

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: FIRM TRADING - FT20 - DAILY SETTLE DATE INVENTORY RECAP**

## GENERAL INFORMATION

File Frequency: Daily  
Record Size: 500 characters  
Form Name: FT20

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## DESCRIPTION

The Firm Trading Settlement Data file (FT20) is created on a nightly basis. The “A” Record contains the settlement date based information that summarizes the status of each security in the trading account. Profit/loss data is shown along with dividend and interest information. Pending dividends are also shown, as well as sales credits paid to brokers on principal transactions. Sales credits, however, are memo entries and are not calculated by the Firm Trading system.

The “B” record contains the settlement date bookkeeping balance in USD and/or currency for the account. The “C” record contains currency information associated with the preceding Multicurrency Position “A” record. These records contain the Currency Code and Currency Exchange Rate as of close of the current business day and Currency Rate Multiply/Divide Indicator used to calculate the US Dollar Equivalent (USDE) values for multicurrency positions and balances. For domestic records, the currency code and currency exchange rate fields will be blank.

You can choose not to receive these records. The default option is that the “B” and “C” records will be sent unless you notify Pershing otherwise.

If the “C” record option is included for this office, there can also be “B” records for each currency that the account has a trade date bookkeeping balance.

Ticket counts are also provided. This file is of primary use to those firms who close their books on a settlement date basis.

The symbol “**□**” is used on our standard files to represent spaces.

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# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>B B B B B B</b> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "FIRM <b>B</b> TRADING <b>B</b> FT20 <b>B</b> "
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"
072-085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <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"
105-499	X(395)	AN	Not Used
500-500	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 = "SD"
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 Account (6)
021-029	X(09)	AN	CUSIP® NUMBER
030-032	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
033-033	X(01)	AN	SECURITY TYPE CODE; see Appendix B for values
034-034	X(01)	AN	SECURITY MOD CODE; see Appendix B for values
035-035	X(01)	AN	SECURITY CALC CODE; see Appendix B for values
036-053	9(13)v9(05)	N	TOTAL POSITION
054-054	X(01)	AN	TOTAL POSITION SIGN; values include: "+" = Positive "-" = Negative "b" = Not applicable or Zero
055-055	X(01)	AN	STOCK SPLIT INDICATOR; values include: "*" = Stock split is pending and not reflected in the quantity "b" = Not applicable
056-073	9(16)v9(02)	N	BOOK COST
074-074	X(01)	AN	BOOK COST SIGN; values include: "+" = Positive "-" = Negative "b" = Not applicable or Zero
075-075	X(01)	AN	EX-DIVIDEND INDICATOR; values include: "X" = for equities, that an ex-dividend date occurs within ten business days; for options, that the option expires in ten days; and for bonds, that the instrument matures within 30 days "b" = Not applicable
076-093	9(09)v9(09)	N	AVERAGE PRICE
094-094	X(01)	AN	AVERAGE PRICE SIGN; values include: "+" = Positive "-" = Negative "b" = Not applicable or Zero
095-112	9(16)v9(02)	N	MARKET VALUE
113-113	X(01)	AN	MARKET VALUE SIGN; values include: "+" = Positive "-" = Negative "b" = Not applicable or Zero

