATION DATE (7), in CCYYMMDD format
369 - 369	X(01)	AN	REGISTRATION STATUS (7); see position 069 for values
370 - 401	X(32)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
STATE / EXCHANGE 8 INFORMATION			
402 - 402	X(01)	AN	STATE/EXCHANGE (8) TRANSACTION TYPE; see position 052 for values
403 - 406	X(04)	AN	STATE/EXCHANGE (8) CODE
407 - 410	X(04)	AN	EXCHANGE POSITION (8)
411 - 418	9(08)	N	REGISTRATION DATE (8), in CCYYMMDD format
419 - 419	X(01)	AN	REGISTRATION STATUS (8); see position 069 for values
420 - 451	X(32)	AN	Not Used
STATE / EXCHANGE 9 INFORMATION			
452 - 452	X(01)	AN	STATE/EXCHANGE (9) TRANSACTION TYPE; see position 052 for values
453 - 456	X(04)	AN	STATE/EXCHANGE (9) CODE
457 - 460	X(04)	AN	EXCHANGE POSITION (9)
461 - 468	9(08)	N	REGISTRATION DATE (9), in CCYYMMDD format
469 - 469	X(01)	AN	REGISTRATION STATUS (9); see position 069 for values
470 - 501	X(32)	AN	Not Used
STATE / EXCHANGE 10 INFORMATION			
502 - 502	X(01)	AN	STATE/EXCHANGE (10) TRANSACTION TYPE; see position 052 for values
503 - 506	X(04)	AN	STATE/EXCHANGE (10) CODE
507 - 510	X(04)	AN	EXCHANGE POSITION (10)
511 - 518	9(08)	N	REGISTRATION DATE (10), in CCYYMMDD format
519 - 519	X(01)	AN	REGISTRATION STATUS (10); see position 069 for values
520 - 551	X(32)	AN	Not Used
STATE / EXCHANGE 11 INFORMATION			
552 - 552	X(01)	AN	STATE/EXCHANGE (11) TRANSACTION TYPE; see position 052 for values
553 - 556	X(04)	AN	STATE/EXCHANGE (11) CODE
557 - 560	X(04)	AN	EXCHANGE POSITION (11)
561 - 568	9(08)	N	REGISTRATION DATE (11), in CCYYMMDD format
569 - 569	X(01)	AN	REGISTRATION STATUS (11); see position 069 for values
570 - 601	X(32)	AN	Not Used
STATE / EXCHANGE 12 INFORMATION			
602 - 602	X(01)	AN	STATE/EXCHANGE (12) TRANSACTION TYPE; see position 052 for values
603 - 606	X(04)	AN	STATE/EXCHANGE (12) CODE
607 - 610	X(04)	AN	EXCHANGE POSITION (12)
611 - 618	9(08)	N	REGISTRATION DATE (12), in CCYYMMDD format
619 - 619	X(01)	AN	REGISTRATION STATUS (12); see position 069 for values
620 - 651	X(32)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
STATE / EXCHANGE 13 INFORMATION			
652 - 652	X(01)	AN	STATE/EXCHANGE (13) TRANSACTION TYPE; see position 052 for values
653 - 656	X(04)	AN	STATE/EXCHANGE (13) CODE
657 - 660	X(04)	AN	EXCHANGE POSITION (13)
661 - 668	9(08)	N	REGISTRATION DATE (13), in CCYYMMDD format
669 - 669	X(01)	AN	REGISTRATION STATUS (13); see position 069 for values
670 - 701	X(32)	AN	Not Used
STATE / EXCHANGE 14 INFORMATION			
702 - 702	X(01)	AN	STATE/EXCHANGE (14) TRANSACTION TYPE; see position 052 for values
703 - 706	X(04)	AN	STATE/EXCHANGE (14) CODE
707 - 710	X(04)	AN	EXCHANGE POSITION (14)
711 - 718	9(08)	N	REGISTRATION DATE (14), in CCYYMMDD format
719 - 719	X(01)	AN	REGISTRATION STATUS (14); see position 069 for values
720 - 749	X(30)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record D

