

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: MUTUAL FUND PROSPECTUS FULFILLMENT

### GENERAL INFORMATION

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

### DESCRIPTION

The Daily Mutual Fund Prospectus Fulfillment file (MFPPF) contains the details of each mutual fund trade sent to Pershing’s fulfillment vendor and the status of each item once received and acknowledged by the vendor. Once a completed status is received (e.g., Mailed, Closed, etc.), items are dropped from the file.

Record B has been added that includes mailing and email addresses for items with status of mailed, with Status = “05” or “08.” This is an optional record that needs to be requested.

### 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> PERSHING <b>B</b> ” (beginning of Pershing file)
019 - 036	X(18)	AN	Literally “MF <b>B</b> PROSPECT <b>B</b> FULFIL”
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 - 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 = "MP"
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	CUSIP
021 - 040	X(20)	AN	SECURITY DESCRIPTION LINE 1
041 - 060	X(20)	AN	SECURITY DESCRIPTION LINE 2
061 - 069	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
070 - 101	X(32)	AN	ACCOUNT REGISTRATION LINE 1
102 - 133	X(32)	AN	ACCOUNT REGISTRATION LINE 2
134 - 141	X(08)	AN	TRADE DATE, in MMDDCCYY format
142 - 149	X(08)	AN	PROCESS DATE, In MMDDCCYY format
150 - 151	X(02)	AN	PRIMARY STATUS CODE (as provided by Broadridge - space is a valid value); see Appendix Z for values
152 - 154	9(03)	AN	AGE; number of business days an item has been open
155 - 162	X(08)	AN	STATUS DATE (as provided by Broadridge - space is a valid value), in MMDDCCYY format
163 - 163	X(01)	AN	SECURITY CATEGORY; values include: "E" = ETF "M" = Mutual Fund "P" = Mutual Fund Presale "S" = Systematic Investment "U" = UIT
164 - 169	X(06)	AN	COMBINED MAIL/PACKAGE ID
170 - 170	X(01)	AN	SECONDARY MAILING STATUS CODE; see Appendix Z for values
171 - 249	X(79)	AN	Not Used
250 - 250	X(01)	AN	Literally "X"; indicates the end of detail record A

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## DETAIL RECORD B (OPTIONAL; EFFECTIVE LATE 4<sup>TH</sup> Q, 2015)

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "MP"
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	CUSIP
021 - 060	X(40)	AN	Not Used
061 - 069	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
070 - 101	X(32)	AN	ACCOUNT REGISTRATION LINE 3
102 - 133	X(32)	AN	ACCOUNT REGISTRATION LINE 4
134 - 165	X(32)	AN	ACCOUNT REGISTRATION LINE 5
166 - 197	X(32)	AN	ACCOUNT REGISTRATION LINE 6
198 - 247	X(50)	AN	E-MAIL ADDRESS, if e-mailed (STATUS = 09)
248 - 249	X(02)	AN	Not Used
250 - 250	X(01)	AN	Literally "X"; indicates the end of detail record B

## 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 "MF <b>B</b> PROSPECT <b>B</b> FULFIL"
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 - 249	X(134)	AN	Not Used
250 - 250	X(01)	AN	Literally "Z"; indicates the end of the trailer record