

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: HOLDER INFORMATION

GENERAL INFORMATION

File Frequency: Daily
Record Size: 2500 characters
Form Name: HLDR (Refresh) and HLDU (Update)

DESCRIPTION

The Holder/Participant/Client files (HLDR and HLDU) contain expanded holder information that originated in the ACCF file. HLDR and ACCF detail can be cross-referenced by Account Number in position 012-020.

The records are as follows:

A - Generic Account level information. This is the only mandatory record

B-F - *Reserved Legacy Records*

G-I - *Reserved*

J - Individual/Entity Client Common Information

K - Entity and Role/Registration-Specific Client Information

L - Personal Information, Lead Tracking Information (applies to Individuals and Entities)

M - Investment Knowledge and Experience (K&E) / Suitability

N - Employment, Restrictions, OFAC Information

O & P - Sources of Wealth

Q - Risk Assessments, Affiliations, PEP, High Profile

New, upcoming fields/records and changes to existing fields are **highlighted in blue.**

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 PERSHING B ” (beginning of Pershing file)
019 - 036	X(18)	AN	For HLDR: Literally “HOLDER B INFO B FULL B B ” For HLDU: Literally “HOLDER B INFO B UPDATE”
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 - 118	X(14)	AN	Not Used
119 - 127	X(09)	AN	Indicates if the file is REFRESHED or UPDATED; literally “REFRESHED” or “UPDATED B B ”
128 - 2499	X(2372)	AN	Not Used
2500-2500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A – MAIN ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
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 (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 041	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ B ” = Unchanged account “A” = Add new account “C” = Change to existing record
042 - 042	X(01)	AN	Not Used
043 - 046	X(04)	AN	REGISTRATION TYPE; for Account Services only; see Appendix Q for values
047 - 047	X(01)	AN	Not Used
048 - 048	X(01)	AN	NUMBER OF ACCOUNT TITLE LINES IN REGISTRATION LINES (values 1, 2, 3, 4)
A new, freeform field called “Account Description” has been added to record A, position 2343, which further defines the account registration.			
049 - 080	X(32)	AN	ACCOUNT REGISTRATION LINE 1
081 - 112	X(32)	AN	ACCOUNT REGISTRATION LINE 2
113 - 144	X(32)	AN	ACCOUNT REGISTRATION LINE 3
145 - 176	X(32)	AN	ACCOUNT REGISTRATION LINE 4
177 - 208	X(32)	AN	ACCOUNT REGISTRATION LINE 5
209 - 240	X(32)	AN	ACCOUNT REGISTRATION LINE 6
241 - 248	X(08)	AN	For Pershing Internal Use Only (SupReg&SubEnt)
249 - 261	X(13)	AN	Not Used
ACCOUNT OPEN/UPDATE/CLOSE DATES			
262 - 269	9(08)	N	DATE ACCOUNT OPENED, in CCYYMMDD format
270 - 277	9(08)	N	DATE ACCOUNT INFORMATION UPDATED, in CCYYMMDD format
278 - 278	X(01)	AN	ACCOUNT STATUS INDICATOR; values include: “O” = Open “P” = Pending Close “C” = Closed

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POSITION	PICTURE	TYPE	DESCRIPTION
279 - 286	9(08)	N	PENDING CLOSED DATE, in CCYYMMDD format
287 - 294	9(08)	N	DATE ACCOUNT CLOSED, in CCYYMMDD format
295 - 302	X(08)	AN	Not Used
303 - 310	9(08)	N	ACCOUNT RE-ACTIVATED DATE, in CCYYMMDD format
311 - 318	9(08)	N	DATE ACCOUNT RE-OPENED, in CCYYMMDD format
319 - 327	X(09)	AN	INTRODUCING FIRM, where available
328 - 331	X(04)	AN	<i>Reserved for BOOKING ENTITY; legal Books & Records entity with BNY Mellon and its affiliates; values include:</i> <i>“BNYM” = BNY Mellon, NA (Bank Custody)</i> <i>“PLLC” = Pershing LLC (Brokerage)</i> <i>“PSAL” = Pershing Australia (Brokerage)</i> <i>“PSCL” = Pershing Canada (Brokerage)</i> <i>“PSLL” = Pershing London (Brokerage)</i>
Additional Account level information that displays on client screens			
332 - 332	X(01)	AN	W9 ON FILE; values include: “Y” = Yes “N” = No
333 - 333	X(01)	AN	TAX STATUS; values include: “ B ” = Non-Exempt “B” = Exempt “A” = Approved Exempt Retail or Exempt COD accounts
The following two fields apply to Retirement Accounts Only			
334 - 341	9(08)	N	DATE OF DISABILITY, in CCYYMMDD format
342 - 349	9(08)	N	CUSTODIAN DATE, in CCYYMMDD format
350 - 1149	X(800)	AN	<i>Reserved for future use</i>
Mailing and Legal addresses in Record J - additional addresses, which apply to primary holder only, below			
For Seasonal Addresses only			
1150 - 1151	X(02)	AN	Not Used
1152 - 1152	X(01)	AN	SEASONAL ADDRESS IDENTIFIER; values include: “S” = Seasonal 1 “T” = Seasonal 2 “U” = Seasonal 3
1153 - 1160	9(08)	N	FROM DATE, in CCYYMMDD format
1161 - 1168	9(08)	N	TO DATE, in CCYYMMDD format
1169 - 1169	X(01)	AN	SEASONAL ADDRESS ID; see position 1152 for values
1170 - 1177	9(08)	N	FROM DATE, in CCYYMMDD format
1178 - 1185	9(08)	N	TO DATE, in CCYYMMDD format
1186 - 1186	X(01)	AN	SEASONAL ADDRESS ID; see position 1152 for values
1187 - 1194	9(08)	N	FROM DATE, in CCYYMMDD format
1195 - 1202	9(08)	N	TO DATE, in CCYYMMDD format

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POSITION	PICTURE	TYPE	DESCRIPTION
ADDITIONAL ADDRESS #3			
The following two fields' values apply to every address below where indicated			
1203 - 1203	X(01)	AN	DELIVERY IDENTIFIER; address type; values include: "2" = Legal Address (for COD Accounts only) "O" = Business 1 "P" = Business 2 "S" = Seasonal 1 "T" = Seasonal 2 "U" = Seasonal 3
1204 - 1204	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No special handling required "Y" = Special handling required (for Non-US addresses)
1205 - 1208	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1209 - 1236	X(28)	AN	ATTENTION LINE DETAIL
1237 - 1268	X(32)	AN	ADDRESS LINE 1
1269 - 1300	X(32)	AN	ADDRESS LINE 2
1301 - 1332	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1333 - 1364	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
1365 - 1379	X(15)	AN	CITY
1380 - 1381	X(02)	AN	STATE; see Appendix Q for values
1382 - 1396	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
1397 - 1428	X(32)	AN	NON-US CITY
1429 - 1430	X(02)	AN	COUNTRY CODE; see Appendix Q for values
ADDITIONAL ADDRESS #4			
1431 - 1431	X(01)	AN	DELIVERY IDENTIFIER; address type; see 1203 for values
1432 - 1432	X(01)	AN	SPECIAL HANDLING INDICATOR; see 1204 for values:
1433 - 1436	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1437 - 1464	X(28)	AN	ATTENTION LINE DETAIL
1465 - 1496	X(32)	AN	ADDRESS LINE 1
1497 - 1528	X(32)	AN	ADDRESS LINE 2
1529 - 1560	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1561 - 1592	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada

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POSITION	PICTURE	TYPE	DESCRIPTION
For US/Canadian addresses, use these three fields			
1593 - 1607	X(15)	AN	CITY
1608 - 1609	X(02)	AN	STATE; see Appendix Q for values
1610 - 1624	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
1625 - 1656	X(32)	AN	NON-US CITY
1657 - 1658	X(02)	AN	COUNTRY CODE; see Appendix Q for values
ADDITIONAL ADDRESS #5			
1659 - 1659	X(01)	AN	DELIVERY IDENTIFIER; address type; see 1203 for values
1660 - 1660	X(01)	AN	SPECIAL HANDLING INDICATOR; see 1204 for values:
1661 - 1664	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1665 - 1692	X(28)	AN	ATTENTION LINE DETAIL
1693 - 1724	X(32)	AN	ADDRESS LINE 1
1725 - 1756	X(32)	AN	ADDRESS LINE 2
1757 - 1788	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1789 - 1820	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
1821 - 1835	X(15)	AN	CITY
1836 - 1837	X(02)	AN	STATE; see Appendix Q for values
1838 - 1852	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
1853 - 1884	X(32)	AN	NON-US CITY
1885 - 1886	X(02)	AN	COUNTRY CODE; see Appendix Q for values
ADDITIONAL ADDRESS #6			
1887 - 1887	X(01)	AN	DELIVERY IDENTIFIER; address type; see 1203 for values
1888 - 1888	X(01)	AN	SPECIAL HANDLING INDICATOR; see 1204 for values:
1889 - 1892	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1893 - 1920	X(28)	AN	ATTENTION LINE DETAIL
1921 - 1952	X(32)	AN	ADDRESS LINE 1
1953 - 1984	X(32)	AN	ADDRESS LINE 2
1985 - 2016	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
2017 - 2048	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
2049 - 2063	X(15)	AN	CITY
2064 - 2065	X(02)	AN	STATE; see Appendix Q for values

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POSITION	PICTURE	TYPE	DESCRIPTION
2066 - 2080	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
2081 - 2112	X(32)	AN	NON-US CITY
2113 - 2114	X(02)	AN	COUNTRY CODE; see Appendix Q for values
ADDITIONAL ADDRESS #7			
2115 - 2115	X(01)	AN	DELIVERY IDENTIFIER; address type; see 1203 for values
2116 - 2116	X(01)	AN	SPECIAL HANDLING INDICATOR; see 1204 for values:
2117 - 2120	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
2121 - 2148	X(28)	AN	ATTENTION LINE DETAIL
2149 - 2180	X(32)	AN	ADDRESS LINE 1
2181 - 2212	X(32)	AN	ADDRESS LINE 2
2213 - 2244	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
2245 - 2276	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
2277 - 2291	X(15)	AN	CITY
2292 - 2293	X(02)	AN	STATE; see Appendix Q for values
2294 - 2308	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
2309 - 2340	X(32)	AN	NON-US CITY
2341 - 2342	X(02)	AN	COUNTRY CODE; see Appendix Q for values
2343 - 2374	X(32)	AN	ACCOUNT DESCRIPTION; freeform text; further defines Account Registration; effective 2 nd Q, 2021
2375 - 2499	X(125)	AN	Not Used
2500 - 2500	X(01)	AN	Literally "X"; indicates the end of record A

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD J – INDIVIDUAL/ENTITY CLIENT COMMON INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “J”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, populated for HLDU only; values include: “X” or “ B ”= Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH B ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
Record Specific Information			
132 - 132	X(01)	AN	NATURAL/NON-NATURAL INDICATOR; (identifies holder/ party as an “I”ndividual or “E”ntity; values include: “I” = Individual/Person “E” = Entity/Business/Nonperson “M” = Memo (applies to Interested Parties only)
133 - 133	X(01)	AN	CLIENT NAME TYPE FORMAT; (advises users if the holder/ party name format is “P”arsed or “F”reeform; values include: “P” = Client’s name is formatted/parsed “F” = Client’s name is free-form

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POSITION	PICTURE	TYPE	DESCRIPTION
FORMATTED NAME INFORMATION (when Name Type Format, pos. 133, = "P")			
134 - 137	X(04)	AN	PREFIX; values include: "DR B B " "MDM B " "MR B B " "MS B B " "MRS B " "PROF" "SIR B " " B B B B " = Not populated
138 - 169	X(32)	AN	INDIVIDUAL FIRST NAME
170 - 201	X(32)	AN	INDIVIDUAL MIDDLE NAME
202 - 233	X(32)	AN	INDIVIDUAL LAST NAME
234 - 237	X(04)	AN	SUFFIX
FREE-FORM NAME (when Name Type Format, pos. 133, = "F")			
238 - 269	X(32)	AN	FREE-FORM LINE 1
270 - 301	X(32)	AN	FREE-FORM LINE 2
302 - 333	X(32)	AN	FREE-FORM LINE 3
334 - 365	X(32)	AN	FREE-FORM LINE 4
CLIENT MAILING ADDRESS			
366 - 366	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: "N" = No special handling required "Y" = Special handling required (for Non-US addresses)
367 - 370	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
371 - 398	X(28)	AN	ATTENTION LINE DETAIL
399 - 430	X(32)	AN	ADDRESS LINE 1
431 - 462	X(32)	AN	ADDRESS LINE 2
463 - 494	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
495 - 526	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
527 - 541	X(15)	AN	CITY
542 - 543	X(02)	AN	STATE; see Appendix Q for values
544 - 558	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
559 - 590	X(32)	AN	NON-US CITY
591 - 592	X(02)	AN	COUNTRY CODE; see Appendix Q for values
593 - 600	X(08)	AN	<i>Reserved</i>

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POSITION	PICTURE	TYPE	DESCRIPTION
CLIENT LEGAL ADDRESS			
601 - 601	X(01)	AN	SPECIAL HANDLING INDICATOR; see 366 for values
602 - 605	X(04)	AN	ATTENTION LINE PREFIX; values include: “ATTN” = Attention of “C/O B ” = Care of “ BBBB ” = Not populated
606 - 633	X(28)	AN	ATTENTION LINE DETAIL
634 - 665	X(32)	AN	ADDRESS LINE 1
666 - 697	X(32)	AN	ADDRESS LINE 2
698 - 729	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
730 - 761	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
762 - 776	X(15)	AN	CITY
777 - 778	X(02)	AN	STATE; see Appendix Q for values
779 - 793	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
794 - 825	X(32)	AN	NON-US CITY
826 - 827	X(02)	AN	COUNTRY CODE; see Appendix Q for values
828 - 835	X(08)	AN	<i>Reserved</i>
CONTACT INFORMATION			
TELEPHONE NUMBER (up to 8 iterations)			
Note: Telephone numbers will appear in alphabetical order based on TELEPHONE TYPE ID			
Telephone #1			
836 - 836	X(01)	AN	TELEPHONE TYPE ID (1); values include: “B” = Business “C” = Cellular “E” = Beeper “F” = Fax “H” = Home “S” = Seasonal “T” = Telex “V” = Voice Mail
837 - 837	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (1) “U” = US/Canada “F” = International
838 - 842	X(05)	AN	COUNTRY CALLING CODE (1)
843 - 902	X(60)	AN	TELEPHONE NUMBER (1)
903 - 909	X(07)	AN	TELEPHONE EXTENSION (1)
910 - 911	X(02)	AN	ASSOCIATED COUNTRY CODE (1); see Appendix Q for values
912 - 918	X(07)	AN	<i>Reserved</i>

