

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: MUTUAL FUND DESCRIPTIONS

### GENERAL INFORMATION

File Frequency: Daily  
 Record Size: 500 characters  
 Form Name MFDS

### DESCRIPTION

This file contains mutual fund codes and descriptions from the Pershing Mutual Fund Department. A mutual fund code is a four-letter code indicating the type of mutual fund group. This file is a full daily file that is not refreshed or updated.

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</b> <b>B</b> <b>B</b> <b>B</b> PERSHING <b>B</b> ” (beginning of Pershing file)
019-036	X(18)	AN	Literally “MUTUAL <b>B</b> FUNDS <b>B</b> DESC <b>B</b> ”
037-046	X(10)	AN	Literally “ <b>B</b> DATA <b>B</b> OF <b>B</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>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 = "DS"
003-003	X(01)	AN	RECORD ID = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010-018	X(09)	AN	CUSIP® NUMBER
019-022	X(04)	AN	FUND FAMILY CODE
023-028	X(06)	AN	SECURITY SYMBOL; values include: "BBBBBB" = Unavailable Data
029-029	X(01)	AN	Not Used
030-030	X(01)	AN	DIVIDEND REINVEST INDICATOR; values include: "Y" = Yes "N" = No (default)
031-031	X(01)	AN	CAPITAL GAIN REINVEST INDICATOR; values include: "Y" = Yes "N" = No (default)
032-032	X(01)	AN	Not Used
033-033	X(01)	AN	FUNDSERV INDICATOR; values include: "Y" = Eligible "N" = Not Eligible
034-034	X(01)	AN	GRANDFATHER INDICATOR; values include: "Y" = Yes "N" = No (default)
035-035	X(01)	AN	LOAD/NO-LOAD INDICATOR; values include: "L" = Front-End Load "B" = Back-End Load "D" = Dual Load "N" = No Load
036-036	X(01)	AN	NETWORKING INDICATOR; values include: "Y" = Yes "N" = No (default)
037-037	X(01)	AN	NO TRANSACTION FEE ELIGIBILITY INDICATOR; values include: "N" = Does Not Participate in FundVest "I" = Institutional "R" = Retail "T" = Participates in Offshore Flex
038-038	X(01)	AN	SHORT SETTLEMENT ELIGIBILITY INDICATOR; values include: "Y" = Yes "N" = No (default)

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POSITION	PICTURE	TYPE	DESCRIPTION
039-039	X(01)	AN	SYSTEMATIC REINVESTMENT SYSTEM ELIGIBILITY INDICATOR; values include: “N” = Not Eligible (default) “T” = Trades Only “R” = Reinvestment Only “A” = Trades/Reinvestment
040-040	X(01)	AN	DIVIDEND FREQUENCY; values include: “D” = Daily “W” = Weekly “M” = Monthly “Q” = Quarterly “S” = Semiannually “A” = Annually
041-041	X(01)	AN	CLOSED TO BUYS INDICATOR; values include: “Y” = Closed to Buys “N” = Open to Buys (default)
042-042	X(01)	AN	CLOSED TO SELLS INDICATOR; values include: “Y” = Closed to Sells “N” = Open to Sells (default)
043-043	X(01)	AN	NEW INVESTMENT CLOSED INDICATOR; values include: “Y” = Yes “N” = No (default)
044-045	X(02)	AN	SETTLE PURCHASE DAYS, NON-FUNDSERV; values begin with “01” and include: “BB” = Unavailable or not applicable data
046-047	X(02)	AN	SETTLE REDEMPTION DAYS, NON-FUNDSERV; values begin with “01” and include: “BB” = Unavailable or not applicable data
048-049	X(02)	AN	SETTLE PURCHASE DAYS, FUNDSERV; values begin with “01” and include: “BB” = Unavailable or not applicable data
050-051	X(02)	AN	SETTLE REDEMPTION DAYS, FUNDSERV; values begin with “01” and include: “BB” = Unavailable or not applicable data
052-055	X(04)	AN	EXCHANGE CUT-OFF TIME, in HHMM format; values include: “BBBB” = Unavailable data
056-059	X(04)	AN	PURCHASE CUT-OFF TIME, in HHMM format; values include: “BBBB” = Unavailable data
060-063	X(04)	AN	REDEMPTION CUT-OFF TIME, in HHMM format; values include: “BBBB” = Unavailable data
064-080	9(09)v9(08)	N	LAST PRICE

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POSITION	PICTURE	TYPE	DESCRIPTION
081-081	X(01)	AN	LAST PRICE SIGN; values include: “+” = Positive “ <b>B</b> ” = Unavailable or Zero Value
082-089	9(08)	N	LAST PRICE DATE, in CCYYMMDD format
090-115	X(26)	AN	FUND FAMILY NAME
116-116	X(01)	AN	SHARE CLASS; values include: “A” through “Z” “ <b>B</b> ” = Not applicable or available
117-136	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 1
137-156	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 2
157-176	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 3
177-196	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 4
197-216	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 5
217-236	X(20)	AN	MUTUAL FUND DESCRIPTION LINE 6
237-237	X(01)	AN	EXCHANGE ELIGIBLE INDICATOR; values include: “Y” = Yes “N” = No (default)
238-238	X(01)	AN	TRADE STATUS; values include: “Y” = CUSIP Trade Eligible for the IBD “N” = CUSIP Non Trade Eligible for the IBD
239-258	X(20)	AN	CUSTOMER COMMENTS
259-259	X(01)	AN	OFFSHORE INDICATOR; values include: “O” = Offshore “ <b>B</b> ” = Domestic
260-260	X(01)	AN	OFFSHORE PROCESSING INDICATOR; values include: “N” = NCSS “D” = Direct to Fund “F” = FundSettle “A” = Direct to Fund and FundSettle “ <b>B</b> ” = N/A
261-261	X(01)	AN	DEALER AGREEMENT REQUIRED FOR LOAD TRADES; values include: “Y” = Yes “N” = No
262-262	X(01)	AN	DEALER AGREEMENT REQUIRED FOR NO-LOAD TRADES; values include: “Y” = Yes “N” = No
263-263	X(01)	AN	DEALER AGREEMENT REQUIRED FOR LOAD TRANSFERS; values include: “Y” = Yes “N” = No

