

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SOURCE CODES

GENERAL INFORMATION

File Frequency: Monthly/Request
 Record Size: 250 characters
 Form Name: ISRC / SRCD

DESCRIPTION

The Source Codes file (ISRC and SRCD) contains source codes from different Pershing business units. A source code is a three-character code that indicates the type of transaction carried out by a specific business unit. This file can either be a refresh file (ISRC) or an update file (SRCD). The refresh file contains all the data records in the input file. The update file is one that contains only records that have changed in the current input file with reference to the previous refresh file. This change may be addition/deletion of source codes or change in the other fields corresponding to a particular source code.

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

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 018	X(18)	AN	Literally “BOF B B B B B PERSHING B ” (beginning of Pershing file)
019 - 036	X(18)	AN	Literally “SRC B CODES B FULL B B B B ” (ISRC) Literally “SRC B CODES B UPDATE B B ” (SRCD)
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 - 249	X(145)	AN	Not Used
250 - 250	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "SR"
003 - 003	X(01)	AN	RECORD SEQUENCE IDENTIFIER = "A"
004 - 009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010 - 010	X(01)	AN	CHANGE INDICATOR; values include: "R" = Refresh file "D" = Update file; record deleted "A" = Update file; record has been added "C" = Update files; record has been changed
011 - 013	X(03)	AN	SOURCE CODE
014 - 039	X(26)	AN	SOURCE CODE DESCRIPTION LINE ONE
040 - 065	X(26)	AN	SOURCE CODE DESCRIPTION LINE TWO
066 - 091	X(26)	AN	SOURCE CODE DESCRIPTION LINE THREE
092 - 094	X(03)	AN	TAX STATUS; used for determining if the transaction should be captured for Tax Reporting; values include: "BYP" = Bypass "REP" = Reportable "UNK" = Unknown
095 - 097	X(03)	AN	Not Used
098 - 105	X(08)	AN	USERID OF PERSON WHO LAST ADDED/UPDATED RECORD
106 - 113	X(08)	AN	DATE ADDED; in CCYYMMDD format
114 - 121	X(08)	AN	DATE UPDATED; in CCYYMMDD format
122 - 122	X(01)	AN	IRA INCOME ELIGIBLE; used for determining if a bookkeeping entry is considered income and to be included in the periodic distribution of income for retirement accounts coded with Periodic Distribution instructions; values include: "Y" = Yes; IRA income eligible "N" = No; not IRA income eligible
123 - 123	X(01)	AN	RETAIL INCOME ELIGIBLE; used for determining if a bookkeeping entry is considered income for retail accounts; values include: "Y" = Yes; retail income eligible "N" = No; not retail income eligible
124 - 124	X(01)	AN	CUSTOMER/FIRM; indicates that the source code is used by customer or firm accounts; values include: "B" = Code is used by both customer and firm accounts "Y" = Code is used by Customer accounts only "N" = Code is used by firm accounts only

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POSITION	PICTURE	TYPE	DESCRIPTION
125 - 125	X(01)	AN	CREDIT/DEBIT; indicates monetary or quantity direction of transaction; values include: "C" = Credit "D" = Debit "B" = Can be both debit and credit "E" = Not applicable
126 - 129	X(04)	AN	STATEMENT INDICATOR; indicates whether or not the transactions associated with the source code appear on statements; values include: "STMT" = Transaction appears on statements "NONE" = Transaction does not appear on statements "EEEE" = Not applicable
130 - 133	X(04)	AN	STATEMENT ACTIVITY SUMMARY INDICATOR; this field determines if the transactions with this source code will be displayed in the "Activity Summary" of statements. <i>Note:</i> if populated with "ASUM", the "Statement Activity Summary Number," position 134-135 will also be populated; values include: "ASUM" = Updates "Activity Summary" section "EEEE" = Does not update "Activity Summary" section
134 - 135	X(02)	AN	STATEMENT ACTIVITY SUMMARY NUMBER; determines the bucket in the "Activity Summary" section of the statement that is updated by this source code transaction; values include: "01" = Checking "02" = Debit Card "03" = Securities Bought and Sold "04" = Cash Deposits and Withdrawals "05" = Security Deposits and Withdrawals "06" = Fees "07" = Dividends and Interest "08" = Taxes Withheld "09" = Non-Insured Bank Deposits "10" = Money Fund "11" = Other Activity "12" = Distributions "13" = FDIC Insured Bank Deposits "14" = Non-Principal Payments "15" = Other Income Activity "99" = Do not include "EE" = Not applicable

