

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: LAST ACCOUNT ACTIVITY DATES

GENERAL INFORMATION

File Frequency: Weekly
 Record Size: 500 characters
 Form Name: LACD

DESCRIPTION

The Last Account Activity Dates file (LACD) is created weekly. In addition to return mail, lack of owner-generated activity, “inactivity,” is also considered a trigger for identifying abandoned property for certain states. This file assists with identifying owner-generated activity in order to determine if an account is active, or if an account is inactive and could be considered as abandoned.

This file contains header and trailer records that confirm the beginning and end of the file, the date it was created, and the file’s total number of records. This is always a full file.

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 B PERSHING B ” (beginning of Pershing file)
019 - 036	X(18)	AN	Literally “LAST B ACCT B ACTIVITY”
037 - 046	X(10)	AN	Literally “ B DATA B OF B B ”
047 - 056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057 - 067	X(11)	AN	Literally “ B TO B REMOTE B ”
068 - 071	X(04)	AN	REMOTE ID = “XXXX”
072 - 085	X(14)	AN	Literally “ B BEGINS B HERE B B ”
086 - 095	X(10)	AN	RUN DATE = “MM/DD/CCYY”
096 - 096	X(01)	AN	Not Used
097 - 104	X(08)	AN	RUN TIME = “HH:MM:SS”
105 - 499	X(395)	AN	Not Used
500 - 500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "LC"
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) and Base (6)
021 - 021	X(01)	AN	<i>Reserved</i>
022 - 024	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
025 - 025	X(01)	AN	Not Used
026 - 034	X(09)	AN	INTRODUCING FIRM, when available
035 - 037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038 - 044	X(07)	AN	Not Used
Generic Account Information			
045 - 045	X(01)	AN	ACCOUNT TYPE CODE; values include: "C" = DVP/RVP "R" = Retail "T" = Retirement "3" = Third Party as Custodian "4" = 401(k) Self-Directed
046 - 046	X(01)	AN	ACCOUNT STATUS INDICATOR; values include: "O" = Open "P" = Pending Close "C" = Closed
047 - 054	9(08)	N	DATE OF BIRTH, in CCYYMMDD
055 - 056	X(02)	AN	STATE OF RESIDENCE for account; see Appendix Q for values
057 - 076	X(20)	AN	<i>Reserved</i>
Dates			
077 - 084	9(08)	N	LAST CONTACT ACTIVITY DATE, in CCYYMMDD format
085 - 104	X(20)	AN	<i>Reserved</i>
105 - 112	9(08)	N	LAST NetX INVESTOR LOGIN DATE, in CCYYMMDD format
113 - 132	X(20)	AN	<i>Reserved</i>
133 - 140	9(08)	N	LAST TRANSACTION/ACTIVITY DATE, in CCYYMMDD format
141 - 160	X(20)	AN	<i>Reserved for LAST TRANSACTION TYPE</i>
161 - 168	9(08)	N	LAST SUCCESSFUL CONTACT DATE, in CCYYMMDD format
169 - 188	X(20)	AN	<i>Reserved</i>
189 - 196	9(08)	N	LAST HOLDER INITIATED DOCUMENT RECEIVED DATE, in CCYYMMDD format
197 - 216	X(20)	AN	<i>Reserved</i>

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POSITION	PICTURE	TYPE	DESCRIPTION
217 - 217	X(01)	AN	ACCOUNT ABANDONED; values include: “Y” = Yes; account is abandoned “N” = No; account is not abandoned
218 - 225	9(08)	N	ABANDONED DATE, if account is abandoned, in CCYYMMDD format
226 - 227	X(02)	AN	REPORTING STATE; see Appendix Q for values
228 - 247	X(20)	AN	<i>Reserved</i>
248 - 255	9(08)	N	FIRST RETURN MAIL DATE, in CCYYMMDD format
256 - 275	X(20)	AN	<i>Reserved</i>
276 - 283	9(08)	N	CALCULATED ESCHEATMENT DATE; in CCYYMMDD format
284 - 303	X(20)	AN	<i>Reserved</i>
304 - 499	X(196)	AN	Not Used
500 - 500	X(01)	AN	Literally “X”; indicates the end of detail record A

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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 "LAST B ACCT B ACTIVITY"
037 - 046	X(10)	AN	Literally " B DATA B OF B B "
047 - 056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057 - 067	X(11)	AN	Literally " B TO B REMOTE B "
068 - 071	X(04)	AN	REMOTE ID = "XXXX"
072 - 083	X(12)	AN	Literally " B ENDS B HERE B "
084 - 105	X(22)	AN	Literally "TOTAL B DETAIL B RECORDS: B "
106 - 115	9(10)	N	NUMBER OF DETAIL RECORDS
116 - 499	X(384)	AN	Not Used
500 - 500	X(01)	AN	Literally "Z"; indicates the end of the trailer record