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POSITION	PICTURE	TYPE	DESCRIPTION
Telephone #2			
919 - 919	X(01)	AN	TELEPHONE TYPE ID (2); see pos. 836 for values
920 - 920	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (2); see pos. 837 for values
921 - 925	X(05)	AN	COUNTRY CALLING CODE (2)
926 - 985	X(60)	AN	TELEPHONE NUMBER (2)
986 - 992	X(07)	AN	TELEPHONE EXTENSION (2)
993 - 994	X(02)	AN	ASSOCIATED COUNTRY CODE (2); see Appendix Q for values
995 - 1001	X(07)	AN	<i>Reserved</i>
Telephone #3			
1002 - 1002	X(01)	AN	TELEPHONE TYPE ID (3); see pos. 836 for values
1003 - 1003	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (3); see pos. 837 for values
1004 - 1008	X(05)	AN	COUNTRY CALLING CODE (3)
1009 - 1068	X(60)	AN	TELEPHONE NUMBER (3)
1069 - 1075	X(07)	AN	TELEPHONE EXTENSION (3)
1076 - 1077	X(02)	AN	ASSOCIATED COUNTRY CODE (3); see Appendix Q for values
1078 - 1084	X(07)	AN	<i>Reserved</i>
Telephone #4			
1085 - 1085	X(01)	AN	TELEPHONE TYPE ID (4); see pos. 836 for values
1086 - 1086	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (4); see pos. 837 for values
1087 - 1091	X(05)	AN	COUNTRY CALLING CODE (4)
1092 - 1151	X(60)	AN	TELEPHONE NUMBER (4)
1152 - 1158	X(07)	AN	TELEPHONE EXTENSION (4)
1159 - 1160	X(02)	AN	ASSOCIATED COUNTRY CODE (4); see Appendix Q for values
1161 - 1167	X(07)	AN	<i>Reserved</i>
Telephone #5			
1168 - 1168	X(01)	AN	TELEPHONE TYPE ID (5); see pos. 836 for values
1169 - 1169	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (5); see pos. 837 for values
1170 - 1174	X(05)	AN	COUNTRY CALLING CODE (5)
1175 - 1234	X(60)	AN	TELEPHONE NUMBER (5)
1235 - 1241	X(07)	AN	TELEPHONE EXTENSION (5)
1242 - 1243	X(02)	AN	ASSOCIATED COUNTRY CODE (5); see Appendix Q for values
1244 - 1250	X(07)	AN	<i>Reserved</i>
Telephone #6			
1251 - 1251	X(01)	AN	TELEPHONE TYPE ID (6); see pos. 836 for values
1252 - 1252	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (6); see pos. 837 for values

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POSITION	PICTURE	TYPE	DESCRIPTION
1253 - 1257	X(05)	AN	COUNTRY CALLING CODE (6)
1258 - 1317	X(60)	AN	TELEPHONE NUMBER (6)
1318 - 1324	X(07)	AN	TELEPHONE EXTENSION (6)
1325 - 1326	X(02)	AN	ASSOCIATED COUNTRY CODE (6); see Appendix Q for values
1327 - 1333	X(07)	AN	<i>Reserved</i>
Telephone #7			
1334 - 1334	X(01)	AN	TELEPHONE TYPE ID (7); see pos. 836 for values
1335 - 1335	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (7); see pos. 837 for values
1336 - 1340	X(05)	AN	COUNTRY CALLING CODE (7)
1341 - 1400	X(60)	AN	TELEPHONE NUMBER (7)
1401 - 1407	X(07)	AN	TELEPHONE EXTENSION (7)
1408 - 1409	X(02)	AN	ASSOCIATED COUNTRY CODE (7); see Appendix Q for values
1410 - 1416	X(07)	AN	<i>Reserved</i>
Telephone #8			
1417 - 1417	X(01)	AN	TELEPHONE TYPE ID (8); see pos. 836 for values
1418 - 1418	X(01)	AN	US/INTERNATIONAL PHONE INDICATOR (8); see pos. 837 for values
1419 - 1423	X(05)	AN	COUNTRY CALLING CODE (8)
1424 - 1483	X(60)	AN	TELEPHONE NUMBER (8)
1484 - 1490	X(07)	AN	TELEPHONE EXTENSION (8)
1491 - 1492	X(02)	AN	ASSOCIATED COUNTRY CODE (8); see Appendix Q for values
1493 - 1499	X(07)	AN	<i>Reserved</i>
1500 - 1669	X(170)	AN	<i>Reserved for additional phone numbers</i>
EMAIL ADDRESS			
1670 - 1671	X(02)	AN	<i>Reserved</i>
1672 - 1721	X(50)	AN	EMAIL ADDRESS (1)
1722 - 1929	X(208)	AN	<i>Reserved</i>
1930 - 1930	X(01)	AN	CONFIRMATION RECEIPT INDICATOR; values include: “Y” = Receives Confirmations “N” = Does Not Receive Confirmations
1931 - 1931	X(01)	AN	STATEMENT RECEIPT INDICATOR; values include: “Y” = Receives Statements “N” = Does Not Receive Statements
1932 - 1932	X(01)	AN	PROXY INDICATOR; values include: “Y” = Yes “N” = No

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
FINANCIAL INFORMATION			
1933 - 1933	X(01)	AN	JOINT ACCOUNT INCOME/NET WORTH INDICATOR; values include: “Y” = Combined and reported on account level; displayed on primary Holder only on joint accounts “N” = Reported on individual Account Holder level “ B ” = Not applicable
1934 - 1951	9(16)v9(02)	N	MINIMUM ANNUAL INCOME AMOUNT
1952 - 1969	9(16)v9(02)	N	MAXIMUM ANNUAL INCOME AMOUNT
1970 - 1987	9(16)v9(02)	N	MINIMUM NET WORTH AMOUNT
1988 - 2005	9(16)v9(02)	N	MAXIMUM NET WORTH AMOUNT
2006 - 2006	X(01)	AN	CONSOLIDATED LIQUID NET WORTH IND.; values include: “Y” = Combined and report on Account level; displayed on primary Holder only on joint accounts “N” = Reported on Individual Account Holder level “ B ” = Not applicable
2007 - 2024	9(16)v9(02)	N	MINIMUM LIQUID NET WORTH AMOUNT
2025 - 2042	9(16)v9(02)	N	MAXIMUM LIQUID NET WORTH AMOUNT
2043 - 2046	X(04)	AN	TAX BRACKET; values include: “ BBBB ” = Not applicable “LWTB” = 0-15% “MDTB” = 15.1-32% “HITB” = 32.1-50% “TPTB” = 50.1%+
2047 - 2064	9(16)v9(02)	N	MINIMUM RETIREMENT ASSETS
2065 - 2082	9(16)v9(02)	N	MAXIMUM RETIREMENT ASSETS
2083 - 2086	9(04)	N	RETIREMENT YEAR; in CCYY format
2087 - 2090	X(04)	AN	Not Used
2091 - 2108	9(16)v9(02)	N	ANNUAL COMPENSATION LOW
2109 - 2126	9(16)v9(02)	N	ANNUAL COMPENSATION HIGH
2127 - 2127	X(01)	AN	PRIMARY MAIL RECIPIENT INDICATOR; applies to Bank Custody accounts and for CONS, CUST, GRDN and TRST Registration types only); effective 2 nd Q, 2021, TBA; values include: “Y” = Use this party as primary mail recipient “ B ” = Not applicable
2128 - 2499	X(372)	AN	Not Used
2500 - 2500	X(01)	AN	Literally “X”; indicates the end of record J

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD K – ENTITY AND ROLE/REGISTRATION SPECIFIC CLIENT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “K”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE (HLDU); values include: “X” or “ B ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH B ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
Record Specific Information			
132 - 132	X(01)	AN	CLIENT AN ENTITY ORGANIZED OUTSIDE THE US; values include: “Y” = Yes, entity is organized outside the US “N” = No, entity is not organized outside the US “ B ” = Not known, applicable, or answered
133 - 133	X(01)	AN	OFFSHORE ENTITY; values include: “Y” = Yes; offshore entity “N” = No; not offshore entity “ B ” = Not known or answered

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
134 - 137	X(04)	AN	TYPE OF OFFSHORE ENTITY; when Offshore Entity = "Y"; values include: "OIBC" = Offshore International Business Company "OOPC" = Offshore Operating Private Investment Co. (PIC) "OPIC" = Offshore Private Investment Company (PIC) "OPTU" = Offshore PIC/trust for a US person "OTRT" = Offshore trust "BBB" = Not known, applicable, or answered
138 - 141	X(04)	AN	CUSTOMER BANK CODE; for third-party custodian; IBD-driven
142 - 147	X(06)	AN	NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) INDUSTRY CODE
148 - 275	X(128)	AN	NAICS CODE DESCRIPTION
Attestation			
276 - 276	X(01)	AN	AWARE OF ANY INFORMATION THAT THIS CUSTOMER POSES A REPUTATIONAL RISK TO IBD; values include: "Y" = Yes; aware of information "N" = No; not aware of any information "B" = Not known or answered
277 - 294	9(16)v9(02)	N	CURRENT MINIMUM VALUATION OF BUSINESS, approximate; applies to entities only
295 - 312	9(16)v9(02)	N	CURRENT MAXIMUM VALUATION OF BUSINESS, approximate; applies to entities only
313 - 320	9(05)v9(03)	N	PERCENTAGE OWNERSHIP approximate; applies to entities only
321 - 324	X(04)	AN	NATURE OF BUSINESS CODE; see Appendix 3, applies to entities only
325 - 374	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR;" applies to entities only
375 - 382	9(08)	N	NUMBER OF EMPLOYEES, approximate; applies to entities only
383 - 390	9(08)	N	NUMBER OF CLIENTS, approximate; applies to entities only
391 - 408	9(16)v9(02)	N	MINIMUM ASSETS UNDER MANAGEMENT, approximate; applies to entities only
409 - 426	9(16)v9(02)	N	MAXIMUM ASSETS UNDER MANAGEMENT, approximate; applies to entities only
427 - 427	X(01)	AN	DOES CUSTOMER DERIVE SUBSTANTIAL INCOME FROM A HIGH RISK JURISDICTION; values include: "Y" = Customer derives income "N" = Customer does not derive income "B" = Not known or answered
428 - 429	X(02)	AN	HIGH RISK JURISDICTION (1); if position 462 is "Y"; see Appendix Q for values
430 - 431	X(02)	AN	HIGH RISK JURISDICTION (2); if position 462 is "Y"; see Appendix Q for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
432 - 433	X(02)	AN	HIGH RISK JURISDICTION (3); if position 462 is "Y"; see Appendix Q for values
434 - 435	X(02)	AN	HIGH RISK JURISDICTION (4); if position 462 is "Y"; see Appendix Q for values
436 - 437	X(02)	AN	HIGH RISK JURISDICTION (5); if position 462 is "Y"; see Appendix Q for values
438 - 438	X(01)	AN	CLIENT HAS ASSETS, SALES, OR REVENUE FROM, IN OR WITH A COUNTRY THAT IS RESTRICTED, WHETHER DIRECTLY OR INDIRECTLY, OR DISBURSE FUNDS, TO A RESTRICTED COUNTRY; values include: "Y" = Client has assets with restricted country "N" = Client does not have assets with restricted country "B" = Not known or answered
439 - 440	X(02)	AN	RESTRICTED COUNTRY (1); if position 473 is "Y" ; see Appendix Q for values
441 - 442	X(02)	AN	RESTRICTED COUNTRY (2); if position 473 is "Y" ; see Appendix Q for values
443 - 444	X(02)	AN	RESTRICTED COUNTRY (3); if position 473 is "Y" ; see Appendix Q for values
445 - 446	X(02)	AN	RESTRICTED COUNTRY (4); if position 473 is "Y" ; see Appendix Q for values
447 - 448	X(02)	AN	RESTRICTED COUNTRY (5); if position 473 is "Y" ; see Appendix Q for values
Regulated Entities/Affiliations/Subsidiaries			
449 - 449	X(01)	AN	SUBSIDIARY OF, OR AFFILIATED WITH A REGULATED FINANCIAL INSTITUTION IN AN ESC JURISDICTION AND APPROVED REGULATORS; values include: "Y" = Yes, affiliated "N" = No; not affiliated "B" = Not known or answered
The following four fields apply only if Subsidiary/Affiliated with Regulated Financial Institution, above, = "Y"			
450 - 577	X(128)	AN	NAME OF APPROVED REGULATOR; free-form
578 - 627	X(50)	AN	NAME OF PARENT/AFFILIATE
628 - 629	X(02)	AN	COUNTRY OF PARENT/AFFILIATE; see Appendix Q for values
630 - 631	X(02)	AN	STATE OF PARENT/AFFILIATE; see Appendix Q for values
Subsidiary/Affiliation with Company on Exchange			
632 - 632	X(01)	AN	SUBSIDIARY OF, OR AFFILIATED WITH A COMPANY LISTED ON A RECOGNIZED STOCK EXCHANGE; values include: "Y" = Yes, affiliated "N" = No; not affiliated "B" = Not known or answered
The following four fields apply only if Subsidiary/Affiliation with Company or Exchange, above, = "Y"			
633 - 760	X(128)	AN	NAME OF APPROVED STOCK EXCHANGE; free-form