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POSITION	PICTURE	TYPE	DESCRIPTION
136 - 139	X(04)	AN	STATEMENT TRANSACTION SUMMARY INDICATOR; this field determines if the transaction with this source code should be displayed in a specific sub-section of the "Transaction by Type of Activity" of the statement, or if considered "Other Activity." Note: if populated with "ATYP", position 140-141 will also be populated; values include: "ATYP" = Displays in the "Transaction" section; the sub-section provided in the "Statement Transaction Number" field in position 140-141 "BBBB" = Does not display in the "Transaction" section
140 - 141	X(02)	AN	STATEMENT TRANSACTION NUMBER, determines what sub-section of the "Transaction by Type of Activity" section of the statement that this source code will be displayed. Note: not all IBDs use the option to have transactions broken out by type; see position 134-135 for values
142 - 145	X(04)	AN	STATEMENT DISTRIBUTION INDICATOR; identifies this transaction as a distribution for tax purposes and is used to populate the "Income & Expense Summary" section of the statement; with this source code as a distribution; values include: "DIST" = Transaction is a distribution "BBBB" = Transaction is not a distribution
146 - 147	X(02)	AN	STATEMENT DISTRIBUTION NUMBER; determines which bucket in the "Income & Expense Summary" section is updated by the source code transaction; values include: "01" = Short Term Capital Gains "02" = Long Term Capital Gains "03" = Unspecified Capital Gain "04" = Other Distributions "BB" = Not applicable *** Any values not listed above will go to "Other Distributions"
148 - 148	X(01)	AN	STATEMENT DISTRIBUTION TAXABLE INDICATOR; identifies the distribution as taxable or non-taxable; values include: "N" = Non-taxable distribution "T" = Taxable distribution "B" = Not applicable
149 - 152	X(04)	AN	STATEMENT DIVIDEND INDICATOR; identifies the source code transaction is taxable as dividend or interest income; values include: "DIVT" = Dividend or interest "BBBB" = Not applicable
153 - 154	X(02)	AN	STATEMENT DIVIDEND NUMBER; determines which bucket in the "Income & Expense Summary" section of the statement is updated by the transaction with this source code; values include: "01" = Equity Dividends "02" = Money Market Dividends

(cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			<p>“03” = Other Dividends “04” = Bond Interest “05” = Credit Interest “06” = FDIC Insured Bank Deposit Interest “07” = Other Interest “08” = Margin Interest Paid “09” = Withholding Taxes “10” = Fees (Foreign Securities) “11” = Securities Financed Fee Income “13” = Non-Insured Bank Deposit Interest “99” = This checks type of product first to populate Bond Interest; otherwise add to “Other Interest” “00” = This checks type of product first to populate Equity Dividend; otherwise add to “Other Dividends” “b b” = Not applicable *** Any values not listed above will go to “Other Dividends”</p>
155 - 155	X(01)	AN	<p>STATEMENT DIVIDEND TAXABLE INDICATOR; identifies the transaction in the “Income & Expense Summary” section of the statement as taxable or non-taxable. This value is combined with the “Statement Dividend Number” in position 153-154 on the “Source Code Request Form”; values include: “N” = Non-taxable distribution “T” = Taxable distribution “b” = Not applicable</p>
156 - 158	X(03)	AN	PERSHING DEPARTMENT
159 - 180	X(22)	AN	PERSHING GROUP THAT MANAGES THE SOURCE CODE
181 - 220	X(40)	AN	Not Used
221 - 228	X(08)	AN	USERID OF PERSON WHO ADDED CODE
229 - 236	X(08)	AN	USERID OF PERSON WHO UPDATED CODE
237 - 239	X(03)	AN	For Pershing Internal Use Only
240 - 240	X(01)	AN	<p>PORTFOLIO ELIGIBLE INDICATOR; used to determine if the transaction should be captured for Cost Basis Reporting; values include: “P”, “G” = Portfolio related “N” = Not used in Portfolio “b” = Not applicable</p>
241 - 241	X(01)	AN	<p>REINVEST INDICATOR; values include: “R” = Reinvest eligible “b” = Not applicable</p>
242 - 249	X(08)	AN	Not Used
250 - 250	X(01)	AN	Literally “X”; indicates the end of detail record A

PERSHING STANDARD FILE LAYOUTS

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 018	X(18)	AN	Literally "EOF B B B B B PERSHING B " (end of Pershing file)
019 - 036	X(18)	AN	Literally "SRC B CODES B FULL B B B " (ISRC) Literally "SRC B CODES B UPDATE B B " (SRCD)
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 - 249	X(134)	AN	Not Used
250 - 250	X(01)	AN	Literally "Z"; indicates the end of the trailer record