

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: COMPLIANCE VIEW GENERAL TRADES

GENERAL INFORMATION

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

DESCRIPTION

The ComplianceView General Trades file contains the daily data that is generated by the ComplianceView for General Trades Report. The file consists of data that your firm defines in the Trade Selection Screen in the TOOL application. It does not contain all trades executed by your firm.

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 "GENERAL B TRADES B RPT"
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"
105-499	X(395)	AN	Not Used
500-500	X(01)	AN	Literally "A"; indicates the end of the header record

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "GT"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010-018	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
019-021	X(03)	AN	INTRODUCING BROKER DEALER(IBD) NUMBER
022-024	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
025-034	X(10)	AN	ACCOUNT SHORT NAME
035-036	X(02)	AN	ACCOUNT TYPE; values include: "b1" = Firm trading account "b2" = COD account "b3" = Omnibus account "b4" = Transfer Control account "b5" = Box account "b6" = Dividend account "b7" = Cash dividend account "b8" = Non-customer account "bb" = Retail account
037-042	X(06)	AN	TRADE (P&S) REFERENCE NUMBER
043-051	X(09)	AN	CUSIP NUMBER
052-052	X(01)	AN	TRADE TYPE; values include: "B" = Buy "S" = Sell
053-053	X(01)	AN	PRODUCT GROUP; values include: "1" = Equity "2" = Mutual Fund "3" = Fixed Income "4" = Option "5" = Other
054-061	9(08)	N	TRADE DATE, in CCYYMMDD format
062-074	X(13)	AN	SECURITY SYMBOL
075-089	9(10)v9(05)	N	TRADE QUANTITY
090-090	X(01)	AN	TRADE QUANTITY SIGN, values include: "+" = Positive Quantity "-" = Negative Quantity "b" = Unavailable or zero quantity
091-098	9(08)	N	SETTLEMENT DATE; in CCYYMMDD format
099-110	9(06)v9(06)	N	TRADE PRICE

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POSITION	PICTURE	TYPE	DESCRIPTION
111-111	X(01)	AN	TRADE PRICE SIGN, value includes: “+” = Positive
112-120	X(09)	AN	Not Used
121-121	X(01)	AN	MARKET CODES; values include: “1” = Over the Counter (OTC) “2” = Over the Counter/National Clearing Corp., (OTC/NCC) “3” = New York Stock Exchange (NYSE) “4” = NYSE ALT (Formerly AMEX) “5” = Philadelphia Exchange (PHLX) “6” = Boston Exchange (BSE) “7” = Chicago Exchange (CHX) “8” = Pacific Exchange (PSE) “9” = Chicago Board Options Exchange (CBOE)
122-141	X(20)	AN	TRADE DESCRIPTION LINE 1
142-161	X(20)	AN	TRADE DESCRIPTION LINE 2
162-181	X(20)	AN	TRADE DESCRIPTION LINE 3
182-201	X(20)	AN	TRADE DESCRIPTION LINE 4
202-221	X(20)	AN	TRADE DESCRIPTION LINE 5
222-241	X(20)	AN	TRADE DESCRIPTION LINE 6
242-261	X(20)	AN	TRADE DESCRIPTION LINE 7
262-281	X(20)	AN	TRADE DESCRIPTION LINE 8
282-301	X(20)	AN	TRADE DESCRIPTION LINE 9
302-321	X(20)	AN	TRADE DESCRIPTION LINE 10
322-341	X(20)	AN	TRADE DESCRIPTION LINE 11
342-361	X(20)	AN	TRADE DESCRIPTION LINE 12
362-374	9(11)v9(02)	N	PRINCIPAL AMOUNT
375-375	X(01)	AN	PRINCIPAL AMOUNT SIGN; values include: “+” = Positive “-” = Negative “ B ” = Unavailable or zero value
376-377	X(02)	AN	PRINCIPAL/AGENCY INDICATOR; values include: “PT” = Principal Trade “AT” = Agency Trade
378-390	9(11)v9(02)	N	COMMISSION
391-391	X(01)	AN	COMMISSION SIGN; values include: “+” = Positive “-” = Negative “ B ” = Unavailable or zero value
392-394	X(03)	AN	TRADE STATUS; values include: “CAN” = Cancel “COR” = Correction

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POSITION	PICTURE	TYPE	DESCRIPTION
			“C/C = Cancel/Correction “ B B B ” = Not applicable
395-395	X(01)	AN	MARGIN/SHORT ACCOUNT INDICATOR; values include: “M” = Margin Account “S” = Short Account “ B ” = Not applicable
396-398	X(03)	AN	EXECUTION INVESTMENT PROFESSIONAL (IP)
399-399	X(01)	AN	SELECTION CRITERIA (FIRST); values include: “1” = Amount “2” = Quantity “3” = Low Price “4” = Mark Up “5” = Mark Down “6” = Multiple Trade “7” = Total Trades
400-400	X(01)	AN	SELECTION CRITERIA (SECOND), see 399 for values
401-401	X(01)	AN	SELECTION CRITERIA (THIRD), see 399 for values
402-402	X(01)	AN	SELECTION CRITERIA (FOURTH), see 399 for values
403-403	X(01)	AN	SELECTION CRITERIA (FIFTH), see 399 for values
404-404	X(01)	AN	SELECTION CRITERIA (SIXTH), see 399 for values
405-405	X(01)	AN	SELECTION CRITERIA (SEVENTH), see 399 for values
OCC DATA SET – The following four fields (in position 406 through 426) comprise the OCC DATA SET to be used in lieu of the OPRA Symbol			
406-411	X(06)	AN	OPTION ROOT ID
412-417	9(06)	N	EXPIRATION DATE, in YYMMDD format
418-418	X(01)	AN	CALL/PUT Indicator, values include: “B” = Bank Pledge (Call) “C” = Call “D” = Bank Pledge (Put) “E” = Escrow Receipt “L” = Letter of Credit (Call) “M” = Letter of Credit (Put) “P” = Put
419-426	9(05)v9(03)	N	STRIKE PRICE
417-499	X(73)	AN	Not Used
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record

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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 "GENERAL B TRADES B RPT"
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