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
761 - 810	X(50)	AN	NAME OF PARENT/AFFILIATE
811 - 812	X(02)	AN	COUNTRY LOCATION OF PARENT/AFFILIATE
813 - 814	X(02)	AN	STATE LOCATION OF PARENT/AFFILIATE
815 - 815	X(01)	AN	ENTITY IS LISTED; values include: “Y” = Yes, entity is listed “N” = No; entity is not listed “ B ” = Not known or answered
816 - 875	X(60)	AN	EXCHANGE; free-form
876 - 876	X(01)	AN	ENTITY IS GOVERNMENT REGULATED; values include: “Y” = Yes, entity is government regulated “N” = No; entity is not government regulated “ B ” = Not known or answered
877 - 880	X(04)	AN	REGULATOR NAME CODE (1), if entity is government regulated; see Appendix 3 for values
881 - 910	X(30)	AN	REGULATOR ID (1)
911 - 914	X(04)	AN	REGULATOR NAME CODE (2), if entity is government regulated; see Appendix 3 for values
915 - 944	X(30)	AN	REGULATOR ID (2)
945 - 948	X(04)	AN	REGULATOR NAME CODE (3), if entity is government regulated; see Appendix 3 for values
949 - 978	X(30)	AN	REGULATOR ID (3)
979 - 982	X(04)	AN	REGULATOR NAME CODE (4), if entity is government regulated; see Appendix 3 for values
983 - 1012	X(30)	AN	REGULATOR ID (4)
The following three fields refer to Canadian Revenue Agency (CRA) Documentation			
1013 - 1016	X(04)	AN	DOCUMENT CODE; value includes: “N301” = CRA document; person
1017 - 1024	9(08)	N	DOCUMENT RECEIVED DATE, in CCYYMMDD format
1025 - 1032	9(08)	N	DOCUMENT EXPIRATION DATE, in CCYYMMDD format
The following fields relate only to Trust Accounts			
1033 - 1033	X(01)	AN	TYPE OF TRUST; values include: “A” = Qualified Domestic Trust “C” = Charitable Trust “D” = Defective Trust “E” = Estate Trust “F” = Family Trust “G” = Generation Skipping Trust “I” = Irrevocable Trust “L” = Living Trust “N” = Insurance Trust “P” = Special Needs Trust “Q” = QTIP or QDOT Trust “R” = Revocable Trust

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“S” = Statutory Trust “T” = Testamentary Trust “V” = Irrevocable Living Trust “ B ” = Not applicable
1034 - 1041	9(08)	N	DATE TRUST ESTABLISHED (also referred to as Trust Agreement Date), in CCYYMMDD format
1042 - 1049	9(08)	N	TRUST AMENDMENT DATE, in CCYYMMDD format
1050 - 1050	X(01)	AN	TRUSTEE INDEPENDENT ACTION; values include: “N” = Cannot act independently “Y” = Can act independently
The following fields (positions 1050-1079) relate to Trust Accounts			
1051 - 1052	X(02)	AN	COUNTRY GOVERNING TRUST ADMINISTRATION; see Appendix Q for values; field will be spaces where not applicable
1053 - 1054	X(02)	AN	STATE GOVERNING TRUST ADMINISTRATION; see Appendix Q for values; applies to US states and Canadian provinces; field will be spaces where not applicable
1055 - 1055	X(01)	AN	CRUMMEY POWER PROVISION APPLIED TO THIS TRUST, values include: “Y” = Yes; Crummey Power applied to this Trust “N” = No; Crummey Power not applied to this Trust “ B ” = Not applicable
1056 - 1056	X(01)	AN	EMPLOYEE BENEFIT ACCOUNT FLAG; values include: “Y” = Yes “N” = No “ B ” = Not applicable
1057 - 1060	X(04)	AN	CREATOR OF TRUST A RESIDENT OF NEW YORK CITY OR YONKERS AT THE TIME THE TRUST WAS CREATED; values include: “NYC B ” = Yes; creator of Trust a resident of NYC or Yonkers “ B B B B ” = No or Not applicable
1061 - 1064	X(04)	AN	CREATOR OF TRUST A RESIDENT OF NEW YORK CITY OR YONKERS AT THE TIME OF CREATOR’S DEATH; values include: “NYC B ” = Yes; creator of Trust resident of NYC or Yonkers “ B B B B ” = No or Not applicable
1065 - 1065	X(01)	AN	BLIND TRUST INDICATOR; values include: “Y” = Yes; Trust is a Blind Trust “N” = No; Trust is not a Blind Trust “ B ” = Not applicable
1066 - 1066	X(01)	AN	REVOCABILITY OF TRUST; values include: “R” = Trust is Revocable “I” = Trust is Irrevocable “ B ” = Not applicable

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1067 - 1068	9(02)	N	MINIMUM NUMBER OF TRUSTEES REQUIRED FOR CONSENT; values range from 00 to 06
The following fields reference characteristics associated with the Powers of the Trust			
1069 - 1069	X(01)	AN	Establish and maintain an Asset Management account with check writing privileges, the responsibility for which is entirely that of the Trustees; values include: “Y” = Yes “ B ” = Not applicable, not answered, or No
1070 - 1070	X(01)	AN	Trust allows use of attorney-in-fact and/or power of attorney... * If acted upon, power of attorney document and affidavit as to POA being in full force (92-0480) is required; see position 1104
1071 - 1071	X(01)	AN	Collateralization of Trust permitted; see position 1104 for values
1072 - 1072	X(01)	AN	Maintain margin accounts and through such accounts, borrow money to purchase securities on margin, and to pledge those securities and all others in the margin account as security to the loan; see position 1104 for values
1073 - 1073	X(01)	AN	Sell securities that the Trust does not own (short sales) and borrow securities to facilitate this practice; see position 1104
1074 - 1074	X(01)	AN	Engage in the purchase of call options; see position 1104
1075 - 1075	X(01)	AN	Engage in covered call writing; see position 1104 for values
1076 - 1076	X(01)	AN	Engage in the purchase of put options; see position 1104 for values
1077 - 1077	X(01)	AN	Engage in option spread transaction(s); see position 1104
1078 - 1078	X(01)	AN	Purchase securities which are deemed to be speculative investments; see position 1104 for values
1079 - 1079	X(01)	AN	Receive on behalf of the Trust or deliver to the Trust or third parties monies, stocks, bonds, and other securities; see position 1104 for values
1080 - 1080	X(01)	AN	Sell, assign and endorse for transfer certificates representing stocks, bonds, and other securities now registered or hereafter registered in the name of the Trust; see position 1104 for values
The following three fields apply only to Customer Due Diligence (CDD) Account			
1081 - 1085	9(03)v9(02)	N	BENEFICIAL OWNER'S (BEOW) PERCENTAGE OF OWNERSHIP, (between 000.00-100.00)
1086 - 1125	X(40)	AN	POSITION HELD OF CONTROLLING PERSON (CPER)
1126 - 1129	X(04)	AN	<i>Reserved</i>
1130 - 1149	X(20)	AN	LEGAL ENTITY IDENTIFIER
1150 - 1150	X(01)	AN	ARTICLES OF INCORPORATION (or similar document) ALLOW ISSUANCE OF BEARER SHARES; values include: “Y” = Yes; allows for the issuance of bearer shares “N” = No; does not allow for the issuance of bearer shares “ B ” = Not known or answered
1151 - 1151	X(01)	AN	JURISDICTION IN WHICH CUSTOMER IS LEGALLY CREATED ALLOWS FOR THE ISSUANCE OF BEARER SHARES; values include: “Y” = Yes; jurisdiction allows for the issuance of bearer shares

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			<p>“N” = No; jurisdiction does not allow for the issuance of bearer shares</p> <p>“B” = Not known or answered</p>
1152 - 1152	X(01)	AN	<p>CUSTOMER HAS ISSUED BEARER SHARES (if above statement is “Y”); values include:</p> <p>“Y” = Yes; customer has issued bearer shares</p> <p>“N” = No; customer has not issued bearer shares</p> <p>“B” = Not known or answered</p>
1153 - 1160	9(05)v9(03)	N	PERCENTAGE OF OWNERSHIP IN BEARER SHARES, if customer has issued bearer shares (if above statement is “Y”)
1161 - 1161	X(01)	AN	<p>SHARES HELD AT A CUSTODIAN, if customer has issued bearer shares; values include:</p> <p>“Y” = Yes; shares are held at a custodian</p> <p>“N” = No; shares are not held at a custodian</p> <p>“B” = Not known or answered</p>
1162 - 1162	X(01)	AN	<p>CUSTODIAN AGREES TO NOTIFY IBD IF SHARES CHANGE OWNERSHIP, if held at cust. & above field = “Y”):</p> <p>“Y” = Yes; custodian agrees to notify IBD</p> <p>“N” = No; custodian does not agree to notify IBD</p> <p>“B” = Not known or answered</p>
The following fields apply to clients associated with specific registration types as indicated			
The following fields apply to Investment Advisory Accounts Only			
1163 - 1182	X(20)	AN	IARD/CRD NUMBER
1183 - 1198	X(16)	AN	SEC FILE NUMBER
The following field applies to 529 accounts			
1199 - 1206	9(08)	N	529 EDUCATION PLAN ANTICIPATED ENROLLMENT DATE, in CCYYMMDD format
1207 - 2499	X(1293)	AN	Not Used
2500 - 2500	X(01)	AN	Literally “X”; indicates the end of record K

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD L – PERSONAL INFORMATION, LEAD TRACKING INFORMATION, FOR BOTH INDIVIDUALS AND ENTITIES

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “L”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, for HLDU only; values include: “X” or “ B ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH B ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
Record Specific Information			
PERSONAL INFORMATION (fields apply to both individuals and entities unless otherwise specified)			
132 - 133	X(02)	AN	COUNTRY OF PRIMARY CITIZENSHIP (applies to Individuals); see Appendix Q
134 - 135	X(02)	AN	COUNTRY OF INCORPORATION OR ORGANIZATION (applies to entities), see Appendix Q

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
The following 21 fields refer to the KYC Re-engineering (applies to holder/parties in Bank Custody accounts only)			
136 - 137	X(02)	AN	COUNTRY OF HEADQUARTERS (applies to entities)
138 - 139	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 1
140 - 141	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 2
142 - 143	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 3
144 - 145	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 4
146 - 147	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 5
148 - 149	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 6
150 - 151	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 7
152 - 153	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 8
154 - 155	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 9
156 - 157	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 10
158 - 159	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 11
160 - 161	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 12
162 - 163	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 13
164 - 165	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 14
166 - 167	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 15
168 - 169	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 16
170 - 171	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 17
172 - 173	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 18
174 - 175	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 19
176 - 177	X(02)	AN	COUNTRY OF ONGOING BUSINESS ACTIVITIES 20
178 - 217	X(40)	AN	<i>Reserved (KYC)</i>
218 - 219	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP #1; see Appendix Q
220 - 221	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP #2; see Appendix Q
222 - 223	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP #3; see Appendix Q
224 - 225	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP #4; see Appendix Q
226 - 227	X(02)	AN	ADDITIONAL COUNTRY OF CITIZENSHIP #5; see Appendix Q
228 - 229	X(02)	AN	COUNTRY OF RESIDENCE; see Appendix Q
230 - 230	X(01)	AN	DISREGARDED ENTITY; values include: “Y” = Yes “N” = No “ B ” = Not available or applicable
231 - 240	X(10)	AN	PARTICIPANT SHORT NAME FOR REGARDED ENTITY ONLY (RGEN role code only)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
241 - 241	X(01)	AN	U.S. RESIDENT ALIEN; values include: “Y” = Resident alien “N” = Not a resident alien “ B ” = Not available
242 - 243	X(02)	AN	COUNTRY OF BIRTH; see Appendix Q
244 - 244	X(01)	AN	TAX ID TYPE; values include: “A” = Applied for “E” = Applied for expired “F” = WP-EIN “I” = ITIN “N” = Non-US “Q” = QI-EIN “S” = Social Security Number “T” = Tax ID Number (EIN) “W” = WT-EIN “ B ” = Not applicable, provided, or known
245 - 264	X(20)	AN	TAX ID/FOREIGN TIN
265 - 266	X(02)	AN	TAX ID OF ISSUING COUNTRY (non-US only); see Appx Q
267 - 267	X(01)	AN	DISCRETION EXERCISED; values include: “Y” = Yes “N” = No “ B ” = Not applicable, provided, or known
268 - 268	X(01)	AN	<i>Reserved</i>
Identity Verification			
269 - 272	X(04)	AN	IDENTITY VERIFICATION METHOD; values include: “ B B B B ” = Information not Provided to Pershing “CDCR” = Compliance Data Center Inc. Report “RDCR” = Regulatory Data Corporation Report “INRV” = Internal Review “OTHR” = Other Identification Vendor
Unexpired ID #1			
273 - 322	X(50)	AN	ID VERIFICATION COMMENTS (1); free-form text
323 - 326	X(04)	AN	TYPE OF UNEXPIRED ID (1); see Appendix Q for values
327 - 358	X(32)	AN	UNEXPIRED ID NUMBER (1) or CORPORATE BUSINESS ID NUMBER
359 - 438	X(80)	AN	ISSUER (1); free-form text
439 - 440	X(02)	AN	COUNTRY OF UNEXPIRED ID (1) or COUNTRY OF INCORPORATION; see Appendix Q
441 - 442	X(02)	AN	STATE/PROVINCE OF UNEXPIRED ID (1) or STATE/PROVINCE OF FORMATION; see Appendix Q
443 - 450	9(08)	N	ISSUE DATE OF UNEXPIRED ID (1) or FORMED ON DATE, in CCYYMMDD format

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
451 - 458	9(08)	N	EXPIRATION DATE OF UNEXPIRED ID (1), in CCYYMMDD format
			Unexpired ID #2
459 - 508	X(50)	AN	ID VERIFICATION COMMENTS (2); free-form text
509 - 512	X(04)	AN	TYPE OF UNEXPIRED ID (2); see Appendix Q for values
513 - 544	X(32)	AN	UNEXPIRED ID NUMBER (2)
545 - 624	X(80)	AN	ISSUER (2); free-form text
625 - 626	X(02)	AN	COUNTRY OF UNEXPIRED ID (2); see Appendix Q
627 - 628	X(02)	AN	STATE/PROVINCE OF UNEXPIRED ID (2); see Appendix Q
629 - 636	9(08)	N	ISSUE DATE OF UNEXPIRED ID (2), in CCYYMMDD format
637 - 644	9(08)	N	EXPIRATION DATE OF UNEXPIRED ID (2), in CCYYMMDD format
645 - 652	9(08)	N	DATE OF BIRTH; in CCYYMMDD format
653 - 660	9(08)	N	DATE OF DEATH, in CCYYMMDD format
661 - 661	X(01)	AN	<i>Reserved</i>
662 - 663	X(02)	AN	PRIMARY HOLDER'S RELATIONSHIP TO DECEDENT (BENEFICIARY), applies to retirement accounts; values include: "SP" = Spouse "OT" = Non-spouse "B" = Not applicable, provided, or known
664 - 665	X(02)	AN	RELATION. TO PRIMARY HOLDER CODE; values include: "CH" = Child "GC" = Grandchild "RL" = Relative "SF" = Self "SP" = Spouse "OT" = Other "BB" = Not applicable or populated
666 - 673	9(05)v9(03)	N	BENEFICIARY PERCENT ALLOCATION (applicable only to beneficiaries on TODI and TODJ accounts)
674 - 674	X(01)	AN	PER STIRPES BENE. DESIGNATION; values include: "Y" = Yes "N" = No "B" = Not applicable
675 - 675	X(01)	AN	SPECIFIED ADULT INDICATOR; values include: "Y" = Client is a specified adult "N" = Client is not a specified adult "B" = Not applicable, provided, or known
676 - 676	X(01)	AN	GENDER; values include: "F" = Female "M" = Male "U" = Unknown/Undetermined