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
114-131	9(09)v9(09)	N	CURRENT PRICE
132-132	X(01)	AN	CURRENT PRICE SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
133-133	X(01)	AN	USER PRICE INDICATOR; values include: “#” = Pricing Service provided “ <b>B</b> ” = User Entered
134-151	9(16)v9(02)	N	COUPON INTEREST
152-152	X(01)	AN	COUPON INTEREST SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
153-170	9(16)v9(02)	N	TRADE INTEREST
171-171	X(01)	AN	TRADE INTEREST SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
172-189	9(16)v9(02)	N	ACCRUED INTEREST/STOCK DIVIDENDS
190-190	X(01)	AN	ACCRUED INTEREST/STOCK DIVIDENDS SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
191-208	9(16)v9(02)	N	MONTH TO DATE INTEREST/CASH DIVIDENDS
209-209	X(01)	AN	MONTH TO DATE INTEREST/CASH DIVIDENDS SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
210-227	9(16)v9(02)	N	TOTAL UNREALIZED PROFIT/LOSS
228-228	X(01)	AN	TOTAL UNREALIZED PROFIT/LOSS SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
229-246	9(16)v9(02)	N	MONTH TO DATE REALIZED PROFIT/LOSS
247-247	X(01)	AN	MONTH TO DATE REALIZED P/L SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
248-265	9(16)v9(02)	N	MONTH TO DATE SALES CREDIT
266-266	X(01)	AN	MONTH TO DATE SALES CREDIT SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
267-284	9(16)v9(02)	N	MONTH TO DATE PERSHING CHARGE
285-285	X(01)	AN	MONTH TO DATE PERSHING CHARGE SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
286-295	9(10)	N	PREVIOUS DAY TOTAL TICKETS
296-296	X(01)	AN	PREVIOUS DAY TOTAL TICKETS SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
297-306	9(10)	N	MONTH TO DATE TOTAL TICKETS
307-307	X(01)	AN	MONTH TO DATE TOTAL TICKETS SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
308-325	9(16)v9(02)	N	BOOKKEEPING BALANCE
326-326	X(01)	AN	BOOKKEEPING BALANCE SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” =Not applicable or Zero
327-344	9(06)v9(12)	N	SECURITY FACTOR (effective 01/2015)
345-490	X(146)	AN	Not Used
491-491	X(01)	AN	SOURCE INDICATOR; values include: “M” = Multicurrency transaction “ <b>B</b> ” or “P” = USD transaction (file will display “P” only when the option is set for multicurrency)
492-499	9(08)	N	DATE OF DATA, in CCYYMMDD format
500-500	X(01)	AN	Literally “X”; indicates the end of detail record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "SD"
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 Account (6)
021-029	X(09)	AN	Literally "99999999"
030-032	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
033-035	X(03)	AN	Not Used
036-053	9(16)v9(02)	N	SETTLEMENT DATE BOOKKEEPING BALANCE
054-054	X(01)	AN	SD BOOKKEEPING BALANCE SIGN, values include: "+" = Positive "-" = Negative "b" = Not applicable or Zero
055-057	X(03)	AN	CURRENCY CODE; see Appendix N for values
058-075	9(09)v9(09)	N	MULTICURRENCY EXCHANGE RATE (effective 01/2015)
076-076	X(01)	AN	MULTICURRENCY EXCHANGE RATE - Multiplier or Divisor Indicator; values include: "M" = Multiply "D" = Divide "b" = Not applicable
077-490	X(414)	AN	Not Used
491-491	X(01)	AN	SOURCE INDICATOR; values include: "M" = Multicurrency balance "b" or "P" = USD balance (file will display "P" only when the option is set for multicurrency)
492-499	9(08)	N	DATE OF DATA, in CCYYMMDD format
500-500	X(01)	AN	Literally "X"; indicates the end of detail record B

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD C

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "SD"
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	ACCOUNT NUMBER, including Office (3) and Base Account (6)
021-029	X(09)	AN	CUSIP® NUMBER
030-032	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
033-035	X(03)	AN	CURRENCY CODE; see Appendix N for values
036-053	9(09)v9(09)	N	MULTICURRENCY EXCHANGE RATE
054-054	X(01)	AN	MULTIPLY/DIVIDE INDICATOR; values include: "M" = Multiply "D" = Divide
055-490	X(436)	AN	Not Used
491-491	X(01)	AN	SOURCE INDICATOR; values include: "M" = Multicurrency position "B" = USD position
492-499	9(08)	N	DATE OF DATA, in CCYYMMDD format
500-500	X(01)	AN	Literally "X"; indicates the end of detail record C

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOFBBBBB PERSHING B" (end of Pershing file)
019-036	X(18)	AN	Literally "FIRMB TRADING BFT20 B"
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
116-499	X(384)	AN	Not Used
500-500	X(01)	AN	Literally "Z"; indicates the end of the trailer record