

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: CONSOLIDATED AUDIT TRAIL REPORTING

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 3500 characters
 Form Name: CATS

DESCRIPTION

The Consolidated Audit Data file (CATS) is created daily.

This file contains Pershing’s 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. A complete file is sent nightly.

This file is contains the CAT data in the approved JSON format, and is housed within Pershing’s standard file envelope.

This file is available only at 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 B PERSHING B ” (beginning of Pershing file)
019 - 036	X(18)	AN	Literally “CONSOL B AUDIT B TRAIL”
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 - 3499	X(3395)	AN	Not Used
3500 - 3500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A - CAT DETAIL

POSITION	PICTURE	TYPE	DESCRIPTION
Pershing Standard File Record Prefix			
001 - 002	X(02)	AN	TRANSACTION CODE = "OC"
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012 - 021	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base (6) and Type
022 - 024	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
025 - 025	X(01)	AN	Not Used
026 - 034	X(09)	AN	<i>Reserved for INTRODUCING FIRM, when available</i>
035 - 037	X(03)	AN	<i>Reserved for INVESTMENT PROFESSIONAL (IP) NUMBER</i>
038 - 044	X(07)	AN	Not Used
CAT Data Begins here			
045 - 3044	X(3000)	AN	Consolidated Audit Trail data (<i>see https://www.catnmsplan.com/sites/default/files/2020-02/CAT-Reporting-Technical-Specifications-for-Industry-Members-v2.2.1-r3-CLEAN.pdf for file format</i>)
3045 - 3499	X(455)	AN	Not Used
3500 - 3500	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 "CONSOL B AUDIT B TRAIL"
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 - 3499	X(3384)	AN	Not Used
3500 - 3500	X(01)	AN	Literally "Z"; indicates the end of the trailer record