

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: DEPARTMENT OF LABOR INFORMATION

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Form Name: DOLD (Update) / DOLF (Refresh)

DESCRIPTION

The Department of Labor Information files (DOLD and DOLF) are created daily as an update and weekly as a refresh. These files provide information for IBDs to address fiduciary requirements for retirement accounts to comply with DOL Best Interest Contract (BIC).

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 (Effective Q1 2017).

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 "DOL B FIDUCIARY B INFO"
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	Literally = "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 "
128-249	X(122)	AN	Not Used
250-250	X(01)	AN	Literally "A"; indicates the end of the header record

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE; values include: “DU” = DOLD (Update) “DF” = DOLF (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), Base Account (5), and Check Digit (1)
021-021	X(01)	AN	<i>(reserved for account type)</i>
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</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-038	X(01)	AN	Not Used
039-039	X(01)	AN	RECORD TRANSACTION CODE; values include: “ B ” = Not applicable; DOLF only “A” = Added record; DOLD only “C” = Change to existing record; DOLD only
DOL INFORMATION			
040-043	X(04)	AN	BEST INTEREST CONTRACT COMPLIANCE PATHWAY; identifies the Best Interest Compliance pathway for the account; values include: “FGFR” = Fully grandfathered “FBIC” = Full best interest contract “OBIC” = One-time best interest contract “LBIC” = Limited time best interest contract “LFEE” = Level fee fiduciary “EDSC” = ERISA plan rules “TDSC” = Transitional rules “NSBJ” = Not subject to best interest contract exemption “NREQ” = Best interest contract pathway not needed “ B B B B ” = Not applicable
044-051	9(08)	N	BEST INTEREST CONTRACT COMPLIANCE PATHWAY EFFECTIVE DATE, in CCYYMMDD format (<i>this field will be populated with all zeroes if not applicable</i>)
052-052	X(01)	AN	GRANDFATHERED ACCOUNT; values include “Y” = Grandfathered account “N” = Not grandfathered account
053-060	9(08)	N	GRANDFATHERED ACCOUNT EFFECTIVE DATE, in CCYYMMDD format (<i>this field will be populated with all zeroes if not applicable</i>)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
061-061	X(01)	AN	PRINCIPAL TRADING EXEMPTION; represents whether or not a Principal Trading Exemption contract is required; values include: “Y” = Exemption required “N” = Exemption is not required
062-069	9(08)	N	PRINCIPAL TRADING EXEMPTION EFFECTIVE DATE, in CCYYMMDD format (<i>this field will be populated with all zeroes if not applicable</i>)
070-249	X(180)	AN	Not Used
250-250	X(01)	AN	Literally “X”; indicates the end of 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 “DOL B FIDUCIARY B INFO”
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
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally “REFRESHED” or “UPDATED B B ”
128-249	X(122)	AN	Not Used
250-250	X(01)	AN	Literally “Z”; indicates the end of the trailer record