

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND 12B-1 TRAILS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Form Name: M12B

DESCRIPTION

The Mutual Fund 12b-1 file (M12B) contains 12b-1 trail fees that have been passed to Pershing from the NSCC. The information represents the commission fees that are credited to the Introducing Broker Dealer's (IBD) sundry account which are eventually credited to the Investment Professional of record for the associated transactions.

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 "12B1 B STANDARD B FILE"
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 = "MB"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010-013	X(04)	AN	FUND FAMILY IDENTIFIER
014-022	X(09)	AN	CUSIP® NUMBER
023-030	X(08)	AN	PROCESSING DATE, in CCYYMMDD format
031-033	X(03)	AN	OFFICE (BRANCH) NUMBER
034-036	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
037-068	X(32)	AN	INTRODUCING BROKER DEALER NAME
069-077	X(09)	AN	CUSTOMER ACCOUNT NUMBER
078-087	X(10)	AN	CUSTOMER SHORT NAME
088-088	X(01)	AN	PERSHING TRANSACTION INDICATOR; values include: "1" = Is not a Pershing Transaction "B" = Is a Pershing Transaction
089-092	X(04)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
093-117	X(25)	AN	INVESTMENT PROFESSIONAL NAME
118-127	X(10)	AN	SUNDRY ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1), Type (1); values for Type include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "4" = Special Subs "5" = Arbitrage "8" = Precious Metals "9" = Income
128-128	X(01)	AN	Not Used
129-143	9(07)v9(08)	N	COMMISSION AMOUNT
144-144	X(01)	AN	CREDIT/DEBIT INDICATOR; values include: "1" = Debit "2" = Credit
145-145	X(01)	AN	CUSTOMER TYPE INDICATOR; values include: "1" = Dealer "2" = Fund
146-165	X(20)	AN	TRANSACTION DESCRIPTION, Line 1
166-185	X(20)	AN	TRANSACTION DESCRIPTION, Line 2
186-205	X(20)	AN	TRANSACTION DESCRIPTION, Line 3
206-225	X(20)	AN	TRANSACTION DESCRIPTION, Line 4

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POSITION	PICTURE	TYPE	DESCRIPTION
226-228	X(03)	AN	SOURCE CODE; values include: “/MF” = 12b-1 payment type “/FF” = All other payment types “/52” = 12b-1 fee – Investment Professional
229-246	9(16)v9(02)	N	AVERAGE DAILY ASSETS ASSOCIATED WITH A 12B-1 PAYMENT, as provided to Pershing by the Fund Company
247-249	X(03)	AN	Not Used
250-250	X(01)	AN	Literally “X”; indicates the end of the detail record

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOF B B B B B B PERSHING” (end of Pershing file)
019-036	X(18)	AN	Literally “12B1 B STANDARD B FILE”
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