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
677 - 677	X(01)	AN	MARITAL STATUS; values include “D” = Divorced “M” = Married “P” = Domestic Partner “S” = Single; unmarried “W” = Widowed “ B ” = Not applicable, provided, or known
678 - 683	9(06)	N	SINCE WHEN HAVE YOU KNOWN THE CLIENT, in CCYYMM format
684 - 685	9(02)	N	NUMBER OF DEPENDENTS, from 00-99
686 - 686	X(01)	AN	HAS INVESTMENT PROFESSIONAL MET WITH THE CLIENT?; values include: “Y” = Yes “N” = No “ B ” = Not applicable, provided, or known
687 - 694	9(08)	N	Reserved for CLIENT MEETING DATE, in CCYYMMDD format
695 - 724	X(30)	AN	Reserved for CLIENT MEETING LOCATION; free-form text
725 - 756	X(32)	AN	MOTHER’S MAIDEN NAME
757 - 760	X(04)	AN	SECURITY QUESTION CODE; values include “CTOB” = City of birth “SCHL” = Name of first school attended
761 - 790	X(30)	AN	SECURITY QUESTION ANSWER
791 - 798	X(08)	AN	LARGE TRADER ID PREFIX
799 - 800	X(02)	AN	<i>Reserved</i>
801 - 804	X(04)	AN	LARGE TRADER ID SUFFIX
805 - 814	X(10)	AN	<i>Reserved</i>
Education			
815 - 818	X(04)	AN	EDUCATION LEVEL; values include: “HSCG” = High school graduate “SOCO” = Some college “ASDG” = Associate’s degree “BADG” = Bachelor’s degree “MADG” = Master’s degree “OTHR” = Other “ BBBB ” = Not applicable or populated or unknown
819 - 848	X(30)	AN	EDUCATION LEVEL, when “OTHR”
849 - 1102	X(254)	AN	CLIENT LONG NAME, free-form

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
LEAD TRACKING INFORMATION			
1103 - 1106	X(04)	AN	LEAD TRACKING SOURCE; values include: “ADVT” = Advertisement/Media “AFFL” = Affiliate Intro “CALL” = Call-in “EXST” = Existing Client “FAMR” = Family Relation “INHT” = Inherited from another IP “NTRL” = Internal Introduction “MAIL” = Mail In “MMGR” = Money Manager/Investment Advisor “OTHR” = Other “RFER” = Referred By “SMNR” = Seminar “UCAL” = Unsolicited Call-in “UWLK” = Unsolicited Walk-in “WALK” = Walk-in “ B B B B ” = Not applicable or populated
1107 - 1136	X(30)	AN	LEAD TRACKING SOURCE, IF “OTHR”
1137 - 1168	X(32)	AN	LEAD TRACKING COMPANY NAME, when MMGR selected
1169 - 1200	X(32)	AN	LEAD TRACKING ENTITY NAME, when MMGR selected or NAME OF REFERRING PARTY when RFER
1201 - 1232	X(32)	AN	LEAD TRACKING FIRST NAME, when INHT or NTRL
1233 - 1264	X(32)	AN	LEAD TRACKING MIDDLE NAME, when INHT or NTRL
1265 - 1296	X(32)	AN	LEAD TRACKING LAST NAME, when INHT or NTRL
1297 - 1298	X(02)	AN	LEAD TRACKING FAMILY RELATIONSHIP CODE, when FAMR; values include: “ B ” = Brother “ D ” = Daughter “DP” = Domestic Partner “ F ” = Father “FL” = Father-in-Law “GD” = Granddaughter “GF” = Grandfather “GM” = Grandmother “GS” = Grandson “ M ” = Mother “ML” = Mother-in-Law “NE” = Nephew “NI” = Niece “OI” = Other individual “SI” = Sister

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“SO” = Son “SP” = Spouse “ BB ” = Not applicable or populated
1299 - 1300	X(02)	AN	Not Used
1301 - 1332	X(32)	AN	LEAD TRACKING RELATIONSHIP, when RFER
1333 - 1364	X(32)	AN	LEAD TRACKING BUSINESS GROUP, when NTRL
1365 - 1382	X(18)	AN	LEAD TRACKING ACCOUNT NUMBER, when NTRL
1383 - 1452	X(70)	AN	LEAD TRACKING TELEPHONE NUMBER, when RFER or NTRL
1453 - 1456	9(04)	N	SINCE WHEN HAVE YOU KNOWN THE REFERRING PARTY, in CCYY format, when RFER
1457 - 1460	X(04)	AN	Not Used
1461 - 1490	X(30)	AN	NAME OF INDIVIDUAL, when FAMILY RELATIONSHIP CODE = “OI”
1491 - 2499	X(1009)	AN	Not Used
2500 - 2500	X(01)	AN	Literally “X”; indicates the end of record L

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD M – INVESTMENT KNOWLEDGE AND EXPERIENCE (K&E) / SUITABILITY

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “M”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, populated for HLDU only; values include: “X” or “ b ”= Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH b ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
Record Specific Information			
CLIENT INVESTMENT KNOWLEDGE AND EXPERIENCE			
132 - 132	X(01)	AN	GENERAL INVESTMENT EXPERIENCE; values include: “L” = Limited “M” = Moderate “E” = Extensive “N” = None
133 - 135	9(03)	N	SECONDARY SEQUENCE NUMBER FOR K&E; begins with “001”

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
These are listed alphabetically by Instrument Product Code (35 iterations)			
INVESTMENT INSTRUMENT #1			
136 - 139	X(04)	AN	INVESTMENT INSTRUMENT CODE (1); see Appendix 3
140 - 140	X(01)	AN	INVESTMENT EXPERIENCE (1); see pos. 132 for values
141 - 144	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (1), in CCYY format
145 - 148	X(04)	AN	<i>Reserved</i>
149 - 152	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (1); values include: “EDI B ” = Educated by IP “EHS B ” = Employment history or nature of business “PEX B ” = Evidenced through prior transaction experience “OTH B ” = Other “PRK B ” = Demonstrated product knowledge to IP “UNI B ” = College/university or advanced courses “ B B B B ” = Not applicable or populated
153 - 153	X(01)	AN	For Pershing Internal Use Only
154 - 193	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #2			
194 - 197	X(04)	AN	INVESTMENT INSTRUMENT CODE (2); see Appendix 3
198 - 198	X(01)	AN	INVESTMENT EXPERIENCE (2); see pos. 132 for values
199 - 202	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (2), in CCYY format
203 - 206	X(04)	AN	<i>Reserved</i>
207 - 210	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (2); see position 149 for values
211 - 211	X(01)	AN	For Pershing Internal Use Only
212 - 251	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #3			
252 - 255	X(04)	AN	INVESTMENT INSTRUMENT CODE (3); see Appendix 3
256 - 256	X(01)	AN	INVESTMENT EXPERIENCE (3); see pos. 132 for values
257 - 260	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (3), in CCYY format
261 - 264	X(04)	AN	<i>Reserved</i>
265 - 268	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (3); see position 149 for values
269 - 269	X(01)	AN	For Pershing Internal Use Only
270 - 309	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #4			
310 - 313	X(04)	AN	INVESTMENT INSTRUMENT CODE (4); see Appendix 3
314 - 314	X(01)	AN	INVESTMENT EXPERIENCE (4); see pos. 132 for values
315 - 318	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (4), in CCYY format

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
319 - 322	X(04)	AN	<i>Reserved</i>
323 - 326	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (4); see position 149 for values
327 - 327	X(01)	AN	For Pershing Internal Use Only
328 - 367	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #5			
368 - 371	X(04)	AN	INVESTMENT INSTRUMENT CODE (5); see Appendix 3
372 - 372	X(01)	AN	INVESTMENT EXPERIENCE (5); see pos. 132 for values
373 - 376	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (5), in CCYY format
377 - 380	X(04)	AN	<i>Reserved</i>
381 - 384	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (5); see position 149 for values
385 - 385	X(01)	AN	For Pershing Internal Use Only
386 - 425	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #6			
426 - 429	X(04)	AN	INVESTMENT INSTRUMENT CODE (6); see Appendix 3
430 - 430	X(01)	AN	INVESTMENT EXPERIENCE (6); see pos. 132 for values
431 - 434	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (6), in CCYY format
435 - 438	X(04)	AN	<i>Reserved</i>
439 - 442	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (6); see position 149 for values
443 - 443	X(01)	AN	For Pershing Internal Use Only
444 - 483	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #7			
484 - 487	X(04)	AN	INVESTMENT INSTRUMENT CODE (7); see Appendix 3
488 - 488	X(01)	AN	INVESTMENT EXPERIENCE (7); see pos. 132 for values
489 - 492	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (7), in CCYY format
493 - 496	X(04)	AN	<i>Reserved</i>
497 - 500	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (7); see position 149 for values
501 - 501	X(01)	AN	For Pershing Internal Use Only
502 - 541	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #8			
542 - 545	X(04)	AN	INVESTMENT INSTRUMENT CODE (8); see Appendix 3
546 - 546	X(01)	AN	INVESTMENT EXPERIENCE (8); see pos. 132 for values
547 - 550	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (8), in CCYY format
551 - 554	X(04)	AN	<i>Reserved</i>
555 - 558	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (8); see position 149 for values
559 - 559	X(01)	AN	For Pershing Internal Use Only