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD E – BUSINESS PARTY RELATIONS (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “E”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “IPTM” = Investment Professional Team
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY RELATION TRANSACTION TYPE; values include: “A” = New Relation (BPDF only) “C” = Change to existing Relation (BPDF only) “D” = Delete Relation (BPDF only) “X” = Unchanged Relation (BPDF only) “B” = Not applicable (BPDF only)
053 - 056	X(04)	AN	RELATIONSHIP REASON CODE; values include: “TMIP” = Relationship between IP Team and members of the Team
057 - 065	X(09)	AN	PERSHING UNIQUE IDENTIFIER FOR THE CHILD BUSINESS PARTY (Team Member)
066 - 081	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER FOR THE CHILD BUSINESS PARTY (Team Member)
082 - 085	X(04)	AN	ROLE CODE OF CHILD BUSINESS PARTY; value includes: “INVP” = Investment Professional
086 - 093	9(08)	N	RELATION EFFECTIVE DATE, in CCYYMMDD format
094 - 101	9(08)	N	RELATION END DATE, in CCYYMMDD format
102 - 105	X(04)	AN	SPLIT IP (REP) IDENTIFIER (CAPS)
106 - 111	9(03)v9(03)	N	PERCENT OF SPLIT (CAPS)
112 - 749	X(638)	AN	Not Used
750 - 750	X(01)	AN	Literally “X”; indicates the end of the detail record E

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD F – BUSINESS PARTY CROSS-REFERENCE (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “F”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; values include: “079” = Book of Business “161 B ” = Held Away Rep Identifier “180” = MA Firm “181” = MA Region “AUPT” = Authorized Party “INVP” = Investment Professional “IPTM” = Investment Professional Team “MMGR” = Money Manager “OMAP” = OMGEO Authorized Party “PREP” = Pershing IP (Rep) Identifier “RIA B ” = Registered Investment Advisor
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUS. PARTY RELATION (1) TRANS. TYPE; values include: “A” = New Cross-Reference (BPDF only) “C” = Change to existing Cross-Reference (BPDF only) “D” = Delete Cross-Reference (BPDF only) “X” = Unchanged Cross-Reference (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 064	X(12)	AN	HIERARCHY STRUCTURE IDENTIFIER; values include (customers can have their own client/firm structure ID): “PERSADMN0001” = Pershing standard hierarchy “PMASADMN0001” = Managed Investments hierarchy
065 - 068	X(04)	AN	OFFICE IDENTIFIER (only for Pershing standard hierarchy)
069 - 072	X(04)	AN	MANAGED INVESTMENTS REGION ID (only for MI hier.)
073 - 076	X(04)	AN	ALTERNATE IDENTIFIER TYPE; values include: “161 B ” = Held Away Rep Identifier “INVP” = Investment Professional “IPTM” = Investment Professional Team “IREP” = IBD IP (Rep) Identifier “MMID” = Money Manager Identifier

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"PREP" = Pershing IP (Rep) Identifier
077 - 092	X(16)	AN	ALTERNATE IDENTIFIER VALUE
093 - 096	X(04)	AN	CAPS REVENUE CENTER
097 - 100	X(04)	AN	CAPS OFFICE
101 - 112	X(12)	AN	ALTERNATE RELATED REP CODE
113 - 749	X(637)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record F

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD G – BUSINESS PARTY ADDRESS INFO (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “G”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “079” = Book of Business “180” = MA Firm “181” = MA Region “AAPT” = Authorized Party “DAFS” = Donor-Advised Fund Sponsor “INVP” = Investment Professional “IPTM” = Investment Professional Team “LEND” = Lender “MMGR” = Money Manager “OMAP” = OMGEO Authorized Party “RIA ^B ” = Registered Investment Advisor “TSOL” = Trust Solutions Provider
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY CONTACT INFO (1) TRANSACTION TYPE; values include: “A” = New Contact Information (BPDF only) “C” = Change to existing Contact Information (BPDF only) “D” = Delete Contact Information (BPDF only) “X” = Unchanged Contact Information (BPDF only) “ ^B ” = Not applicable (BPDF only)
053 - 064	X(12)	AN	HIERARCHY STRUCTURE IDENTIFIER; values include (customers can have their own client/firm structure ID): “PERSADMN0001” = Pershing standard hierarchy “PMASADMN0001” = Managed Investments hierarchy
065 - 068	X(04)	AN	OFFICE IDENTIFIER (only for Pershing standard hierarchy); can be spaces if no cross-reference defined at the OFFICE level
069 - 072	X(04)	AN	MANAGED INVESTMENTS REGION IDENTIFIER (only for Managed Investment hierarchy); can be spaces if no cross- reference defined at the REGION level

