

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: CRM ACTIVITY

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 4500 characters
 Form Name: CRMA (Daily updates) ICRM (Initial full file)

DESCRIPTION

The CRM Activity file (CRMA) is created on a nightly basis and contains activity on CRM notes. ICRM is sent on the first night to establish a baseline of notes.

The “A” Record contains generic information about the note.

The “B” Record contains the text of the note (there can be a maximum of 9,999 iterations of the “B” record for each note).

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 for CRMA = “CRM B ACTIVITY B DAILY” Literally for ICRM = “CRM B ACTIVITY B INIT”
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 - 4499	X(4395)	AN	Not Used
4500 - 4500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A – GENERIC INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “MA” = CRMA (Update) “M2” = ICRM (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	ACCOUNT NUMBER, including Office (3) and Base (6)
021 - 023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024 - 024	X(01)	AN	Not Used
025 - 027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028 - 028	X(01)	AN	Not Used
029 - 040	X(12)	AN	UNIQUE NOTE IDENTIFIER(S)
041 - 048	X(08)	AN	ID OF PERSON CREATING NOTE
049 - 089	X(41)	AN	NOTE CATEGORY; the following values are supplied by Pershing; free-form custom values can also be entered: “Account Demo Update” “Annuity” “Balance Activity” “Buy Not Acted Upon” “Buy Recommendation” “Cashiering” “Cost Basis” “FA Information” “Fees” “General” “Hold” “Hold Recommendation” “New Account” “Presentation” “Sell Not Acted Upon” “Sell Recommendation” “Statements Confirms” “Strategy Recommend” “Suitability” “Tax Documents” “Trade” “Transfers”
090 - 097	9(08)	N	NOTE CREATION DATE, in CCYYMMDD format
098 - 105	9(08)	N	NOTE EXPIRATION DATE, in CCYYMMDD format

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POSITION	PICTURE	TYPE	DESCRIPTION
106 - 109	X(04)	AN	ACCESS TYPE; values include: “CORM” = IBD level note “PRVM” = Private note “PUBM” = Public note
110 - 113	X(04)	AN	NOTE STATUS CODE; values include: “ADD B ” = New note “CHNG” = Update to existing note “DEL B ” = Deleted note
114 - 121	9(08)	N	NOTE UPDATE DATE, in CCYYMMDD format
122 - 129	X(08)	AN	USER ID OF PERSON UPDATING NOTE
130 - 383	X(254)	AN	TITLE TEXT FOR EACH NOTE ID; free-form text; effective 1 st Q, 2021
384 - 387	X(04)	AN	SOURCE OF NOTE, effective 1 st Q, 2021; values include: “NETX” = NetX360 “SLFR” = Salesforce “ B B B B ” = Not applicable or provided
388 - 391	X(04)	AN	NOTE LEVEL; to indicate if note is account, contact, or household level, effective 1 st Q, 2021; values include: “ACCT” = Account level (Salesforce value) “CNTC” = Contact level (Salesforce value) “HHLD” = Household level (Salesforce value) “NLVL” = No level (NetX360 value) “ B B B B ” = Not applicable or provided
392 - 4499	X(4108)	AN	Not Used
4500 - 4500	X(01)	AN	Literally “X”; indicates the end of the detail record A

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DETAIL RECORD B – NOTE TEXT (AS MANY ITERATIONS AS NECESSARY, UP TO 9,999)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “MA” = CRMA (Update) “M2” = ICRM (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	ACCOUNT NUMBER, including Office (3) and Base (6)
021 - 023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024 - 024	X(01)	AN	Not Used
025 - 027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028 - 028	X(01)	AN	Not Used
029 - 040	X(12)	AN	UNIQUE NOTE IDENTIFIER(S)
041 - 044	9(04)	N	SECONDARY SEQUENCE NUMBER FOR NOTE LINE
045 - 2044	X(2000)	AN	NOTE TEXT
2045 - 4499	X(2455)	AN	Not Used
4500 - 4500	X(01)	AN	Literally “X”; indicates the end of the detail record B

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 for CRMA = “CRM B ACTIVITY B DAILY” Literally for ICRM = “CRM B ACTIVITY B INIT”
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 - 4499	X(4384)	AN	Not Used
4500 - 4500	X(01)	AN	Literally “Z”; indicates the end of the trailer record