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
560 - 599	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #9			
600 - 603	X(04)	AN	INVESTMENT INSTRUMENT CODE (9); see Appendix 3
604 - 604	X(01)	AN	INVESTMENT EXPERIENCE (9); see pos. 132 for values
605 - 608	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (9), in CCYY format
609 - 612	X(04)	AN	<i>Reserved</i>
613 - 616	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (9); see position 149 for values
617 - 617	X(01)	AN	For Pershing Internal Use Only
618 - 657	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #10			
658 - 661	X(04)	AN	INVESTMENT INSTRUMENT CODE (10); see Appendix 3
662 - 662	X(01)	AN	INVESTMENT EXPERIENCE (10); see pos. 132 for values
663 - 666	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (10), in CCYY format
667 - 670	X(04)	AN	<i>Reserved</i>
671 - 674	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (10); see position 149 for values
675 - 675	X(01)	AN	For Pershing Internal Use Only
676 - 715	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #11			
716 - 719	X(04)	AN	INVESTMENT INSTRUMENT CODE (11); see Appendix 3
720 - 720	X(01)	AN	INVESTMENT EXPERIENCE (11); see pos. 132 for values
721 - 724	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (11), in CCYY format
725 - 728	X(04)	AN	<i>Reserved</i>
729 - 732	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (11); see position 149 for values
733 - 733	X(01)	AN	For Pershing Internal Use Only
734 - 773	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #12			
774 - 777	X(04)	AN	INVESTMENT INSTRUMENT CODE (12); see Appendix 3
778 - 778	X(01)	AN	INVESTMENT EXPERIENCE (12); see pos. 132 for values
779 - 782	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (12), in CCYY format
783 - 786	X(04)	AN	<i>Reserved</i>
787 - 790	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (12); see position 149 for values
791 - 791	X(01)	AN	For Pershing Internal Use Only
792 - 831	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #13			
832 - 835	X(04)	AN	INVESTMENT INSTRUMENT CODE (13); see Appendix 3
836 - 836	X(01)	AN	INVESTMENT EXPERIENCE (13); see pos. 132 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
837 - 840	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (13), in CCYY format
841 - 844	X(04)	AN	<i>Reserved</i>
845 - 848	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (13); see position 149 for values
849 - 849	X(01)	AN	For Pershing Internal Use Only
850 - 889	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #14			
890 - 893	X(04)	AN	INVESTMENT INSTRUMENT CODE (14); see Appendix 3
894 - 894	X(01)	AN	INVESTMENT EXPERIENCE (14); see pos. 132 for values
895 - 898	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (14), in CCYY format
899 - 902	X(04)	AN	<i>Reserved</i>
903 - 906	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (14); see position 149 for values
907 - 907	X(01)	AN	For Pershing Internal Use Only
908 - 947	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #15			
948 - 951	X(04)	AN	INVESTMENT INSTRUMENT CODE (15); see Appendix 3
952 - 952	X(01)	AN	INVESTMENT EXPERIENCE (15); see pos. 132 for values
953 - 956	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (15), in CCYY format
957 - 960	X(04)	AN	<i>Reserved</i>
961 - 964	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (15); see position 149 for values
965 - 965	X(01)	AN	For Pershing Internal Use Only
966 - 1005	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #16			
1006 - 1009	X(04)	AN	INVESTMENT INSTRUMENT CODE (16); see Appendix 3
1010 - 1010	X(01)	AN	INVESTMENT EXPERIENCE (16); see pos. 132 for values
1011 - 1014	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (16), in CCYY format
1015 - 1018	X(04)	AN	<i>Reserved</i>
1019 - 1022	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (16); see position 149 for values
1023 - 1023	X(01)	AN	For Pershing Internal Use Only
1024 - 1063	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #17			
1064 - 1067	X(04)	AN	INVESTMENT INSTRUMENT CODE (17); see Appendix 3
1068 - 1068	X(01)	AN	INVESTMENT EXPERIENCE (17); see pos. 132 for values
1069 - 1072	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (17), in CCYY format
1073 - 1076	X(04)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1077 - 1080	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (17); see position 149 for values
1081 - 1081	X(01)	AN	For Pershing Internal Use Only
1082 - 1121	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #18			
1122 - 1125	X(04)	AN	INVESTMENT INSTRUMENT CODE (18); see Appendix 3
1126 - 1126	X(01)	AN	INVESTMENT EXPERIENCE (18); see pos. 132 for values
1127 - 1130	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (18), in CCYY format
1131 - 1134	X(04)	AN	<i>Reserved</i>
1135 - 1138	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (18); see position 149 for values
1139 - 1139	X(01)	AN	For Pershing Internal Use Only
1140 - 1179	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #19			
1180 - 1183	X(04)	AN	INVESTMENT INSTRUMENT CODE (19); see Appendix 3
1184 - 1184	X(01)	AN	INVESTMENT EXPERIENCE (19); see pos. 132 for values
1185 - 1188	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (19), in CCYY format
1189 - 1192	X(04)	AN	<i>Reserved</i>
1193 - 1196	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (19); see position 149 for values
1197 - 1197	X(01)	AN	For Pershing Internal Use Only
1198 - 1237	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #20			
1238 - 1241	X(04)	AN	INVESTMENT INSTRUMENT CODE (20); see Appendix 3
1242 - 1242	X(01)	AN	INVESTMENT EXPERIENCE (20); see pos. 132 for values
1243 - 1246	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (20), in CCYY format
1247 - 1250	X(04)	AN	<i>Reserved</i>
1251 - 1254	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (20); see position 149 for values
1255 - 1255	X(01)	AN	For Pershing Internal Use Only
1256 - 1295	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #21			
1296 - 1299	X(04)	AN	INVESTMENT INSTRUMENT CODE (21); see Appendix 3
1300 - 1300	X(01)	AN	INVESTMENT EXPERIENCE (21); see pos. 132 for values
1301 - 1304	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (21), in CCYY format
1305 - 1308	X(04)	AN	<i>Reserved</i>
1309 - 1312	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (21); see position 149 for values
1313 - 1313	X(01)	AN	For Pershing Internal Use Only
1314 - 1353	X(40)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
INVESTMENT INSTRUMENT #22			
1354 - 1357	X(04)	AN	INVESTMENT INSTRUMENT CODE (22); see Appendix 3
1358 - 1358	X(01)	AN	INVESTMENT EXPERIENCE (22); see pos. 132 for values
1359 - 1362	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (22), in CCYY format
1363 - 1366	X(04)	AN	<i>Reserved</i>
1367 - 1370	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (22); see position 149 for values
1371 - 1371	X(01)	AN	For Pershing Internal Use Only
1372 - 1411	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #23			
1412 - 1415	X(04)	AN	INVESTMENT INSTRUMENT CODE (23); see Appendix 3
1416 - 1416	X(01)	AN	INVESTMENT EXPERIENCE (23); see pos. 132 for values
1417 - 1420	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (23), in CCYY format
1421 - 1424	X(04)	AN	<i>Reserved</i>
1425 - 1428	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (23); see position 149 for values
1429 - 1429	X(01)	AN	For Pershing Internal Use Only
1430 - 1469	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #24			
1470 - 1473	X(04)	AN	INVESTMENT INSTRUMENT CODE (24); see Appendix 3
1474 - 1474	X(01)	AN	INVESTMENT EXPERIENCE (24); see pos. 132 for values
1475 - 1478	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (24), in CCYY format
1479 - 1482	X(04)	AN	<i>Reserved</i>
1483 - 1486	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (24); see position 149 for values
1487 - 1487	X(01)	AN	For Pershing Internal Use Only
1488 - 1527	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #25			
1528 - 1531	X(04)	AN	INVESTMENT INSTRUMENT CODE (25); see Appendix 3
1532 - 1532	X(01)	AN	INVESTMENT EXPERIENCE (25); see pos. 132 for values
1533 - 1536	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (25), in CCYY format
1537 - 1540	X(04)	AN	<i>Reserved</i>
1541 - 1544	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (25); see position 149 for values
1545 - 1545	X(01)	AN	For Pershing Internal Use Only
1546 - 1585	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #26			
1586 - 1589	X(04)	AN	INVESTMENT INSTRUMENT CODE (26); see Appendix 3
1590 - 1590	X(01)	AN	INVESTMENT EXPERIENCE (26); see pos. 132 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1591 - 1594	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (26), in CCYY format
1595 - 1598	X(04)	AN	<i>Reserved</i>
1599 - 1602	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (26); see position 149 for values
1603 - 1603	X(01)	AN	For Pershing Internal Use Only
1604 - 1643	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #27			
1644 - 1647	X(04)	AN	INVESTMENT INSTRUMENT CODE (27); see Appendix 3
1648 - 1648	X(01)	AN	INVESTMENT EXPERIENCE (27); see pos. 132 for values
1649 - 1652	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (27), in CCYY format
1653 - 1656	X(04)	AN	<i>Reserved</i>
1657 - 1660	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (27); see position 149 for values
1661 - 1661	X(01)	AN	For Pershing Internal Use Only
1662 - 1701	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #28			
1702 - 1705	X(04)	AN	INVESTMENT INSTRUMENT CODE (28); see Appendix 3
1706 - 1706	X(01)	AN	INVESTMENT EXPERIENCE (28); see pos. 132 for values
1707 - 1710	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (28), in CCYY format
1711 - 1714	X(04)	AN	<i>Reserved</i>
1715 - 1718	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (28); see position 149 for values
1719 - 1719	X(01)	AN	For Pershing Internal Use Only
1720 - 1759	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #29			
1760 - 1763	X(04)	AN	INVESTMENT INSTRUMENT CODE (29); see Appendix 3
1764 - 1764	X(01)	AN	INVESTMENT EXPERIENCE (29); see pos. 132 for values
1765 - 1768	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (29), in CCYY format
1769 - 1772	X(04)	AN	<i>Reserved</i>
1773 - 1776	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (29); see position 149 for values
1777 - 1777	X(01)	AN	For Pershing Internal Use Only
1778 - 1817	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #30			
1818 - 1821	X(04)	AN	INVESTMENT INSTRUMENT CODE (30); see Appendix 3
1822 - 1822	X(01)	AN	INVESTMENT EXPERIENCE (30); see pos. 132 for values
1823 - 1826	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (30), in CCYY format
1827 - 1830	X(04)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1831 - 1834	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (30); see position 149 for values
1835 - 1835	X(01)	AN	For Pershing Internal Use Only
1836 - 1875	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #31			
1876 - 1879	X(04)	AN	INVESTMENT INSTRUMENT CODE (31); see Appendix 3
1880 - 1880	X(01)	AN	INVESTMENT EXPERIENCE (31); see pos. 132 for values
1881 - 1884	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (31), in CCYY format
1885 - 1888	X(04)	AN	<i>Reserved</i>
1889 - 1892	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (31); see position 149 for values
1893 - 1893	X(01)	AN	For Pershing Internal Use Only
1894 - 1933	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #32			
1934 - 1937	X(04)	AN	INVESTMENT INSTRUMENT CODE (32); see Appendix 3
1938 - 1938	X(01)	AN	INVESTMENT EXPERIENCE (32); see pos. 132 for values
1939 - 1942	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (32), in CCYY format
1943 - 1946	X(04)	AN	<i>Reserved</i>
1947 - 1950	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (32); see position 149 for values
1951 - 1951	X(01)	AN	For Pershing Internal Use Only
1952 - 1991	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #33			
1992 - 1995	X(04)	AN	INVESTMENT INSTRUMENT CODE (33); see Appendix 3
1996 - 1996	X(01)	AN	INVESTMENT EXPERIENCE (33); see pos. 132 for values
1997 - 2000	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (33), in CCYY format
2001 - 2004	X(04)	AN	<i>Reserved</i>
2005 - 2008	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (33); see position 149 for values
2009 - 2009	X(01)	AN	For Pershing Internal Use Only
2010 - 2049	X(40)	AN	<i>Reserved</i>
INVESTMENT INSTRUMENT #34			
2050 - 2053	X(04)	AN	INVESTMENT INSTRUMENT CODE (34); see Appendix 3
2054 - 2054	X(01)	AN	INVESTMENT EXPERIENCE (34); see pos. 132 for values
2055 - 2058	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (34), in CCYY format
2059 - 2062	X(04)	AN	<i>Reserved</i>
2063 - 2066	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (34); see position 149 for values
2067 - 2067	X(01)	AN	For Pershing Internal Use Only
2068 - 2107	X(40)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
INVESTMENT INSTRUMENT #35			
2108 - 2111	X(04)	AN	INVESTMENT INSTRUMENT CODE (35); see Appendix 3
2112 - 2112	X(01)	AN	INVESTMENT EXPERIENCE (35); see pos. 132 for values
2113 - 2116	9(04)	N	YEAR INVESTMENT EXPERIENCE BEGAN (35), in CCYY format
2117 - 2120	X(04)	AN	<i>Reserved</i>
2121 - 2124	X(04)	AN	SOURCE OF INVESTMENT PRODUCT KNOWLEDGE (35); see position 149 for values
2125 - 2125	X(01)	AN	For Pershing Internal Use Only
2126 - 2165	X(40)	AN	<i>Reserved</i>
For "OTHER"			
2166 - 2195	X(30)	AN	NAME OF "OTHER" INVESTMENT INSTRUMENT
2196 - 2199	X(04)	AN	OTHER INVESTMENT INSTRUMENT CODE (OTHR)
2200 - 2200	X(01)	AN	OTHER INVESTMENT EXPERIENCE; see pos. 132 for values
2201 - 2204	9(04)	N	YEAR OTHER INVESTMENT EXPERIENCE BEGAN, in CCYY format
2205 - 2208	X(04)	AN	<i>Reserved</i>
2209 - 2212	X(04)	AN	SOURCE OF OTHER INVESTMENT PRODUCT KNOWLEDGE; see position 149 for values
2213 - 2213	X(01)	AN	For Pershing Internal Use Only
2214 - 2253	X(40)	AN	<i>Reserved</i>
OPTIONS EXPERIENCE			
EQUITY OPTIONS EXPERIENCE			
2254 - 2257	9(04)	N	YEAR EQUITY OPTION BUYER EXPERIENCE BEGAN, in CCYY format
2258 - 2261	9(04)	N	YEAR EQUITY OPTION SELLER EXPERIENCE BEGAN, in CCYY format
2262 - 2262	X(01)	AN	SUITABILITY FOR EQUITY OPTIONS; values include: "Y" = Suitable to trade Equity Options "N" = Not suitable to trade Equity Options "B" = Not applicable or answered
2263 - 2263	X(01)	AN	RISK AWARENESS FOR EQUITY OPTIONS; values include: "Y" = Aware of risk of Equity Options "N" = Not aware of risk of Equity Options "B" = Not applicable or answered
2264 - 2283	X(20)	AN	<i>Reserved</i>
CURRENCY OPTIONS EXPERIENCE			
2284 - 2287	9(04)	N	YEAR CURRENCY OPTION BUYER EXPERIENCE BEGAN, in CCYY format
2288 - 2291	9(04)	N	YEAR CURRENCY OPTION SELLER EXPERIENCE BEGAN, in CCYY format
2292 - 2292	X(01)	AN	SUITABILITY FOR CURRENCY OPTIONS; see pos. 2262
2293 - 2293	X(01)	AN	RISK AWARENESS FOR CURRENCY OPTIONS; see pos. 2263 for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
2294 - 2313	X(20)	AN	<i>Reserved</i>
DEBT OPTIONS EXPERIENCE			
2314 - 2317	9(04)	N	YEAR DEBT OPTION BUYER EXPERIENCE BEGAN, in CCYY format
2318 - 2321	9(04)	N	YEAR DEBT OPTION SELLER EXPERIENCE BEGAN, in CCYY format
2322 - 2322	X(01)	AN	SUITABILITY FOR DEBT OPTIONS; see pos. 2262 for values
2323 - 2323	X(01)	AN	RISK AWARENESS FOR DEBT OPTIONS; see pos. 2263
2324 - 2343	X(20)	AN	<i>Reserved</i>
INDEX OPTIONS EXPERIENCE			
2344 - 2347	9(04)	N	YEAR INDEX OPTION BUYER EXPERIENCE BEGAN, in CCYY format
2348 - 2351	9(04)	N	YEAR INDEX OPTION SELLER EXPERIENCE BEGAN, in CCYY format
2352 - 2352	X(01)	AN	SUITABILITY FOR INDEX OPTIONS; see pos. 2262
2353 - 2353	X(01)	AN	RISK AWARENESS FOR INDEX OPTIONS; see pos. 2263
2354 - 2373	X(20)	AN	<i>Reserved</i>
OTC OPTIONS EXPERIENCE			
2374 - 2377	9(04)	N	YEAR OTC OPTION BUYER EXPERIENCE BEGAN, in CCYY format
2378 - 2381	9(04)	N	YEAR OTC OPTION SELLER EXPERIENCE BEGAN, in CCYY format
2382 - 2382	X(01)	AN	SUITABILITY FOR OTC OPTIONS; see pos. 2262 for values
2383 - 2383	X(01)	AN	RISK AWARENESS FOR OTC OPTIONS; see pos. 2263 for values
2384 - 2403	X(20)	AN	<i>Reserved</i>
2404 - 2499	X(96)	AN	Not Used
2500 - 2500	X(01)	AN	Literally "X"; indicates the end of record M

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD N – EMPLOYMENT, RESTRICTIONS, OFAC INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “N”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, for HLDU; values include: “X” or “ b ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH b ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
EMPLOYMENT INFORMATION			
132 - 135	X(04)	AN	EMPLOYMENT STATUS CODE; values include: “EMPL” = Employed “HOME” = Homemaker “RETD” = Retired “SEMP” = Self-Employed “STDT” = Student “UEMP” = Unemployed “ b b b b ” = Not applicable
136 - 137	9(02)	N	YEARS EMPLOYED