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
BUSINESS PARTY ADDRESS (1)			
073 - 073	X(01)	AN	ADDRESS TRANSACTION CODE (1); values include: "A" = Add new address (BPFD only) "C" = Change to existing address (BPFD only) "D" = Delete address (BPFD only) "X" = Unchanged Address (BPFD only) "B" = Not applicable (BPFF only)
074 - 074	X(01)	AN	ADDRESS TYPE (1); values include: "B" = Business "L" = Mailing
075 - 078	X(04)	AN	ATTENTION LINE PREFIX (1); values include: "ATTN" = Attention of "C/O B" = Care of "BBBB" = May be blank
079 - 106	X(28)	AN	ATTENTION LINE DETAIL (1)
107 - 138	X(32)	AN	ADDRESS LINE 1 (1)
139 - 170	X(32)	AN	ADDRESS LINE 2 (1)
171 - 202	X(32)	AN	ADDRESS LINE 3 (1)
203 - 234	X(32)	AN	ADDRESS LINE 4 (1); only if country is not US or Canada
235 - 249	X(15)	AN	CITY (1); for US/Canada address only
250 - 251	X(02)	AN	STATE (1); for US/Canada address only
252 - 266	X(15)	AN	ZIP (1); for US/Canada address only
267 - 268	X(02)	AN	COUNTRY CODE (1); see Appendix Q for values
269 - 276	9(08)	N	MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
277 - 297	X(21)	AN	MOST RECENT RETURN COMMENT
298 - 301	X(04)	AN	MOST RECENT RETURN MAIL TYPE; values include: "CHCK" = Check "CONF" = Trade Confirmation "OTHR" = Other "STMT" = Customer Statement "TXSM" = Tax Statement "BBBB" = Not applicable
302 - 309	9(08)	N	SECOND MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
310 - 330	X(21)	AN	SECOND MOST RECENT RETURN COMMENT
331 - 334	X(04)	AN	SECOND MOST RECENT RETURN MAIL TYPE; see 298
335 - 342	9(08)	N	THIRD MOST RECENT MAIL RETURN DATE, in CCYYMMDD format
343 - 363	X(21)	AN	THIRD MOST RECENT RETURN COMMENT
364 - 367	X(04)	AN	THIRD MOST RECENT RETURN MAIL TYPE; see 298
368 - 368	X(01)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
BUSINESS PARTY ADDRESS (2)			
369 - 369	X(01)	AN	ADDRESS TRANSACTION CODE (2); see position 073 for values
370 - 370	X(01)	AN	ADDRESS TYPE (2); see position 074 for values
371 - 374	X(04)	AN	ATTENTION LINE PREFIX (2); see position 075 for values
375 - 402	X(28)	AN	ATTENTION LINE DETAIL (2)
403 - 434	X(32)	AN	ADDRESS LINE 1 (2)
435 - 466	X(32)	AN	ADDRESS LINE 2 (2)
467 - 498	X(32)	AN	ADDRESS LINE 3 (2)
499 - 530	X(32)	AN	ADDRESS LINE 4 (2); only if country is not US or Canada
531 - 545	X(15)	AN	CITY (2); for US/Canada address only
546 - 547	X(02)	AN	STATE (2); for US/Canada address only
548 - 562	X(15)	AN	ZIP (2); for US/Canada address only
563 - 564	X(02)	AN	COUNTRY CODE (2); see Appendix Q for values
565 - 749	X(185)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record G

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD H – BUSINESS PARTY ADDITIONAL CONTACT (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “H”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; values include: “AAPT” = Authorized Party “DAFS” = Donor-Advised Fund Sponsor “INVP” = Investment Professional “IPTM” = Investment Professional Team “LEND” = Lender “MMGR” = Money Manager “OMAP” = OMGEO Authorized Party “RIA ^B ” = Registered Investment Advisor “TSOL” = Trust Solutions Provider
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY CONTACT INFO (1) TRANSACTION TYPE; values include: “A” = New Contact Information (BPDF only) “C” = Change to existing Contact Information (BPDF only) “D” = Delete Contact Information (BPDF only) “X” = Unchanged Contact Information (BPDF only) “ ^B ” = Not applicable (BPDF only)
053 - 064	X(12)	AN	HIERARCHY STRUCTURE IDENTIFIER; values include (customers can have their own client/firm structure ID): “PERSADMN0001” = Pershing standard hierarchy “PMASADMN0001” = Managed Investments hierarchy
065 - 068	X(04)	AN	OFFICE IDENTIFIER (only for Pershing standard hierarchy); can be spaces if no cross-reference defined at the OFFICE level
069 - 072	X(04)	AN	MANAGED INVESTMENTS REGION IDENTIFIER (only for Managed Investment hierarchy); can be spaces if no cross- reference defined at the REGION level

