

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND DESCRIPTIONS

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 ” (beginning of Pershing file)
019 - 036	X(18)	AN	Literally “MUTUAL B FUNDS B DESC 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 - 499	X(395)	AN	Not Used
500 - 500	X(01)	AN	Literally “A”; indicates the end of the header record

PERSHING STANDARD FILE LAYOUTS

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)

PERSHING STANDARD FILE LAYOUTS

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

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
081 - 081	X(01)	AN	LAST PRICE SIGN; values include: “+” = Positive “ 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 ” = 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: “Y” = Offshore “N” = Domestic
260 - 260	X(01)	AN	OFFSHORE PROCESSING INDICATOR; values include: “N” = NSCC “D” = Direct to Fund “F” = FundSettle “A” = Direct to Fund and FundSettle “ 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

PERSHING STANDARD FILE LAYOUTS

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 ” = 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	ELIGIBLE FOR CROSS FUND FAMILY EXCHANGES; values include: “Y” = Yes “N” = No
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

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
361 - 363	X(03)	AN	CURRENCY; issue currency of the Fund and how traded at Pershing; see Appendix N for values
364 - 364	X(01)	AN	RETIREMENT PLAN NETWORK (RPN) ELIGIBLE INDICATOR; values include (effective 4 th 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” = 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 - 395	X(10)	AN	FUND SHARE CLASS; effective late 2 nd Q, 2020
396 - 396	X(01)	AN	12b-1 INDICATOR (denotes whether the fund has a 12b-1 plan), (effective 2 nd Q, 2021); values include: “Y” = Yes “N” = No “B” = Not applicable or populated
397 - 499	X(103)	AN	Not Used
500 - 500	X(01)	AN	Literally “X”; indicates the end of detail record A

PERSHING STANDARD FILE LAYOUTS

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 "MUTUAL B FUNDS B DESC 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 - 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 - 499	X(384)	AN	Not Used
500 - 500	X(01)	AN	Literally "Z"; indicates the end of the trailer record