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
138 - 172	X(35)	AN	BUSINESS TYPE; free-form
173 - 187	X(15)	AN	EMPLOYER SHORTNAME
188 - 196	X(09)	AN	EMPLOYER'S CUSIP®
197 - 205	X(09)	AN	EMPLOYER'S SYMBOL
206 - 212	X(07)	AN	Not Used
EMPLOYMENT CONTACT INFORMATION			
Employer #1 (from most current)			
213 - 244	X(32)	AN	EMPLOYER NAME; free-form
245 - 245	X(01)	AN	Not Used
246 - 249	X(04)	AN	ATTENTION LINE PREFIX; values include: “ATTN” = Attention of “C/O B ” = Care of “ B B B B ” = Not populated
250 - 277	X(28)	AN	ATTENTION LINE DETAIL
278 - 309	X(32)	AN	ADDRESS LINE 1
310 - 341	X(32)	AN	ADDRESS LINE 2
342 - 373	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
374 - 405	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
406 - 420	X(15)	AN	CITY
421 - 422	X(02)	AN	STATE; see Appendix Q for values
423 - 437	X(15)	AN	ZIP/POSTAL CODE
438 - 469	X(32)	AN	<i>Reserved</i>
470 - 471	X(02)	AN	COUNTRY CODE; see Appendix Q for values
Employer Telephone			
472 - 472	X(01)	AN	US/INTERNATIONAL INDICATOR; values include: “U” = US/Canada “F” = International
473 - 477	X(05)	AN	COUNTRY CALLING CODE
478 - 537	X(60)	AN	TELEPHONE NUMBER
538 - 544	X(07)	AN	TELEPHONE EXTENSION
545 - 546	X(02)	AN	ASSOCIATED COUNTRY CODE; see Appendix Q for values
547 - 553	X(07)	AN	<i>Reserved</i>
554 - 583	X(30)	AN	TITLE; free-form text
584 - 587	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3
588 - 602	X(15)	AN	OCCUPATION
603 - 606	X(04)	AN	NATURE OF BUSINESS CODE; see Appendix 3
607 - 656	X(50)	AN	NATURE OF BUSINESS TEXT, when “OTHR”
657 - 662	9(06)	N	EMPLOYMENT START DATE, in CCYYMM format
663 - 664	X(02)	AN	<i>Reserved</i>
665 - 670	9(06)	N	EMPLOYMENT END DATE, in CCYYMM format
671 - 672	X(02)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
673 - 690	9(16)v9(02)	N	APPROX. MINIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
691 - 708	9(16)v9(02)	N	APPROX. MAXIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
709 - 717	X(09)	AN	EMPLOYER TIN
718 - 728	X(11)	AN	<i>Reserved</i>
Employer #2			
729 - 760	X(32)	AN	EMPLOYER NAME; free-form
761 - 761	X(01)	AN	Not Used
762 - 765	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
766 - 793	X(28)	AN	ATTENTION LINE DETAIL
794 - 825	X(32)	AN	ADDRESS LINE 1
826 - 857	X(32)	AN	ADDRESS LINE 2
858 - 889	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
890 - 921	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
922 - 936	X(15)	AN	CITY
937 - 938	X(02)	AN	STATE; see Appendix Q for values
939 - 953	X(15)	AN	ZIP/POSTAL CODE
954 - 985	X(32)	AN	<i>Reserved</i>
986 - 987	X(02)	AN	COUNTRY CODE; see Appendix Q for values
Employer Telephone			
988 - 988	X(01)	AN	US/INTERNATIONAL INDICATOR; values include: "U" = US/Canada "F" = International
989 - 993	X(05)	AN	COUNTRY CALLING CODE
994 - 1053	X(60)	AN	TELEPHONE NUMBER
1054 - 1060	X(07)	AN	TELEPHONE EXTENSION
1061 - 1062	X(02)	AN	ASSOCIATED COUNTRY CODE; see Appendix Q for values
1063 - 1069	X(07)	AN	<i>Reserved</i>
1070 - 1099	X(30)	AN	TITLE; free-form text
1100 - 1103	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3 for values
1104 - 1118	X(15)	AN	OCCUPATION TEXT, when "OTHR"
1119 - 1122	X(04)	AN	NATURE OF BUSINESS CODE
1123 - 1172	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR"
1173 - 1178	9(06)	N	EMPLOYMENT START DATE, in CCYYMM format
1179 - 1180	X(02)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1181 - 1186	9(06)	N	EMPLOYMENT END DATE, in CCYYMM format
1187 - 1188	X(02)	AN	<i>Reserved</i>
1189 - 1206	9(16)v9(02)	N	APPROX. MINIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
1207 - 1224	9(16)v9(02)	N	APPROX. MAXIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
1225 - 1233	X(09)	AN	EMPLOYER TIN
1234 - 1244	X(11)	AN	<i>Reserved</i>
Employer #3			
1245 - 1276	X(32)	AN	EMPLOYER NAME; free-form
1277 - 1277	X(01)	AN	Not Used
1278 - 1281	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " BBBB " = Not populated
1282 - 1309	X(28)	AN	ATTENTION LINE DETAIL
1310 - 1341	X(32)	AN	ADDRESS LINE 1
1342 - 1373	X(32)	AN	ADDRESS LINE 2
1374 - 1405	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1406 - 1437	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
1438 - 1452	X(15)	AN	CITY
1453 - 1454	X(02)	AN	STATE; see Appendix Q for values
1455 - 1469	X(15)	AN	ZIP/POSTAL CODE
1470 - 1501	X(32)	AN	<i>Reserved</i>
1502 - 1503	X(02)	AN	COUNTRY CODE; see Appendix Q for values
Employer Telephone			
1504 - 1504	X(01)	AN	US/INTERNATIONAL INDICATOR; values include: "U" = US/Canada "F" = International
1505 - 1509	X(05)	AN	COUNTRY CALLING CODE
1510 - 1569	X(60)	AN	TELEPHONE NUMBER
1570 - 1576	X(07)	AN	TELEPHONE EXTENSION
1577 - 1578	X(02)	AN	ASSOCIATED COUNTRY CODE; see Appendix Q for values
1579 - 1585	X(07)	AN	<i>Reserved</i>
1586 - 1615	X(30)	AN	TITLE; free-form text
1616 - 1619	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3 for values
1620 - 1634	X(15)	AN	OCCUPATION TEXT, when "OTHR"
1635 - 1638	X(04)	AN	NATURE OF BUSINESS CODE
1639 - 1688	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1689 - 1694	9(06)	N	EMPLOYMENT START DATE, in CCYYMM format
1695 - 1696	X(02)	AN	<i>Reserved</i>
1697 - 1702	9(06)	N	EMPLOYMENT END DATE, in CCYYMM format
1703 - 1704	X(02)	AN	<i>Reserved</i>
1705 - 1722	9(16)v9(02)	N	APPROX. MINIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
1723 - 1740	9(16)v9(02)	N	APPROX. MAXIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
1741 - 1749	X(09)	AN	EMPLOYER TIN
1750 - 1760	X(11)	AN	<i>Reserved</i>
Employer #4			
1761 - 1792	X(32)	AN	EMPLOYER NAME; free-form
1793 - 1793	X(01)	AN	Not Used
1794 - 1797	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1798 - 1825	X(28)	AN	ATTENTION LINE DETAIL
1826 - 1857	X(32)	AN	ADDRESS LINE 1
1858 - 1889	X(32)	AN	ADDRESS LINE 2
1890 - 1921	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1922 - 1953	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
1954 - 1968	X(15)	AN	CITY
1969 - 1970	X(02)	AN	STATE; see Appendix Q for values
1971 - 1985	X(15)	AN	ZIP/POSTAL CODE
1986 - 2017	X(32)	AN	<i>Reserved</i>
2018 - 2019	X(02)	AN	COUNTRY CODE; see Appendix Q for values
Employer Telephone			
2020 - 2020	X(01)	AN	US/INTERNATIONAL INDICATOR; values include: "U" = US/Canada "F" = International
2021 - 2025	X(05)	AN	COUNTRY CALLING CODE
2026 - 2085	X(60)	AN	TELEPHONE NUMBER
2086 - 2092	X(07)	AN	TELEPHONE EXTENSION
2093 - 2094	X(02)	AN	ASSOCIATED COUNTRY CODE; see Appendix Q for values
2095 - 2101	X(07)	AN	<i>Reserved</i>
2102 - 2131	X(30)	AN	TITLE; free-form text
2132 - 2135	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3 for values
2136 - 2150	X(15)	AN	OCCUPATION TEXT, when "OTHR"

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
2151 - 2154	X(04)	AN	NATURE OF BUSINESS CODE
2155 - 2204	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR"
2205 - 2210	9(06)	N	EMPLOYMENT START DATE, in CCYYMM format
2211 - 2212	X(02)	AN	<i>Reserved</i>
2213 - 2218	9(06)	N	EMPLOYMENT END DATE, in CCYYMM format
2219 - 2220	X(02)	AN	<i>Reserved</i>
2221 - 2238	9(16)v9(02)	N	APPROX. MINIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
2239 - 2256	9(16)v9(02)	N	APPROX. MAXIMUM VALUE OF ANY ACCUMULATED EQUITY, GRANTS, AWARDS, COMPENSATION; from this employment that materially contribute to the client's net worth
2257 - 2265	X(09)	AN	EMPLOYER TIN
2266 - 2276	X(11)	AN	<i>Reserved</i>
2277 - 2308	X(32)	AN	<i>Reserved</i>
2309 - 2499	X(191)	AN	Not Used
2500 - 2500	X(01)	AN	Literally "X"; indicates the end of record N

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD O – SOURCES OF WEALTH

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “O”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, populated for HLDU only; values include: “X” or “ b ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH b ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
GENERAL SOURCE OF WEALTH INFORMATION			
132 - 135	X(04)	AN	PRIMARY SOURCE OF INCOME; values include: “RETI” = Retirement Asset “COMP” = Compensation “INVS” = Investment Assets “OTHR” = Other “ b b b b ” = Not applicable or populated
136 - 165	X(30)	AN	PRIMARY SOURCE OF INCOME TEXT, if “OTHR”
166 - 169	X(04)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
SOURCE OF WEALTH = COMPENSATION (“COMP”)			
170 - 173	X(04)	AN	SOURCE OF WEALTH; value includes: “COMP” = Compensation (see Financial Information in Record J, beginning in pos. 1933, for compensation amounts)
174 - 193	X(20)	AN	<i>Reserved</i>
SOURCE OF WEALTH = GIFT (“GIFT”)			
194 - 197	X(04)	AN	SOURCE OF WEALTH; value includes: “GIFT” = Gift
198 - 257	X(60)	AN	NAME OF PERSON WHO GIFTED
258 - 259	X(02)	AN	RELATIONSHIP TO CLIENT CODE; values include: “A B ” = Aunt “B B ” = Brother “D B ” = Daughter “F B ” = Father “FL” = Father-in-Law “GD” = Granddaughter “GF” = Grandfather “GM” = Grandmother “GS” = Grandson “M B ” = Mother “ML” = Mother-in-Law “NE” = Nephew “NI” = Niece “OI” = Other Individual “SI” = Sister “SO” = Son “SP” = Spouse “U B ” = Uncle “ BB ” = Not applicable/populated
260 - 261	X(02)	AN	Not Used
262 - 291	X(30)	AN	RELATIONSHIP TO CLIENT, if Other Individual
292 - 351	X(60)	AN	CREATOR OF WEALTH, if different from above
352 - 357	9(06)	N	DATE OF GIFT, in CCYYMM format
358 - 359	X(02)	AN	<i>Reserved</i>
360 - 377	9(16)v9(02)	N	ORIGINAL MINIMUM VALUE OF GIFT
378 - 395	9(16)v9(02)	N	ORIGINAL MAXIMUM VALUE OF GIFT
396 - 413	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL INCOME DERIVED FROM GIFT
414 - 431	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL INCOME DERIVED FROM GIFT
432 - 433	X(02)	AN	GIFT COUNTRY, see Appendix Q for values

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
434 - 437	X(04)	AN	NATURE OF BUSINESS ASSOCIATED WITH GIFT SOW CODE; see Appendix 3
438 - 467	X(30)	AN	NATURE OF BUSINESS ASSOCIATED WITH GIFT SOW TEXT, when "OTHR"
468 - 507	X(40)	AN	<i>Reserved</i>
SOURCE OF WEALTH = INHERITANCE ("IHRT")			
508 - 511	X(04)	AN	SOURCE OF WEALTH; value includes: "IHRT" = Inheritance
512 - 571	X(60)	AN	NAME OF PERSON WHO GIFTED
572 - 573	X(02)	AN	RELATIONSHIP TO CLIENT CODE; see pos. 258 for values
574 - 575	X(02)	AN	Not Used
576 - 605	X(30)	AN	RELATIONSHIP TO CLIENT, if Other Individual
606 - 665	X(60)	AN	CREATOR OF WEALTH, if different from above
666 - 671	9(06)	N	DATE OF INHERITANCE, in CCYYMM format
672 - 673	X(02)	AN	<i>Reserved</i>
674 - 691	9(16)v9(02)	N	ORIGINAL MINIMUM VALUE OF INHERITANCE
692 - 709	9(16)v9(02)	N	ORIGINAL MAXIMUM VALUE OF INHERITANCE
710 - 727	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL INCOME DERIVED FROM INHERITANCE
728 - 745	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL INCOME DERIVED FROM INHERITANCE
746 - 747	X(02)	AN	COUNTRY WHERE WEALTH IS/WAS CREATED; see Appendix Q for values
748 - 751	X(04)	AN	NATURE OF BUSINESS ASSOCIATED WITH INHERITANCE SOW CODE; see Appendix 3
752 - 781	X(30)	AN	NATURE OF BUSINESS ASSOCIATED WITH INHERITANCE SOW TEXT, when "OTHR"
782 - 821	X(40)	AN	<i>Reserved</i>
SOURCE OF WEALTH = DEPENDENT SOURCE OF WEALTH ("DPND")			
822 - 825	X(04)	AN	SOURCE OF WEALTH; value includes: "DPND" = Dependent source of wealth
826 - 885	X(60)	AN	NAME OF PERSON RESPONSIBLE FOR DEPENDENT'S WEALTH
886 - 887	X(02)	AN	RELATIONSHIP TO CLIENT CODE; see pos. 258 for values
888 - 889	X(02)	AN	Not Used
890 - 919	X(30)	AN	RELATIONSHIP TO CLIENT, if Other Individual
920 - 921	X(02)	AN	COUNTRY WHERE WEALTH IS/WAS CREATED; see Appendix Q for values
922 - 925	X(04)	AN	NATURE OF BUSINESS ASSOCIATED WITH DEPENDENT SOW CODE; see Appendix 3
926 - 955	X(30)	AN	NATURE OF BUSINESS ASSOCIATED WITH DEPENDENT SOW TEXT, when "OTHR"
956 - 995	X(40)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
SOURCE OF WEALTH = PRIVATE INVESTMENTS (“PINV”)			
996 - 999	X(04)	AN	SOURCE OF WEALTH; value includes: “PINV” = Private investments
1000 - 1017	9(16)v9(02)	N	APPROXIMATE MINIMUM VALUE OF PORTFOLIO
1018 - 1035	9(16)v9(02)	N	APPROXIMATE MAXIMUM VALUE OF PORTFOLIO
1036 - 1053	9(16)v9(02)	N	APPROXIMATE MINIMUM INCOME DERIVED FROM PORTFOLIO
1054 - 1071	9(16)v9(02)	N	APPROXIMATE MAXIMUM INCOME DERIVED FROM PORTFOLIO
1072 - 1073	X(02)	AN	COUNTRY WHERE WEALTH IS/WAS CREATED; see Appendix Q for values
1074 - 1077	X(04)	AN	NATURE OF BUSINESS ASSOCIATED WITH PRIVATE INVESTMENTS SOW CODE; see Appendix 3
1078 - 1107	X(30)	AN	NATURE OF BUSINESS ASSOCIATED WITH PRIVATE INVESTMENTS SOW TEXT, when “OTHR”
1108 - 1147	X(40)	AN	<i>Reserved</i>
SOURCE OF WEALTH = SECURITY INVESTMENTS (“SINV”)			
1148 - 1151	X(04)	AN	SOURCE OF WEALTH; value includes: “SINV” = Security investments
1152 - 1169	9(16)v9(02)	N	APPROXIMATE MINIMUM VALUE OF PORTFOLIO
1170 - 1187	9(16)v9(02)	N	APPROXIMATE MAXIMUM VALUE OF PORTFOLIO
1188 - 1205	9(16)v9(02)	N	APPROXIMATE MINIMUM INCOME DERIVED FROM PORTFOLIO
1206 - 1223	9(16)v9(02)	N	APPROXIMATE MAXIMUM INCOME DERIVED FROM PORTFOLIO
1224 - 1225	X(02)	AN	COUNTRY WHERE WEALTH IS/WAS CREATED; see Appendix Q for values
1226 - 1229	X(04)	AN	NATURE OF BUSINESS ASSOCIATED WITH SECURITY INVESTMENTS SOW CODE; see Appendix 3
1230 - 1259	X(30)	AN	NATURE OF BUSINESS ASSOCIATED WITH SECURITY INVESTMENTS SOW TEXT, when “OTHR”
1260 - 1299	X(40)	AN	<i>Reserved</i>
SOURCE OF WEALTH = REAL ESTATE (“REST”)			
1300 - 1303	X(04)	AN	SOURCE OF WEALTH; value includes: “REST” = Real Estate
COUNTRY/COUNTRIES IN WHICH REAL ESTATE IS LOCATED			
1304 - 1305	X(02)	AN	COUNTRY (1); see Appendix Q for values
1306 - 1307	X(02)	AN	COUNTRY (2); see Appendix Q for values
1308 - 1309	X(02)	AN	COUNTRY (3); see Appendix Q for values
1310 - 1311	X(02)	AN	COUNTRY (4); see Appendix Q for values
1312 - 1313	X(02)	AN	COUNTRY (5); see Appendix Q for values
1314 - 1333	X(20)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
NATURE OF REAL ESTATE INVESTMENT			
1334 - 1337	X(04)	AN	NATURE OF REAL ESTATE INVESTMENT (1); values include: “INDU” = Industrial “OFFC” = Office “REFD” = Real estate fund “RESD” = Residential “RETL” = Retail
1338 - 1341	X(04)	AN	NATURE OF REAL ESTATE INVESTMENT (2); see 1234 for values
1342 - 1345	X(04)	AN	NATURE OF REAL ESTATE INVESTMENT (3); see 1234 for values
1346 - 1349	X(04)	AN	NATURE OF REAL ESTATE INVESTMENT (4); see 1234 for values
1350 - 1353	X(04)	AN	NATURE OF REAL ESTATE INVESTMENT (5); see 1234 for values
1354 - 1373	X(20)	AN	<i>Reserved</i>
NATURE OF REAL ESTATE INCOME			
1374 - 1377	X(04)	AN	NATURE OF REAL ESTATE INCOME (1); values include: “EMPL” Employee “OWNER” = Owner “PASV” = Passive investment “RENT” = Rental “SALE” = Sales
1378 - 1381	X(04)	AN	NATURE OF REAL ESTATE INCOME (2); see 1274 for values
1382 - 1385	X(04)	AN	NATURE OF REAL ESTATE INCOME (3); see 1274 for values
1386 - 1389	X(04)	AN	NATURE OF REAL ESTATE INCOME (4); see 1274 for values
1390 - 1393	X(04)	AN	NATURE OF REAL ESTATE INCOME (5); see 1274 for values
1394 - 1413	X(20)	AN	<i>Reserved</i>
1414 - 2499	X(1086)	AN	Not Used
2500 - 2500	X(01)	AN	Literally “X”; indicates the end of record O