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
TELEPHONE NUMBER 1			
Note: Telephone numbers will appear in alphabetical order based on TELEPHONE TYPE IDENTIFIER			
073 - 073	X(01)	AN	TELEPHONE 1 TRANSACTION CODE; values include: "A" = Add new telephone number "C" = Change to telephone number (BPFDF only) "D" = Delete telephone number (BPFDF only) "X" = Unchanged telephone number (BPFDF only) "B" = Not applicable (BPFDF only)
074 - 074	X(01)	AN	US/INTERNATIONAL INDICATOR (1); values include: "U" = US/Canada "F" = International "B" = Not provided
075 - 075	X(01)	AN	TELEPHONE TYPE ID (1); values include: "B" = Business "C" = Cellular "E" = Beeper "F" = Fax "H" = Home "O" = Other (for "Other" phone types the first 30 characters contain "Other" text, followed by the telephone number) "S" = Seasonal "T" = Telex "V" = Voice Mail
076 - 123	X(48)	AN	TELEPHONE NUMBER (1)
124 - 130	X(07)	AN	TELEPHONE EXTENSION (1)
TELEPHONE NUMBER 2			
131 - 131	X(01)	AN	TELEPHONE 2 TRANSACTION CODE; see position 073
132 - 132	X(01)	AN	US/INTERNATIONAL INDICATOR (2); see position 074
133 - 133	X(01)	AN	TELEPHONE TYPE ID (2); see position 075 for values
134 - 181	X(48)	AN	TELEPHONE NUMBER (2)
182 - 188	X(07)	AN	TELEPHONE EXTENSION (2)
TELEPHONE NUMBER 3			
189 - 189	X(01)	AN	TELEPHONE 3 TRANSACTION CODE; see position 073
190 - 190	X(01)	AN	US/INTERNATIONAL INDICATOR (3); see position 074
191 - 191	X(01)	AN	TELEPHONE TYPE ID (3); see position 075 for values
192 - 239	X(48)	AN	TELEPHONE NUMBER (3)
240 - 246	X(07)	AN	TELEPHONE EXTENSION (3)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
TELEPHONE NUMBER 4			
247 - 247	X(01)	AN	TELEPHONE 4 TRANSACTION CODE; see position 073
248 - 248	X(01)	AN	US/INTERNATIONAL INDICATOR (4); see position 074
249 - 249	X(01)	AN	TELEPHONE TYPE ID (4); see position 075 for values
250 - 297	X(48)	AN	TELEPHONE NUMBER (4)
298 - 304	X(07)	AN	TELEPHONE EXTENSION (4)
ADDITIONAL CONTACT INFORMATION			
305 - 364	X(60)	AN	E-MAIL ADDRESS
365 - 749	X(385)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record H

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD I – BUSINESS PARTY SERVICE INFORMATION (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “I”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; values include: “AAPT” = Authorized Party “INVP” = Investment Professional “IPTM” = Investment Professional Team “MMGR” = Money Manager “OMAP” = OMGEO Authorized Party “RIAB” = Registered Investment Advisor
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 044	X(01)	AN	Not Used
045 - 048	X(04)	AN	MANAGED INVESTMENTS FIRM IDENTIFIER
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY SERVICE TRANS. TYPE; values include: “A” = New Service Information (BPDF only) “C” = Change to existing Service Information (BPDF only) “D” = Delete Service Information (BPDF only) “X” = Unchanged Service Information (BPDF only) “B” = Not applicable (BPDF only)
053 - 064	X(12)	AN	HIERARCHY STRUCTURE IDENTIFIER; values include (customers can have their own client/firm structure ID): “PERSADMN0001” = Pershing standard hierarchy “PMASADMN0001” = Managed Investments hierarchy
065 - 068	X(04)	AN	OFFICE IDENTIFIER (only for Pershing standard hierarchy); can be spaces if no cross-reference defined at the OFFICE level
069 - 072	X(04)	AN	MANAGED INVESTMENTS REGION IDENTIFIER (only for MI hierarchy); can be spaces if no cross-reference defined at the REGION level
073 - 092	X(20)	AN	EMPLOYEE ID
093 - 093	X(01)	AN	BRANCH MANAGER INDICATOR
094 - 101	9(08)	N	LATEST HIRE DATE, in CCYYMMDD format
102 - 109	9(08)	N	TERMINATION DATE, in CCYYMMDD format
110 - 117	9(08)	N	LENGTH OF SERVICE DATE, in CCYYMMDD format
118 - 137	X(20)	AN	BRANCH CRD IDENTIFIER

