

# 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 B</b> PERSHING <b>B</b> ” (beginning of Pershing file)          |
| 019-036  | X(18)   | AN   | Literally “SEC17 <b>B</b> AD-17 <b>B</b> LSH <b>B B B</b> ”                                 |
| 037-046  | X(10)   | AN   | Literally “ <b>B</b> DATA <b>B</b> OF <b>B B</b> ”  |
| 047-056  | X(10)   | AN   | DATE OF DATA = “MM/DD/CCYY”   |
| 057-067  | X(11)   | AN   | Literally “ <b>B</b> TO <b>B</b> REMOTE <b>B</b> ”  |
| 068-071  | X(04)   | AN   | REMOTE ID = “XXXX”  |
| 072-085  | X(14)   | AN   | Literally “ <b>B</b> BEGINS <b>B</b> HERE <b>B 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 B</b> ” |
| 128-249  | X(122)  | AN   | Not Used  |
| 250-250  | X(01)   | AN   | Literally “A”; indicates the end of the header record                                       |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A - GENERIC ACCOUNT INFORMATION

| POSITION | PICTURE | TYPE | DESCRIPTION  |
|----------|---------|------|--|
| 001-002  | X(02)   | AN   | TRANSACTION CODES; values include:<br>“LH” = LSHF (weekly refresh)<br>“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),<br>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   |
| 039-058  | X(20)   | AN   | CLIENT ID  |
| 059-067  | X(09)   | AN   | BUSINESS PARTY ID  |
| 068-087  | X(20)   | AN   | Not Used   |
| 088-088  | X(01)   | AN   | <i>Reserved</i>  |
| 089-089  | X(01)   | AN   | ACCOUNT ABANDONED; values include:<br>“Y” = Yes; account is abandoned<br>“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,<br>successful contact, NetX login, investor-initiated document<br>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   |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B - EVENTS (MULTIPLE ITERATIONS)

| POSITION  | PICTURE | TYPE | DESCRIPTION  |
|---|---------|------|--|
| 001-002   | X(02)   | AN   | TRANSACTION CODES; values include:<br>“LH” = LSHF (weekly refresh)<br>“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),<br>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   |
| 039-058   | X(20)   | AN   | CLIENT ID  |
| 059-067   | X(09)   | AN   | BUSINESS PARTY ID  |
| 068-087   | X(20)   | AN   | Not Used   |
| 088-088   | X(01)   | AN   | TRANSACTION TYPE; values include:<br>“X” or “ <b>B</b> ” = Unchanged record<br>“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<br>recent first; begins with 001  |
| 092-099   | 9(08)   | N    | EVENT DATE, in CCYYMMDD format   |
| 100-103   | X(04)   | AN   | EVENT TYPE; values include:<br>“ABAT” = Account abandoned<br>“CSHR” = Contact security holder<br>“DDL M” = Due Diligence letter<br>“FISH” = First search<br>“IALM” = Inactivity letter<br>“MFDC” = Match found - deceased<br>“MFND” = Match found<br>“MFPA” = Match found - potential address<br>“MNFN” = Match not found<br>“MFNS” = Match not found, second attempt<br>“RMLM” = 45 day post return mail<br>“RTNM” = Return mail<br>“SESH” = Second search<br>“TAPR” = Transferred to Abandoned Property (future event) |
| 104-111   | 9(08)   | N    | RETURN MAIL, ABANDON DATE, or <b>CONTACT DATE</b> in<br>CCYYMMDD format  |

# PERSHING STANDARD FILE LAYOUTS

| 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:<br/>                     "CHCK" = Check<br/>                     "CONF" = Confirmation<br/>                     "OTHR" = Other<br/>                     "STMT" = Customer Statement<br/>                     "TXSM" = Tax Statement</p> <p><u>ACCOUNT ABANDONED REASON</u>, when Event Type = "ABAT"; values include:<br/>                     "ABDE" = Account abandoned due to death<br/>                     "ABIN" = Account abandoned due to inactivity<br/>                     "ABRI" = Account abandoned due to return mail and inactivity<br/>                     "ABRP" = Account abandoned due to return mail<br/>                     "BBBB" = Legacy events will be blank</p> <p><u>CLIENT CONTACT METHOD</u>, when Event Type = "CHSR"; values include:<br/>                     "EMAL" = Email<br/>                     "INPE" = In person<br/>                     "MAIL" = Mail<br/>                     "OTHR" = Other<br/>                     "TELE" = Telephone<br/>                     "BBBB" = Legacy events will be blank</p> |
| 116-116  | X(01)   | AN   | <p>ACCOUNT ABANDONED INDICATOR, when Event Type = "ABAT" (account abandoned); values include:<br/>                     "Y" = Yes; account abandoned<br/>                     "N" = No; account not abandoned<br/>                     "B" = Not applicable</p>  |
| 117-117  | X(01)   | AN   | <p>CLIENT LOCATE INDICATOR, when Event Type = "CHSR" (contact security holder); values include:<br/>                     "Y" = Yes; successful contact - holder located<br/>                     "N" = No; unsuccessful contact<br/>                     "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  |

# PERSHING STANDARD FILE LAYOUTS

## TRAILER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION  |
|----------|---------|------|--|
| 001-018  | X(18)   | AN   | Literally "EOF <b>B B B B B B</b> PERSHING <b>B</b> " (end of Pershing file)                         |
| 019-036  | X(18)   | AN   | Literally "SEC17 <b>B</b> AD-17 <b>B</b> LSH <b>B B B</b> "  |
| 037-046  | X(10)   | AN   | Literally " <b>B</b> DATA <b>B</b> OF <b>B B</b> "   |
| 047-056  | X(10)   | AN   | DATE OF DATA = "MM/DD/CCYY"  |
| 057-067  | X(11)   | AN   | Literally " <b>B</b> TO <b>B</b> REMOTE <b>B</b> "   |
| 068-071  | X(04)   | AN   | REMOTE ID = "XXXX"   |
| 072-105  | X(34)   | AN   | Literally " <b>B</b> ENDS <b>B</b> HERE. <b>B</b> TOTAL <b>B</b> DETAIL <b>B</b> RECORDS: <b>B</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 B</b> "          |
| 128-249  | X(122)  | AN   | Not Used   |
| 250-250  | X(01)   | AN   | Literally "Z"; indicates the end of the trailer record   |