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD P – SOURCES OF WEALTH, CONTINUED

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “P”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, populated for HLDU only; values include: “X” or “ B ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH B ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
SOURCE OF WEALTH = BUSINESS OWNERSHIP (“BUSN”) (three occurrences)			
Business Ownership #1			
132 - 135	X(04)	AN	SOURCE OF WEALTH; value includes: “BUSN” = Business
136 - 195	X(60)	AN	NAME OF BUSINESS (Name of Source of Wealth)
Business Address			
196 - 199	X(04)	AN	ATTENTION LINE PREFIX; values include: “ATTN” = Attention of “C/O B ” = Care of

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ B B B B ” = Not populated
200 - 227	X(28)	AN	ATTENTION LINE DETAIL
228 - 259	X(32)	AN	ADDRESS LINE 1
260 - 291	X(32)	AN	ADDRESS LINE 2
292 - 323	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
324 - 355	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
356 - 370	X(15)	AN	CITY
371 - 372	X(02)	AN	STATE; see Appendix Q for values
373 - 387	X(15)	AN	ZIP/POSTAL CODE
388 - 419	X(32)	AN	<i>Reserved</i>
420 - 421	X(02)	AN	COUNTRY CODE; see Appendix Q for values
422 - 441	X(20)	AN	Not Used
442 - 445	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3
446 - 460	X(15)	AN	OCCUPATION TEXT, when “OTHR”
461 - 464	X(04)	AN	NATURE OF BUSINESS CODE
465 - 514	X(50)	AN	NATURE OF BUSINESS TEXT, when “OTHR”
515 - 520	9(06)	N	DATE OF OWNERSHIP in CCYYMM format
521 - 522	X(02)	AN	<i>Reserved</i>
523 - 528	9(06)	N	DATE OF SALE, in CCYYMM format
529 - 530	X(02)	AN	<i>Reserved</i>
531 - 538	9(05)v9(03)	N	PERCENT OWNERSHIP IN BUSINESS
539 - 556	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL SALES
557 - 574	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL SALES
575 - 582	9(08)	N	APPROXIMATE NUMBER OF EMPLOYEES
583 - 600	9(16)v9(02)	N	APPROXIMATE MINIMUM CURRENT VALUATION OF BUSINESS
601 - 618	9(16)v9(02)	N	APPROXIMATE MAXIMUM CURRENT VALUATION OF BUSINESS
619 - 658	X(40)	AN	<i>Reserved</i>
Business Ownership #2			
659 - 662	X(04)	AN	SOURCE OF WEALTH; value includes: “BUSN” = Business
663 - 722	X(60)	AN	NAME OF BUSINESS (Name of Source of Wealth)
Business Address			
723 - 726	X(04)	AN	ATTENTION LINE PREFIX; values include: “ATTN” = Attention of “C/O B ” = Care of “ B B B B ” = Not populated
727 - 754	X(28)	AN	ATTENTION LINE DETAIL
755 - 786	X(32)	AN	ADDRESS LINE 1
787 - 818	X(32)	AN	ADDRESS LINE 2

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
819 - 850	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
851 - 882	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
883 - 897	X(15)	AN	CITY
898 - 899	X(02)	AN	STATE; see Appendix Q for values
900 - 914	X(15)	AN	ZIP/POSTAL CODE
915 - 946	X(32)	AN	<i>Reserved</i>
947 - 948	X(02)	AN	COUNTRY CODE; see Appendix Q for values
949 - 968	X(20)	AN	Not Used
969 - 972	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3
973 - 987	X(15)	AN	OCCUPATION TEXT, when "OTHR"
988 - 991	X(04)	AN	NATURE OF BUSINESS CODE
992 - 1041	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR"
1042 - 1047	9(06)	N	DATE OF OWNERSHIP in CCYYMM format
1048 - 1049	X(02)	AN	<i>Reserved</i>
1050 - 1055	9(06)	N	DATE OF SALE, in CCYYMM format
1056 - 1057	X(02)	AN	<i>Reserved</i>
1058 - 1065	9(05)v9(03)	N	PERCENT OWNERSHIP IN BUSINESS
1066 - 1083	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL SALES
1084 - 1101	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL SALES
1102 - 1109	9(08)	N	APPROXIMATE NUMBER OF EMPLOYEES
1110 - 1127	9(16)v9(02)	N	APPROXIMATE MINIMUM CURRENT VALUATION OF BUSINESS
1128 - 1145	9(16)v9(02)	N	APPROXIMATE MAXIMUM CURRENT VALUATION OF BUSINESS
1146 - 1185	X(40)	AN	<i>Reserved</i>
Business Ownership #3			
1186 - 1189	X(04)	AN	SOURCE OF WEALTH; value includes: "BUSN" = Business
1190 - 1249	X(60)	AN	NAME OF BUSINESS (Name of Source of Wealth)
Business Address			
1250 - 1253	X(04)	AN	ATTENTION LINE PREFIX; values include: "ATTN" = Attention of "C/O B " = Care of " B B B B " = Not populated
1254 - 1281	X(28)	AN	ATTENTION LINE DETAIL
1282 - 1313	X(32)	AN	ADDRESS LINE 1
1314 - 1345	X(32)	AN	ADDRESS LINE 2
1346 - 1377	X(32)	AN	ADDRESS LINE 3, only if Attention Line is spaces
1378 - 1409	X(32)	AN	ADDRESS LINE 4; only if country is not US or Canada

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
For US/Canadian addresses, use these three fields			
1410 - 1424	X(15)	AN	CITY
1425 - 1426	X(02)	AN	STATE; see Appendix Q for values
1427 - 1441	X(15)	AN	ZIP/POSTAL CODE
1442 - 1473	X(32)	AN	<i>Reserved</i>
1474 - 1475	X(02)	AN	COUNTRY CODE; see Appendix Q for values
1476 - 1495	X(20)	AN	Not Used
1496 - 1499	X(04)	AN	OCCUPATIONAL CATEGORY; see Appendix 3
1500 - 1514	X(15)	AN	OCCUPATION TEXT, when "OTHR"
1515 - 1518	X(04)	AN	NATURE OF BUSINESS CODE
1519 - 1568	X(50)	AN	NATURE OF BUSINESS TEXT, when "OTHR"
1569 - 1574	9(06)	N	DATE OF OWNERSHIP in CCYYMM format
1575 - 1576	X(02)	AN	<i>Reserved</i>
1577 - 1582	9(06)	N	DATE OF SALE, in CCYYMM format
1583 - 1584	X(02)	AN	<i>Reserved</i>
1585 - 1592	9(05)v9(03)	N	PERCENT OWNERSHIP IN BUSINESS
1593 - 1610	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL SALES
1611 - 1628	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL SALES
1629 - 1636	9(08)	N	APPROXIMATE NUMBER OF EMPLOYEES
1637 - 1654	9(16)v9(02)	N	APPROXIMATE MINIMUM CURRENT VALUATION OF BUSINESS
1655 - 1672	9(16)v9(02)	N	APPROXIMATE MAXIMUM CURRENT VALUATION OF BUSINESS
1673 - 1712	X(40)	AN	<i>Reserved</i>
SOURCE OF WEALTH = OTHER ("OTHR") (Details may be found on customer's front end)			
1713 - 1716	X(04)	AN	SOURCE OF WEALTH; value includes: "OTHR" = Other
1717 - 1718	X(02)	AN	COUNTRY WHERE OTHER WEALTH IS/WAS CREATED; see Appendix Q for values
1719 - 1722	X(04)	AN	NATURE OF BUSINESS CODE; when SOW = ""OTHR"
1723 - 1752	X(30)	AN	NATURE OF BUSINESS TEXT, when Nature of Business = "OTHR"
1753 - 1792	X(40)	AN	<i>Reserved</i>
1793 - 2499	X(707)	AN	Not Used
2500 - 2500	X(01)	AN	Literally "X"; indicates the end of record P

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD Q – RISK ASSESSMENTS, AFFILIATIONS, PEPs, HIGH PROFILE CLIENT

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “HL” = HLDR (Refresh) “HD” = HLDU (Update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “Q
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (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 - 038	X(10)	AN	ACCOUNT SHORT NAME
039 - 040	X(02)	AN	Not Used
041 - 049	X(09)	AN	INTRODUCING FIRM
050 - 069	X(20)	AN	<i>Reserved for additional Hierarchical levels</i>
070 - 070	X(01)	AN	RECORD TRANSACTION CODE, populated for HLDU only: “X” or “ B ” = Unchanged record (space for HLDR) “A” = Add Client “C” = Change existing Client
CLIENT SECONDARY IDENTIFIERS			
071 - 073	X(03)	AN	SECONDARY SEQUENCE NUMBER
074 - 075	X(02)	AN	<i>Reserved</i>
076 - 078	X(03)	AN	CLIENT TYPE; values include: “AH B ” = Account Holder “B&R” = Books and Records participant “IPP” = Interested Party participant
079 - 082	X(04)	AN	CLIENT ROLE; see Appendix Q
083 - 102	X(20)	AN	EXTERNAL CLIENT ID SUPPLIED BY CUSTOMER
103 - 111	X(09)	AN	INTERNAL PERSHING ASSIGNED CLIENT ID
112 - 131	X(20)	AN	<i>Reserved</i>
RISK ASSESSMENT			
132 - 132	X(01)	AN	SECURITIZED PRODUCT RISK AWARENESS; values: “Y” = Yes, aware of risks associated with securitized products “N” = No; not aware of risks associated with securitized products “ B ” = Not known or answered
133 - 133	X(01)	AN	KYC REVIEW STATUS; values include: “A” = Approved “N” = Not applicable “P” = Pending “X” = Not in good standing