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
138 - 140	X(03)	AN	BRANCH MANAGER OFFICE IDENTIFIER
141 - 156	X(16)	AN	BRANCH MANAGER IP IDENTIFIER
157 - 188	X(32)	AN	DOING BUSINESS AS (DBA) NAME
189 - 189	X(01)	AN	VIP INDICATOR; values include: "Y" = Yes; VIP "N" = No, not VIP "B" = Not applicable
190 - 191	X(02)	AN	HOME STATE REGISTRATION; see Appendix Q for values
192 - 199	9(08)	N	DEACTIVATION DATE; represents when a business party's status (Record A, position 326) is set into an inactive mode, and will automatically be removed after 90 calendar days unless reactivated; in CCYYMMDD format (effective early 2 nd Q 2015)
200 - 219	X(20)	AN	BRANCH MANAGER CRD IDENTIFIER (effective 06/07/2019)
220 - 749	X(530)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record I

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD J – INSTITUTIONAL MASTER CLIENT RELATIONSHIP

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “J”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “MSUB” = Institutional Master/Client
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 048	X(05)	AN	Not Used
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY SERVICE TRANS. TYPE; values include: “A” = New Service Information (BPDF only) “C” = Change to existing Service Information (BPDF only) “D” = Delete Service Information (BPDF only) “X” = Unchanged Service Information (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 072	X(20)	AN	REGISTRY NUMBER OF PRIMARY INCORPORATION
073 - 076	X(04)	AN	CUSTOMER TYPE CODE; values include: “ACTG” = Accounting “BBAC” = Buy-Back Account “BIDA” = BID Agreement “LCLP” = Large Corporate - Large Parent “OMNI” = Omnibus “PRMG” = Prime Managed “PRNM” = Prime Non-Managed “SMCP” = Small Corporate “SUBA” = Sub Account “ B B B B ” = Not applicable or populated
077 - 080	X(04)	AN	ENTITY STRUCTURE CODE; values include: “BANK” = Bank “CORP” = Corporation “INDV” = Individual “JONT” = Joint “LLCP” = Limited Liability Corporation “OTHR” = Other “PGVE” = Public Government Entity “PSHP” = Partnership “SOLP” = Sole Proprietorship

