

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SEC17 AD-17 - LOST SECURITY HOLDERS

GENERAL INFORMATION

File Frequency: LSHD (Update, Daily)/LSHF (Refresh; Weekly, Monthly, on demand)
 Record Size: 250 characters
 Form Name: LSHF/LSHD

DESCRIPTION

The information contained in the Lost Security Holders (SEC 17AD-17) file (LSHD and LSHF) represent returned mail events, client located events, and abandoned account events entered into the Dates and Docs section of Account Services. The data in the file is created from the Activity Engine database, which is updated nightly.

LSHF is a full or refresh file which includes all accounts, which is available weekly, monthly, or on demand, while LSHD is an update nightly file which shows accounts updated that day.

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 “SEC17 B AD-17 B LSH B B B ”
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/UPDATED – literally “REFRESHED” or “UPDATED B B ”
128 - 249	X(122)	AN	Not Used
250 - 250	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A - GENERIC ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “LH” = LSHF (weekly refresh) “LU” = LSHD (daily 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 (5), Check Digit (1)
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 - 087	X(49)	AN	Not Used
088 - 088	X(01)	AN	<i>Reserved</i>
089 - 089	X(01)	AN	ACCOUNT ABANDONED; values include: “Y” = Yes; account is abandoned “N” = No; account is not abandoned
090 - 097	9(08)	N	ABANDONED DATE; in CCYYMMDD format
098 - 105	9(08)	N	FIRST RETURN MAIL DATE, in CCYYMMDD format
106 - 113	9(08)	N	LAST CONTACT ACTIVITY DATE (most recent transaction, successful contact, NetX login, investor-initiated document received), in CCYYMMDD format
114 - 121	9(08)	N	DUE DILIGENCE DATE, in CCYYMMDD format
122 - 129	9(08)	N	ESCHEATMENT DATE, in CCYYMMDD format
130 - 249	X(120)	AN	Not Used
250 - 250	X(01)	AN	Literally “X”; indicates the end of record A

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DETAIL RECORD B - EVENTS (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODES; values include: “LH” = LSHF (weekly refresh) “LU” = LSHD (daily update)
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = “B”
004 - 011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012 - 020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
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 - 087	X(49)	AN	Not Used
088 - 088	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ B ” = Unchanged record “A” = Add new event
Secondary Sequence Number increments Events, most recent first; ranges from 001-060			
089 - 091	X(03)	AN	SECONDARY SEQUENCE NUMBER FOR EVENTS; most recent first; begins with 001
092 - 099	9(08)	N	EVENT DATE, in CCYYMMDD format
100 - 103	X(04)	AN	EVENT TYPE; values include: “ABAT” = Account abandoned “CSHR” = Contact security holder “DDL M” = Due Diligence letter “FISH” = First search “IALM” = Inactivity letter “MFDC” = Match found - deceased “MFND” = Match found “MFPA” = Match found - potential address “MNFN” = Match not found “MFNS” = Match not found, second attempt “RMLM” = 45 day post return mail “RTNM” = Return mail “SESH” = Second search “TAPR” = Transferred to Abandoned Property (future event)
104 - 111	9(08)	N	RETURN MAIL, ABANDON DATE, or CONTACT DATE in CCYYMMDD format

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POSITION	PICTURE	TYPE	DESCRIPTION
112 - 115	X(04)	AN	<p>ADDITIONAL EVENT DETAILS, for various event types; this field defaults to space when event type is not any of those mentioned below:</p> <p><u>RETURN MAIL TYPE</u>, when Event Type = "RTNM"; values include:</p> <p>"CHCK" = Check "CONF" = Confirmation "OTHR" = Other "STMT" = Customer Statement "TXSM" = Tax Statement</p> <p><u>ACCOUNT ABANDONED REASON</u>, when Event Type = "ABAT"; values include:</p> <p>"ABDE" = Account abandoned due to death "ABIN" = Account abandoned due to inactivity "ABRI" = Account abandoned due to return mail and inactivity "ABRP" = Account abandoned due to return mail "BBBB" = Legacy events will be blank</p> <p><u>CLIENT CONTACT METHOD</u>, when Event Type = "CHSR"; values include:</p> <p>"EMAL" = Email "INPE" = In person "MAIL" = Mail "OTHR" = Other "TELE" = Telephone "BBBB" = Legacy events will be blank</p>
116 - 116	X(01)	AN	<p>ACCOUNT ABANDONED INDICATOR, when Event Type = "ABAT" (account abandoned); values include:</p> <p>"Y" = Yes; account abandoned "N" = No; account not abandoned "B" = Not applicable</p>
117 - 117	X(01)	AN	<p>CLIENT LOCATE INDICATOR, when Event Type = "CHSR" (contact security holder); values include:</p> <p>"Y" = Yes; successful contact - holder located "N" = No; unsuccessful contact "B" = Not applicable</p>
118 - 125	X(08)	AN	USER ID
126 - 146	X(21)	AN	Not Used; formerly "COMMENT ASSOCIATED WITH THE EVENT"; converted to spaces on 11/19/2016
147 - 249	X(103)	AN	Not Used
250 - 250	X(01)	AN	Literally "X"; indicates the end of 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 "SEC17 B AD-17 B LSH B B B "
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 - 118	X(03)	AN	Not Used
119 - 127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally "REFRESHED" or "UPDATED B B "
128 - 249	X(122)	AN	Not Used
250 - 250	X(01)	AN	Literally "Z"; indicates the end of the trailer record