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ b ” = Not answered
134 - 141	9(08)	N	KYC RISK RATING DATE, in CCYYMMDD
Broker/Dealer Affiliations			
142 - 142	X(01)	AN	EMPLOYEE OF THIS IBD; values include: “Y” = the holder/participant is an employee of this IBD “N” = the holder/participant is not an employee of this IBD “U” = Unknown
143 - 162	X(20)	AN	EMPLOYEE ID
163 - 166	X(04)	AN	DIVISION (values TBA)
167 - 186	X(20)	AN	<i>Reserved</i>
Related to Employee of this IBD			
187 - 187	X(01)	AN	RELATED TO EMPLOYEE OF THIS IBD; values include: “Y” = Client is related to an employee of this IBD “N” = Client is not related to an employee of this IBD “U” = Unknown
188 - 219	X(32)	AN	EMPLOYEE FIRST NAME
220 - 251	X(32)	AN	EMPLOYEE LAST NAME
252 - 255	X(04)	AN	EMPLOYEE SUFFIX
256 - 257	X(02)	AN	RELATIONSHIP TO EMPLOYEE; values include: “A b ” = Aunt “B b ” = Brother “D b ” = Daughter “DP” = Domestic partner “F b ” = Father “FL” = Father-in-law “FS” = Financial support provider “GF” = Grandfather “GM” = Grandmother “GD” = Granddaughter “GS” = Grandson “M b ” = Mother “ML” = Mother-in-law “NE” = Nephew “NI” = Niece “OI” = Other Individual “SI” = Sister “SO” = Son “SP” = Spouse “U b ” = Uncle “ b b ” = Not applicable/populated
258 - 259	X(02)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
260 - 291	X(32)	AN	RELATIONSHIP, when Other Individual
292 - 295	X(04)	AN	RELATED TO EMPLOYEE OF THIS IBD DIVISION CODE (values TBA)
296 - 315	X(20)	AN	EMPLOYEE ID
316 - 316	X(01)	AN	<i>Reserved</i>
317 - 325	X(09)	AN	RELATED TO EMPLOYEE OF THIS IBD EMPLOYEE TAX ID NUMBER
326 - 336	X(11)	AN	<i>Reserved</i>
Employee of another IBD			
337 - 337	X(01)	AN	EMPLOYEE OF ANOTHER IBD; values include: “Y” = Client is an employee of another IBD “N” = Client is not an employee of another IBD “U” = Unknown “ B ” = Not applicable
338 - 357	X(20)	AN	IBD NAME
358 - 377	X(20)	AN	EMPLOYEE ID
Related to employee of another IBD			
378 - 378	X(01)	AN	RELATED TO EMPLOYEE OF ANOTHER IBD; values include: “Y” = Client is related to an employee of another IBD “N” = Client is not related to an employee of another IBD “U” = Unknown “ B ” = Not applicable
379 - 382	X(04)	AN	TITLE OF CLIENT RELATED TO EMPLOYEE OF ANOTHER IBD; values include: “CEO B ” = Chief Executive Officer “CFO B ” = Chief Financial Officer “ODIR” = Outside Director “OTHR” = Other “ B B B B ” = Not applicable/populated
383 - 412	X(30)	AN	CLIENT’S TITLE; if OTHR; free-form
413 - 432	X(20)	AN	IBD NAME
433 - 452	X(20)	AN	EMPLOYEE ID
453 - 484	X(32)	AN	EMPLOYEE FIRST NAME
485 - 516	X(32)	AN	EMPLOYEE LAST NAME
517 - 520	X(04)	AN	EMPLOYEE SUFFIX
521 - 522	X(02)	AN	RELATIONSHIP TO EMPLOYEE; see 256 for values
523 - 524	X(02)	AN	Not Used

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
525 - 525	X(01)	AN	CLIENT MAINTAINS OTHER BROKERAGE ACCOUNTS; values include: “Y” = Client maintain other brokerage accounts “N” = Client does not maintain other brokerage accounts “ B ” = Not applicable or available
526 - 545	X(20)	AN	NAME OF OTHER BROKERAGE FIRM WHERE ACCOUNT HELD
546 - 547	9(02)	N	YEARS OF INVESTMENT EXPERIENCE; from 00-99
548 - 577	X(30)	AN	OTHER BROKERAGE ACCOUNT NUMBER
578 - 578	X(01)	AN	MEMBER/EMPLOYEE or RELATED TO MEMBER/EMPLOYEE OF STOCK EXCHANGE/FINRA; values include: “Y” = is affiliated or employed “N” = is not affiliated or employed “ B ” = Not applicable or available
579 - 580	X(02)	AN	COUNTRY LOCATION OF AFFILIATE
581 - 582	X(02)	AN	STATE OF AFFILIATE
583 - 627	X(45)	AN	NAME OF AFFILIATION
628 - 657	X(30)	AN	NAME OF APPROVED REGULATOR OR STOCK EXCHANGE
658 - 658	X(01)	AN	CLIENT (OR MEMBER OF IMMEDIATE FAMILY) DIRECTOR, 10% SHAREHOLDER OR POLICY-MAKING OFFICER OF A PUBLICLY TRADED COMPANY; values include: “Y” = Client/family member is a director, etc. of a company “N” = Client/family member is not a director, etc. of a company “ B ” = Not applicable or available
659 - 662	X(04)	AN	CLIENT’S TITLE; see pos. 379 for values
663 - 692	X(30)	AN	CLIENTS’S TITLE, if OTHR, free-form
693 - 737	X(45)	AN	NAME OF PUBLIC COMPANY; free-form
738 - 753	X(16)	AN	COMPANY’S TICKER SYMBOL
754 - 754	X(01)	AN	CLIENT IS SENIOR OFFICER OF A FINANCIAL INSTITUTION; values include: “Y” = Client is a senior officer of a financial institution “N” = Client is not a senior officer of a financial institution “ B ” = Not applicable or available
755 - 755	X(01)	AN	FINANCIAL INSTITUTION IS PUBLICLY TRADED INDICATOR; values include: “Y” = Publicly traded company “N” = Not a publicly traded company “ B ” = Not applicable or available
756 - 800	X(45)	AN	NAME OF COMPANY; free-form

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
Employee of Affiliate of this B/D			
801 - 801	X(01)	AN	EMPLOYEE OF AN AFFILIATE OF THIS BROKER/DEALER; values include: “Y” = Client is an employee of an affiliate of this Broker/Dealer “N” = Client is not an employee of an affiliate of this B/D “ B ” = Not known or answered
802 - 851	X(50)	AN	AFFILIATION (with the affiliate of this Broker/Dealer); free-form
852 - 852	X(01)	AN	SUBSIDIARY OF, or AFFILIATED WITH A CO. LISTED ON A RECOGNIZED STOCK EXCHANGE; values include: “Y” = Subsidiary or affiliated with company listed “N” = Not subsidiary or affiliated with company listed “ B ” = Not known or answered
853 - 872	X(20)	AN	<i>Reserved</i>
External Bank Information			
873 - 904	X(32)	AN	BANK NAME
905 - 905	X(01)	AN	SPECIAL HANDLING INDICATOR; values include: “N” = No special handling required “Y” = Special handling required (for Non-US addresses)
906 - 909	X(04)	AN	ATTENTION LINE PREFIX; values include: “ATTN” = Attention of “C/O B ” = Care of “ B B B B ” = Not populated
910 - 937	X(28)	AN	ATTENTION LINE DETAIL
938 - 969	X(32)	AN	BANK ADDRESS LINE 1
970 - 1001	X(32)	AN	BANK ADDRESS LINE 2
1002 - 1033	X(32)	AN	BANK ADDRESS LINE 3; only if ATTENTION LINE is spaces
1034 - 1065	X(32)	AN	BANK ADDRESS LINE 4; only if country is not US or Canada
For US/Canadian addresses, use these three fields			
1066 - 1080	X(15)	AN	CITY
1081 - 1082	X(02)	AN	STATE; see Appendix Q for values
1083 - 1097	X(15)	AN	ZIP/POSTAL CODE
For non-US/Canadian addresses, use this field			
1098 - 1129	X(32)	AN	NON-US CITY
1130 - 1131	X(02)	AN	COUNTRY CODE; see Appendix Q for values
USA PATRIOT ACT INFORMATION			
1132 - 1132	X(01)	AN	FOREIGN FINANCIAL INSTITUTION values include: “Y” = Foreign financial institution “N” = Not a foreign financial institution “ B ” = Not known or answered

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1133 - 1133	X(01)	AN	CUSTOMER A SUBSIDIARY OF FINANCIAL INSTITUTION (if client is foreign finan. instit.); values include: “Y” = Subsidiary of foreign financial institution “N” = Not subsidiary of a foreign financial institution “ B ” = Not known or answered
1134 - 1134	X(01)	AN	PRIVATE BANKING ACCOUNT; values include: “Y” = Private banking account “N” = Not a private banking account “ B ” = Not known or answered
1135 - 1135	X(01)	AN	FOREIGN BANK; values include: “Y” = Foreign bank “N” = Not a foreign bank “ B ” = Not known or answered
1136 - 1136	X(01)	AN	CENTRAL BANK (if Foreign Bank = Y); values include: “Y” = Central bank “N” = Not a central bank “ B ” = Not known or answered
1137 - 1137	X(01)	AN	FOREIGN BANK OPERATING UNDER AN OFFSHORE BANKING LICENSE (if Foreign Bank = Y); values include: “Y” = Foreign bank operating under offshore banking license “N” = Foreign bank not operating under offshore banking license “ B ” = Not known or answered
1138 - 1138	X(01)	AN	FOREIGN BANK OPERATING UNDER BANKING LICENSE ISSUED BY A NON-COOPERATIVE COUNTRY OR TERRITORY (if Foreign Bank = Y); values include: “Y” = Foreign bank operating under banking license issued by non-cooperative country or territory “N” = Foreign bank not operating under banking license issued by non-cooperative country or territory “ B ” = Not known or answered
1139 - 1139	X(01)	AN	FOREIGN BANK OPERATING UNDER BANKING LICENSE ISSUED BY A JURISDICTION SUBJECT TO SECTION 311 MEASURE (if Foreign Bank = Y); values include: “Y” = Foreign bank operating under banking license issued by jurisdiction subject to sec. 311 measure “N” = Foreign bank not operating under banking license issued by jurisdiction subject to sec. 311 measure “ B ” = Not known or answered
1140 - 1141	9(02)	N	HOW MANY PEOPLE/ENTITIES OWN 10% OR MORE OF THE BANK, if any of the three preceding fields = “Y”

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
POLITICALLY EXPOSED PERSON			
1142 - 1142	X(01)	AN	POLITICALLY EXPOSED PERSON; values include: “Y” = Politically Exposed Person “N” = Not a Politically Exposed Person “ B ” = Not known or answered
The following 6 fields apply only if Politically Exposed Person field, above = “Y”			
1143 - 1174	X(32)	AN	POLITICALLY EXPOSED PERSON FIRST NAME
1175 - 1206	X(32)	AN	POLITICALLY EXPOSED PERSON LAST NAME
1207 - 1210	X(04)	AN	POLITICALLY EXPOSED PERSON SUFFIX
1211 - 1212	X(02)	AN	RELATIONSHIP TO POLITICALLY EXPOSED PERSON; values include: “CH” = Child “IL” = In-law “OT” = Other “PT” = Parent “SB” = Sibling “SF” = Self “SP” = Spouse “ BB ” = Not applicable
1213 - 1214	X(02)	AN	Not Used
1215 - 1244	X(30)	AN	RELATIONSHIP TO POLITICALLY EXPOSED PERSON, when Other
1245 - 1248	X(04)	AN	<i>Reserved for OFFICE HELD CODE</i>
1249 - 1278	X(30)	AN	OFFICE HELD; free-form text
1279 - 1280	X(02)	AN	COUNTRY OF OFFICE; see Appendix Q for values
1281 - 1282	X(02)	AN	<i>Reserved</i>
1283 - 1283	X(01)	AN	ELECTED OR APPOINTED; applicable only if POLITICALLY EXPOSED PERSON equal “Y”; values include: “A” = Appointed “E” = Elected “ B ” = Not known or answered
1284 - 1289	9(06)	N	TERM START DATE; in CCYYMM format
1290 - 1291	X(02)	AN	<i>Reserved</i>
1292 - 1297	9(06)	N	TERM END DATE; in CCYYMM format
1298 - 1299	X(02)	AN	<i>Reserved</i>
1300 - 1317	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL INCOME AMOUNT DERIVED FROM POSITION
1318 - 1335	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL INCOME AMOUNT DERIVED FROM POSITION
1336 - 1336	X(01)	AN	INCOME DERIVED FROM GOVERNMENT LICENSE OR CONTRACTS; values include: “Y” = Income derived “N” = No income derived

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“ B ” = Not applicable
HIGH PROFILE INDIVIDUAL OR ENTITY			
1337 - 1337	X(01)	AN	CLIENT IS HIGH PROFILE INDIVIDUAL OR ENTITY; values include: “Y” = Close associate or family member “N” = Not a close associate or family member “ B ” = Not known or answered
The following apply only if client is high profile individual or entity field, above = “Y”			
1338 - 1339	X(02)	AN	RELATIONSHIP; values include: “AS” = Associate “ B ” = Brother “BL” = Brother-in-Law “ D ” = Daughter “DL” = Daughter-in-Law “ F ” = Father “FL” = Father-in-Law “ M ” = Mother “ML” = Mother-in-Law “OI” = Other Individual/Entity “PR” = Partner “SF” = Self “SI” = Sister “SL” = Sister-in-Law “SO” = Son “SN” = Son-in-Law “SP” = Spouse “ B ” = Not applicable
1340 - 1341	X(02)	AN	Not Used
1342 - 1371	X(30)	AN	RELATIONSHIP, WHEN “OTHER”; free-form
1372 - 1403	X(32)	AN	FIRST NAME OF HIGH PROFILE PERSON, when Relationship is not equal to “Self”
1404 - 1435	X(32)	AN	LAST NAME HIGH PROFILE PERSON, when Relationship is not equal to “Self”
1436 - 1439	X(04)	AN	SUFFIX OF HIGH PROFILE PERSON MEMBER, when Relationship is not equal to “Self”; free-form
1440 - 1474	X(35)	AN	OFFICE HELD; free-form text
1475 - 1476	X(02)	AN	COUNTRY; see Appendix Q for values
1477 - 1478	X(02)	AN	<i>Reserved</i>
1479 - 1496	9(16)v9(02)	N	APPROXIMATE MINIMUM ANNUAL INCOME AMOUNT DERIVED FROM POSITION
1497 - 1514	9(16)v9(02)	N	APPROXIMATE MAXIMUM ANNUAL INCOME AMOUNT DERIVED FROM POSITION

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
1515 - 1520	9(06)	N	RELATIONSHIP WITH HIGH PROFILE PERSON START DATE, in CCYYMM format
1521 - 1522	X(02)	AN	<i>Reserved</i>
1523 - 1528	9(06)	N	RELATIONSHIP WITH HIGH PROFILE PERSON END DATE, in CCYYMM format
1529 - 1530	X(02)	AN	<i>Reserved</i>
1531 - 1544	X(14)	AN	Not Used
1545 - 1545	X(01)	AN	HAS CLIENT EVER BEEN ACCUSED OR CONVICTED OF A SERIOUS CRIME; barred or censured; accused of or associated with corrupt business practices; been the subject of negative media or the subject of a high profile civil case; values include: “Y” = Yes “N” = No “ b ” = Not applicable or populated
1546 - 1696	X(151)	AN	<i>Reserved (3PA)</i>
1697 - 2499	X(803)	AN	Not Used
2500 - 2500	X(01)	AN	Literally “X”; indicates the end of record Q

PERSHING STANDARD FILE LAYOUTS

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	For HLDR: Literally "HOLDER B INFO B FULL B B " For HLDU: Literally "HOLDER B INFO B UPDATE"
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 or UPDATED; literally "REFRESHED" or "UPDATED B B "
128 - 2499	X(2372)	AN	Not Used
2500 - 2500	X(01)	AN	Literally "Z"; indicates the end of the trailer record