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"TRST" = Trust "BBBB" = Not applicable or populated
081 - 160	X(80)	AN	ENTITY STRUCTURE, when Other; free-form
161 - 164	X(04)	AN	TYPE OF BUSINESS CODE; values include: "CSVB" = Commercial Savings Bank "CMSA" = Commission Sharing Account "CRUN" = Credit Union "CRCD" = Currency Dealer "FBNK" = Foreign Bank "FOUB" = Foreign office, US Bank "FOBD" = Foreign office, US Broker Dealer "FCMM" = Future Commission Merchant "HGFD" = Hedge Fund "INSC" = Insurance Company "IADV" = Investment Advisor "LNSV" = Loan Servicing "MFND" = Mutual Fund "NPRO" = Non Profit "OTHR" = Other "NFNC" = Non-Financial Company "TRSC" = Trust Company "USBD" = US Securities Broker Dealer "BBBB" = Not applicable or populated
165 - 244	X(80)	AN	TYPE OF BUSINESS, when Other; free-form
245 - 245	X(01)	AN	RELATIONSHIP STATUS; values include: "A" = Active "I" = Inactive "R" = Restricted "B" = Not applicable or populated
246 - 254	X(09)	AN	PRIMARY SUB-ACCOUNT NUMBER OF THE INSTITUTIONAL CLIENT
255 - 262	X(08)	AN	INSTITUTIONAL ACRONYM
263 - 268	X(06)	AN	NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) INDUSTRY CODE
269 - 278	X(10)	AN	SEC ID; ID assigned to the entity by the SEC
279 - 282	X(04)	AN	FINRA INSTITUTIONAL ACCOUNT CODE; values include: "BKRI" = Bank, S&L Assoc., Insurance Co., or Reg. Inv. Co. "INVA" = Investment Advisor "NONI" = Non-Institutional under Rule above "OENT" = Other Entity "BBBB" = Not applicable
283 - 286	X(04)	AN	INSTITUTIONAL ACCOUNT SUITABILITY (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			OBLIGATION; values include: “WALL” = Waived for all recommendations “AALL” = Accepted for all recommendations “TIME” = Determined at time of each recommendation “WEXC” = Waived exclusively for the recommendations involving the asset classes listed in the following fields “ B B B B ” = Not applicable
The following fields in positions 287-292 and 323 will use the values as defined below:			
			ASSET CLASSES WAIVED, when INSTITUTIONAL ACCOUNT SUITABILITY OBLIGATION value = “WEXC”; values for each field include: “Y” = Yes, waived for the specified security type “N” = No, not waived for the specified security type “ B ” = Unknown or not applicable
287 - 287	X(01)	AN	EQUITIES
288 - 288	X(01)	AN	OPTIONS
289 - 289	X(01)	AN	FIXED INCOME
290 - 290	X(01)	AN	MUTUAL FUNDS
291 - 291	X(01)	AN	UNIT INVESTMENT TRUSTS
292 - 292	X(01)	AN	EXCHANGE TRADED FUNDS
293 - 322	X(30)	AN	OTHER INVESTMENT TYPE, when ASSET TYPE = “OTHER” (free-form)
323 - 323	X(01)	AN	OTHER INVESTMENT TYPE VALUE
324 - 324	X(01)	AN	LEGAL ENTITY EXEMPTED FROM CDD RULE; values: “Y” = Legal entity exempted from CDD rule “N” = Legal entity not exempted from CDD rule “ B ” = Not applicable or populated
List of Exclusions associated with the Exemption			
325 - 325	X(01)	AN	Entity is a financial institution regulated by a Federal functional regulator or a bank reg. by a State bank regulator; values: “Y” = Yes “N” = No “ B ” = Not applicable or answered
326 - 326	X(01)	AN	Entity is a department or agency of the United States, of any State, or of any political subdivision of a State; see position 325
327 - 327	X(01)	AN	Entity is an investment company, as defined in Section 3 of the Investment Company Act of 1940, that is registered with the SEC under that Act; see position 325 for values
328 - 328	X(01)	AN	Entity is an investment adviser, as defined in Section 202(a)(11) of the Investment Advisers Act of 1940, that is registered with the SEC under that Act; see position 325 for values
329 - 329	X(01)	AN	Entity is an exchange or clearing agency, as defined in Section 3 of the Securities Exchange Act of 1934, that is registered under section 6 or 17A of that Act; see position 325 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
330 - 330	X(01)	AN	Entity is any other entity registered with the SEC under the Securities and Exchange Act of 1934; see position 325
331 - 331	X(01)	AN	Entity is a registered entity, commodity pool operator commodity trading advisor, retail foreign exchange dealer, swap dealer, or major swap participant, each as defined in Section 1a of the Commodity Exchange Act, that is registered with the CFTC; see position 325 for values
332 - 332	X(01)	AN	Entity is a public accounting firm registered under Section 102 of the Sarbanes-Oxley Act; see position 325 for values
333 - 333	X(01)	AN	Entity is a bank holding company, as defined in Section 2 of the Bank Holding Company Act of 1956 (12 U.S.S. 1841), or savings and loan holding company, as defined in Section 10(n) of the Home Owners' Loan Act (12 U.S.C. 1467a(n)); see position 325 for values
334 - 334	X(01)	AN	Entity is a pooled investment vehicle that is operated or advised by a financial institution excluded under this paragraph; see position 325 for values
335 - 335	X(01)	AN	Entity is an insurance company that is regulated by a State; see position 325 for values
336 - 336	X(01)	AN	Entity is a financial market utility designated by the Financial Stability Oversight Council under Title VIII of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010; see position 325 for values
337 - 337	X(01)	AN	Entity is a foreign financial institution established in a jurisdiction where the regulator of such institution maintains beneficial ownership information regarding such institution; see position 325 for values
338 - 338	X(01)	AN	Entity is a non-US governmental department, agency or political subdivision that engages only in governmental department, agency or political subdivision that engages only in governmental rather than commercial activities; see position 325
339 - 339	X(01)	AN	Entity is any legal entity only to the extent that it opens a private banking account subject to 31 CFR 1010.620; see position 325
340 - 340	X(01)	AN	Entity Trust is not a Statutory Trust created by a filing with the Secretary of State or similar office; see position 325 for values
341 - 341	X(01)	AN	Entity is not a Legal Entity Customer as defined by the CDD Rule; see position 325 for values
342 - 342	X(01)	AN	Any entity (other than a bank) whose common stock or analogous equity interests are listed on the New York, American, or NASDAQ stock exchange; see position 325
343 - 343	X(01)	AN	Any entity organized under the laws of the US or of any State at least 51 percent of those whose common stock or analogous equity interests are held by a listed equity; see position 325
344 - 383	X(40)	AN	<i>Reserved for future exclusions</i>
384 - 392	X(09)	AN	MASTER MNEMONIC; effective 1 st Q, 2021
393 - 749	X(357)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record J