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POSITION	PICTURE	TYPE	DESCRIPTION
264-264	X(01)	AN	DEALER AGREEMENT REQUIRED FOR NO-LOAD TRANSFERS; values include: “Y” = Yes “N” = No
265-265	X(01)	AN	AS/OF INDICATOR; values include: “Y” = Eligible “N” = Not Eligible
266-268	9(03)	N	AS/OF DAYS; Number of calendar days prior that the fund permits the use of “As/Of” transactions through FundServ
269-269	X(01)	AN	POST SETTLE CANCEL INDICATOR; values include: “Y” = Eligible “N” = Not Eligible “ <b>B</b> ” = Not applicable
270-272	9(03)	N	POST SETTLE CANCEL DAYS; Number of calendar days prior that the fund permits the use of “Post Settle Cancel” transactions through FundServ
273-283	9(09)v9(02)	N	POST SETTLE MAXIMUM DOLLAR AMOUNT; Maximum dollar amount up to which the fund permits the use of post settle cancels through FundServ
284-301	9(16)v9(02)	N	MINIMUM INITIAL PURCHASE AMOUNT; zeroes equal no minimum enforced
302-319	9(16)v9(02)	N	MINIMUM SUBSEQUENT PURCHASE AMOUNT; zeroes equal no minimum enforced
320-337	9(16)v9(02)	N	MAXIMUM INITIAL PURCHASE AMOUNT; zeroes equal no maximum enforced
338-355	9(16)v9(02)	N	MAXIMUM SUBSEQUENT PURCHASE AMOUNT; zeroes equal no maximum enforced
356-356	X(01)	AN	For Pershing Internal Use
357-357	X(01)	AN	OMNIBUS INDICATOR; values include: “Y” = Yes “N” = No; not omnibus
358-358	X(01)	AN	TENDER INDICATOR; values include: “Y” = Yes “N” = No
359-359	X(01)	AN	FUNDVEST 200 ELIGIBLE (top 200 FundVest funds); values include: “Y” = Yes; FundVest eligible “N” = No; not FundVest eligible
360-360	X(01)	AN	SURCHARGE; values include: “Y” = Yes; Fund has surcharge fee “N” = No; Fund does not have surcharge fee
361-363	X(03)	AN	CURRENCY; issue currency of the Fund and how traded at Pershing; see Appendix N for values

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POSITION	PICTURE	TYPE	DESCRIPTION
364-364	X(01)	AN	RETIREMENT PLAN NETWORK (RPN) ELIGIBLE INDICATOR; values include (effective 4 <sup>th</sup> Q, 2014): “Y” = RPN eligible “N” = Not RPN eligible
Booking Entities Restricted from Trading This Fund			
365-365	X(01)	AN	TRADING RESTRICTED BY BOOKING ENTITIES; values: “Y” = Yes, trading is restricted by Booking Entity “N” = No; trading is not restricted by Booking Entity
If the answer to the above field is Yes, then the following fields are valid:			
366-366	X(01)	AN	BNY Mellon (BNYM; Bank Custody); values include: “Y” = Restricted “N” = Not Restricted (eligible for trading) “ <b>B</b> ” = Not applicable
367-367	X(01)	AN	Pershing LLC (PLLC; Brokerage); see position 366 for values
368-368	X(01)	AN	Pershing Australia (PSAL; Brokerage); see position 366 for values
369-369	X(01)	AN	Pershing Canada (PSCL; Brokerage); see position 366 for values
370-370	X(01)	AN	Pershing London (PSLL; Brokerage); see position 366 for values
371-371	X(01)	AN	<i>Reserved for Future Booking Entity</i>
372-372	X(01)	AN	<i>Reserved for Future Booking Entity</i>
373-373	X(01)	AN	<i>Reserved for Future Booking Entity</i>
374-374	X(01)	AN	<i>Reserved for Future Booking Entity</i>
375-375	X(01)	AN	<i>Reserved for Future Booking Entity</i>
376-385	X(10)	AN	<i>Reserved</i>
386-389	X(04)	AN	PROGRAM NAME CODE, effective 1 <sup>st</sup> Q 2019, TBA; values include: “TCFO” = Ticket charge free offshore “ <b>B B B B</b> ” = Not applicable
390-499	X(110)	AN	Not Used
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record

# 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 "MUTUAL <b>B</b> FUNDS <b>B</b> DESC <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"
072-083	X(12)	AN	Literally " <b>B</b> ENDS <b>B</b> HERE <b>B</b> "
084-105	X(22)	AN	Literally "TOTAL <b>B</b> DETAIL <b>B</b> RECORDS <b>B</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