

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MANAGED ACCOUNT AUTOMATED TURNOVERS

GENERAL INFORMATION

File Frequency: Daily
Record Size: 2000 characters
Form Name: MAAT

DESCRIPTION

The Managed Account Automated Turnover file (MAAT) contains information regarding Account Turnover details of managed accounts that are processed within the Managed Investments (MI) platform's Automated Turnover functionality.

An account must be turned-over (appropriately funded based on the configuration specified by the client) before it is made active and trading can begin.

This file contains multiple "A" records for accounts where there is more than one Account Turnover failure reason reported on the same day. There is a secondary sequence number in position 021 that increments within a given account in such cases.

A full file is sent nightly.

The symbol "**B**" is used on our standard files to represent spaces.

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FILE LAYOUT SPECIFICATIONS

HEADER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION |
|-----------|---------|------|--|
| 001-018 | X(18) | AN | Literally "BOF BBBBBB PERSHING B " (beginning of Pershing file) |
| 019-036 | X(18) | AN | Literally "MNGD B ACCT B AUTO B TRN" |
| 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" |
| 072-085 | X(14) | AN | Literally " B BEGINS B HERE BB " |
| 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 BB " |
| 128-1999 | X(1872) | AN | Not Used |
| 2000-2000 | X(01) | AN | Literally "A"; indicates the end of the header record |

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DETAIL RECORD A - MANAGED ACCOUNT AUTOMATED TURNOVER INFORMATION

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|--|
| 001-002 | X(02) | AN | TRANSACTION CODE = "A6" |
| 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 | 9(03) | N | SECONDARY SEQUENCE NUMBER, for multiple instances of Pass/Fail Reasons within a given account, from 001-999 |
| 024-045 | X(22) | AN | Not Used |
| 046-048 | X(03) | AN | INTRODUCING BROKER DEALER (IBD) NUMBER |
| 049-049 | X(01) | AN | Not Used |
| 050-052 | X(03) | AN | REP CODE; account's custodial rep code |
| 053-059 | X(07) | AN | Not Used |
| 060-123 | X(64) | AN | REP NAME |
| 124-187 | X(64) | AN | INSTITUTION; institution under which the managed account is opened |
| 188-197 | X(10) | AN | Not Used |
| 198-261 | X(64) | AN | FIRM; firm under which the managed account is opened |
| 262-271 | X(10) | AN | <i>Reserved</i> |
| 272-526 | X(255) | AN | CLIENT; the end investor's name for which the managed account is opened |
| 527-536 | X(10) | AN | Not Used |
| 537-539 | 9(03) | N | DAYS; the difference between Opened Date and Funded Date (or today's date if the account is still pending). Values are 000-999 |
| 540-540 | X(01) | AN | Not Used |
| 541-550 | X(10) | AN | ACCOUNT STATUS; values include: "ACTIVE" "PENDING" "REJECTED" |
| 551-564 | X(14) | AN | Not Used |
| 565-596 | X(32) | AN | CUSTODIAN ACCOUNT NUMBER; the account number for custodian information if an IBD is engaged in DVP business |
| 597-606 | X(10) | AN | Not Used |
| 607-626 | X(20) | AN | PROPOSAL REFERENCE ID; proposal reference for account |
| 627-666 | X(40) | AN | PROPOSED ACCOUNT ID; proposed account reference |
| 667-741 | X(75) | AN | PROPOSAL NAME |
| 742-742 | X(01) | AN | Not Used |
| 743-792 | X(50) | AN | RISK TOLERANCE PROFILE; the account's risk tolerance. |
| 793-796 | X(04) | AN | PROGRAM PROFILE; values include: "PMAS" = Managed Investments "PSHG" = Pershing |

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| POSITION | PICTURE | TYPE | DESCRIPTION |
|-----------|-------------|------|--|
| 797-806 | X(10) | AN | PROGRAM CODE; uniquely identifies an advisory program. |
| 807-907 | X(101) | AN | PROGRAM DESCRIPTION |
| 908-917 | X(10) | AN | MANAGER CODE; uniquely identifies a manager code. |
| 918-992 | X(75) | AN | MANAGER DESCRIPTION |
| 993-1002 | X(10) | AN | STYLE CODE; uniquely identifies an investment strategy. |
| 1003-1077 | X(75) | AN | STYLE DESCRIPTION |
| 1078-1087 | X(10) | AN | Not Used |
| 1088-1105 | 9(16)v9(02) | N | INITIAL ASSETS |
| 1106-1106 | X(01) | AN | INITIAL ASSETS SIGN; values include: “+” = Positive assets “-” = Negative assets “ B ” = Not applicable |
| 1107-1115 | X(09) | AN | Not Used |
| 1116-1133 | 9(16)v9(02) | N | MARKET VALUE |
| 1134-1134 | X(01) | AN | MARKET VALUE SIGN; values include: “+” = Positive market value “-” = Negative market value “ B ” = Not applicable |
| 1135-1152 | 9(13)v9(05) | N | MINIMUM SIZE; account’s minimum size set by the manager. |
| 1153-1153 | X(01) | AN | MINIMUM SIZE SIGN; values include: “+” = Positive quantity “-” = Negative quantity “ B ” = Not applicable |
| 1154-1161 | 9(08) | N | BACKDATED OPENING DATE; populated when an account’s historic inception date is to be tracked along with the actual systematic managed account inception date, in CCYYMMDD format |
| 1162-1169 | 9(08) | N | DATE OPENED; account opening date, in CCYYMMDD format |
| 1170-1177 | 9(08) | N | DATE RELEASED; date the account was released for turnover, in CCYYMMDD format |
| 1178-1184 | X(07) | AN | Not Used |
| 1185-1187 | 9(03) | N | SECONDARY SEQUENCE NUMBER, for Pass/Fail Reasons that are greater than 200 characters, begins with 001 (effective late 3 rd Q, 2017) |
| 1188-1387 | X(200) | AN | PASS/FAIL REASON FOR ACCOUNT TURNOVER |
| 1388-1397 | X(10) | AN | Not Used |
| 1398-1429 | X(32) | AN | REGION CODE; IBD’s region code where the account was opened |
| 1430-1493 | X(64) | AN | REGION DESCRIPTION |
| 1494-1513 | X(20) | AN | BUSINESS PARTY; account’s natural IP identifier |
| 1514-1579 | X(66) | AN | NOTES/COMMENTS |
| 1580-1999 | X(420) | AN | Not Used |
| 2000-2000 | X(01) | AN | Literally “X”; indicates the end of the 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 “MNGD B ACCT B AUTO B TRN” |
| 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 ” |
| 128-1999 | X(1872) | AN | Not Used |
| 2000-2000 | X(01) | AN | Literally “Z”; indicates the end of the trailer record |