PERSHING STANDARD FILE LAYOUTS

(Record K is reserved)

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD L – CAT ENTITY-ASSOCIATED AVERAGE PRICE ACCOUNT NUMBERS

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “BD” = BPDF (Update) “BF” = BPDF (Refresh)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “L”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID) (plus Business Party Role Code for true uniqueness)
021 - 036	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
037 - 040	X(04)	AN	BUSINESS PARTY ROLE CODE; value includes: “115 B ” = CAT Entity
041 - 043	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
044 - 048	X(05)	AN	Not Used
049 - 051	9(03)	N	SECONDARY SEQUENCE NUMBER, from 001-999
052 - 052	X(01)	AN	BUSINESS PARTY’S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; values include: “A” = New Average Price Account Number (BPDF only) “C” = Change to existing Average Price Account Number (BPDF only) “D” = Delete Average Price Account Number (BPDF only) “X” = Unchanged Average Price Account Number (BPDF only) “ B ” = Not applicable (BPDF only)
053 - 061	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; One
062 - 081	X(20)	AN	<i>Reserved</i>
082 - 082	X(01)	AN	BUSINESS PARTY’S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
083 - 091	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Two
092 - 111	X(20)	AN	<i>Reserved</i>
112 - 112	X(01)	AN	BUSINESS PARTY’S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
113 - 121	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Three
122 - 141	X(20)	AN	<i>Reserved</i>
142 - 142	X(01)	AN	BUSINESS PARTY’S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
143 - 151	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Four
152 - 171	X(20)	AN	<i>Reserved</i>
172 - 172	X(01)	AN	BUSINESS PARTY’S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
173 - 181	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Five
182 - 201	X(20)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
202 - 202	X(01)	AN	BUSINESS PARTY'S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
203 - 211	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Six
212 - 231	X(20)	AN	<i>Reserved</i>
232 - 232	X(01)	AN	BUSINESS PARTY'S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
233 - 241	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Seven
242 - 261	X(20)	AN	<i>Reserved</i>
262 - 262	X(01)	AN	BUSINESS PARTY'S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
263 - 271	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Eight
272 - 291	X(20)	AN	<i>Reserved</i>
292 - 292	X(01)	AN	BUSINESS PARTY'S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
293 - 301	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Nine
302 - 321	X(20)	AN	<i>Reserved</i>
322 - 322	X(01)	AN	BUSINESS PARTY'S ASSOCIATED AVERAGE PRICE ACCOUNT TRANSACTION TYPE; see 052 for values
323 - 331	X(09)	AN	AVERAGE PRICE ACCOUNT NUMBER; Ten
332 - 351	X(20)	AN	<i>Reserved</i>
352 - 749	X(398)	AN	Not Used
750 - 750	X(01)	AN	Literally "X"; indicates the end of the detail record L

PERSHING STANDARD FILE LAYOUTS

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	For BPFD: Literally “BUSINESSPARTY B UPDT” For BPF: Literally “BUSINESSPARTY B FULL”
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 - 105	X(34)	AN	Literally“ B ENDS B HERE. B TOTAL B DETAIL B RECORDS: B ”
106 - 115	9(10)	N	NUMBER OF DETAIL RECORDS
116 - 118	X(03)	AN	Not Used
119 - 127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally “REFRESHED” or “UPDATED B B ”
128 - 749	X(622)	AN	Not Used
750 - 750	X(01)	AN	Literally “Z”; indicates the end of the trailer record