

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.

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 "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; 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; values include: "Y" = Yes; IRA income eligible "N" = No; not IRA income eligible
123-123	X(01)	AN	RETAIL INCOME ELIGIBLE; 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
125-125	X(01)	AN	CREDIT/DEBIT; indicates monetary direction of transaction; values include: "C" = Credit "D" = Debit "B" = Can be both debit and credit "E" = Not applicable

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POSITION	PICTURE	TYPE	DESCRIPTION
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 “ BBBB ” = Not applicable
130-133	X(04)	AN	STATEMENT ACTIVITY SUMMARY INDICATOR; transactions with this source code cause an update to the Activity Summary section of statements; values include: “ASUM” = Updates Activity Summary section “ BBBB ” = Does not update Activity Summary section
134-135	X(02)	AN	STATEMENT ACTIVITY SUMMARY NUMBER; determines the bucket in the Activity Summary section that is updated by this source code transaction; values include: “01” = ProCash Plus® checks “02” = MasterCard® activity “03” = Securities bought and sold “04” = Cash withdrawals and deposits “05” = Securities withdrawals and deposits “06” = Fees “07” = Dividends and interest “08” = Taxes withheld “10” = Money fund activity “11” = Other “12” = Distributions “13” = Money market deposit account activity “14” = Non-principal payments “15” = Other activity income “ BB ” = Not applicable
136-139	X(04)	AN	STATEMENT TRANSACTION SUMMARY INDICATOR; transactions with this source code will be displayed in the Transaction section of statements; values include: “ATYP” = Displays in the Transaction section “ BBBB ” = Does not display in the Transaction section
140-141	X(02)	AN	STATEMENT TRANSACTION NUMBER, determines what sub-section in Transaction by Type this source code will be displayed. <i>Note:</i> 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 transactions with this source code as a distribution; values include: “DIST” = Transaction is a distribution “ BBBB ” = Transaction is not a distribution

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POSITION	PICTURE	TYPE	DESCRIPTION
146-147	X(02)	AN	STATEMENT DISTRIBUTION NUMBER; determines which bucket in the Dividend, Interest and Distribution 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" = Limited Partnership Distribution "05" = Principal Distribution "09" = Other "10" = Total Distribution "BB" = Not applicable
148-148	X(01)	AN	STATEMENT DISTRIBUTION TAXABLE INDICATOR; identifies the distribution as taxable or non-taxable; values include: "N" = Non-taxable distribution "Y" = Taxable distribution "B" = Not applicable
149-152	X(04)	AN	STATEMENT DIVIDEND INDICATOR; identifies the source code transaction as dividend or interest; values include: "DIVT" = Dividend or interest "BBBB" = Not applicable
153-154	X(02)	AN	STATEMENT DIVIDEND NUMBER; determines which bucket in the Dividend, Interest and Distribution section is updated by the source code transaction; values include: "01" = Asset backed securities interest "02" = US Treasury interest "03" = Other US Government bond interest "04" = Corporate bond interest "05" = Municipal bond interest "07" = Unit investment trust dividends "08" = Mutual fund dividends "09" = Cash dividends on equities "10" = Credit interest income "11" = Margin interest income "12" = Money fund income "00" or "15" = Other "16" = Dividend and interest total
155-155	X(01)	AN	STATEMENT DIVIDEND TAXABLE INDICATOR; identifies the dividend as taxable or non-taxable; values include: "N" = Non-taxable distribution "Y" = Taxable distribution "B" = Not applicable
156-158	X(03)	AN	PERSHING DEPARTMENT

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POSITION	PICTURE	TYPE	DESCRIPTION
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	PORTFOLIO ELIGIBLE INDICATOR; values include: “P”, “G” = Portfolio related “N” = Not used in Portfolio “B” = Not applicable
241-241	X(01)	AN	REINVEST INDICATOR; values include: “R” = Reinvest eligible “B” = Not applicable
242-249	X(08)	AN	Not Used
250-250	X(01)	AN	Literally “X”; indicates the end of detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOFBBBBB PERSHING B” (end of Pershing file)
019-036	X(18)	AN	Literally “SRCBCODES B FULLBBBB” (ISRC) Literally “SRCBCODES B UPDATE BB” (SRCD)
037-046	X(10)	AN	Literally “B DATA B OF BB”
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