

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: MONTHLY CAPS**

## GENERAL INFORMATION

File Frequency: Monthly  
Record Size: 133 characters  
Form Name: CPSM

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## DESCRIPTION

The Monthly CAPS file (CPSM) is created on the last business day of the month.

Monthly CAPS is a summary file sorted by firm and Investment Professional that also includes each Investment Professional's payout information.

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.

In order to receive this file, a site must be set up for the range that matches the IBD number.

The symbol "**B**" is used on our standard files to represent spaces.

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## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "COMMISSION <b>B</b> MONTHLY"
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>B</b> <b>B</b> "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " <b>B</b> TO <b>B</b> REMOTE <b>B</b> "
068-071	X(04)	AN	Literally = "XXXX"
072-085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <b>B</b> <b>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"
105-132	X(28)	AN	Not Used
133-133	X(01)	AN	Literally "A"; indicates the end of the header record

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## DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-003	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
004-006	X(03)	AN	INVESTMENT PROFESSIONAL CAPS REVENUE CENTER
007-009	X(03)	AN	INVESTMENT PROFESSIONAL CAPS OFFICE
010-012	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
013-016	X(04)	AN	CAPS PRODUCT CODE; see Appendix H, CAPS Product Codes
017-017	X(01)	AN	INSTITUTIONAL/RETAIL INDICATOR; values include: “I” = Institutional “R” = Retail
018-019	X(02)	AN	PAY CODE; values include: “00” = Acceptable trade “87” = Under the minimum payout “88” = Not registered in the state
020-021	X(02)	AN	PROCESS MONTH, in MM format
022-025	X(04)	AN	PROCESS YEAR, in CCYY format
026-038	s9(11)v9(02)	N	GROSS AMOUNT; gross revenue of the trade
039-051	s9(11)v9(02)	N	CALCULATED GROSS AMOUNT; referred to as “Adjusted Gross” in CAPS
052-064	s9(11)v9(02)	N	PERSHING CHARGE; the amount charged to execute and/or clear trade
065-077	s9(11)v9(02)	N	NET AMOUNT; populated only if CAPS is calculating the payout
078-133	X(56)	AN	Not Used

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOF <b>B B B B B B</b> PERSHING <b>B</b> ” (end of Pershing file)
019-036	X(18)	AN	Literally “COMMISSION <b>B</b> MONTHLY”
037-046	X(10)	AN	Literally “ <b>B</b> DATA <b>B</b> OF <b>B B</b> ”
047-056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057-067	X(11)	AN	Literally “ <b>B</b> TO <b>B</b> REMOTE <b>B</b> ”
068-071	X(04)	AN	REMOTE ID = “XXXX”
072-083	X(12)	AN	Literally “ <b>B</b> ENDS <b>B</b> HERE <b>B</b> ”
084-105	X(22)	AN	Literally “TOTAL <b>B</b> DETAIL <b>B</b> RECORDS: <b>B</b> ”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-132	X(17)	AN	Not Used
133-133	X(01)	AN	Literally “Z”; indicates the end of the trailer record