

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: INVESTMENT ALLOCATION CLASSIFICATION

GENERAL INFORMATION

File Frequency: Daily
Record Size: 750 characters
Form Name: IAC1

DESCRIPTION

The Investment Allocation Classification file (IAC1) is created after the close of business each day.

The file contains asset classifications provided by and for the use of Pershing clients. Included in the file are the asset class category characteristics and the securities that are classified within each asset class. Securities included in the file are based on clients' current holdings on the Pershing platform. The design of the file is as follows:

Record A contains the various characteristics of each group levels.

Record B contains the securities information and is a one-to-many relationship with the A Record. The B records relate only to the lowest classification number (001). Record B is optional and has to be requested.

A full file is created every night.

The IAC1 file can be configured only on the IBD level.

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	Literally "INVEST B ALLOC B CLASF"
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"
105-749	X(645)	AN	Not Used
750-750	X(01)	AN	Literally "A"; indicates the end of the header record

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DETAIL RECORD A – HIGHEST PARENT HIERARCHICAL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “IA”
003-003	X(01)	AN	RECORD INDICATOR VALUE = “A”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-014	X(03)	AN	PERSHING INTRODUCING BROKER DEALER (IBD) NUMBER
015-015	X(01)	AN	Not Used
016-025	X(10)	AN	RESEARCH PROVIDER CODE
026-037	X(12)	AN	PARENT CLASSIFICATION ID
038-049	X(12)	AN	CLASSIFICATION ID
050-052	9(03)	N	CLASSIFICATION LEVEL NUMBER
053-053	X(01)	AN	CASH INDICATOR; “Y” = Cash classification “N” = Not a cash classification
054-309	X(256)	AN	CLASSIFICATION LEVEL NAME
310-565	X(256)	AN	CLASSIFICATION NAME
566-749	X(184)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of the detail record A

DETAIL RECORD B – CUSIPS/SMA CODES (OPTIONAL - MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “IA”
003-003	X(01)	AN	RECORD INDICATOR VALUE = “B”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-014	X(03)	AN	PERSHING INTRODUCING BROKER DEALER (IBD) NUMBER
015-015	X(01)	AN	Not Used
016-025	X(10)	AN	RESEARCH PROVIDER CODE
026-037	X(12)	AN	PARENT CLASSIFICATION ID
038-043	9(06)	N	SECONDARY SEQUENCE NUMBER, begins with 000001
044-055	X(12)	AN	INVESTMENT ID
056-056	X(01)	AN	INVESTMENT TYPE; values include: “C” = CUSIP “M” = SMA Code
057-068	X(12)	AN	CUSIP/SMA CODE
069-324	X(256)	AN	INVESTMENT DESCRIPTION
325-749	X(425)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of the detail record B

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TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF B B B B B B PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "INVEST B ALLOC B CLASF"
037-046	X(10)	AN	Literally " B DATA B OF B B "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " B TO B REMOTE B "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-105	X(34)	AN	Literally " B ENDS B HERE B TOTAL B DETAIL B RECORDS: B "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-749	X(634)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record