PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND PROSPECTUS FULFILLMENT

GENERAL INFORMATION

File Frequency: Daily

Record Size: 250 characters

Form Name: MFPF

DESCRIPTION

The Daily Mutual Fund Prospectus Fulfillment file (MFPF) 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.

A new, optional, B record has been added that includes mailing and email addresses for items with status of mailed, with Status = "05" or "08."

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOFƀƀƀƀƀPERSHINGƀ" (beginning of Pershing file)
019-036	X(18)	AN	Literally "MFƀPROSPECTƀFULFIL"
037-046	X(10)	AN	Literally "ƀDATAƀOFƀƀ"
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "ƀTOƀREMOTEƀ"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally "ƀBEGINSƀHEREƀƀ"
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

Pershing Proprietary Information
© 2016 Pershing LLC

MFPF
Page 1

Mutual Fund
Prospectus Fulfillment 12-16

PERSHING STANDARD FILE LAYOUTS

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), Base Account (5), Check Digit (1)
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
143-149	X(08)	AN	PROCESS DATE, In MMDDCCYY format
150-151	X(02)	AN	STATUS (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; values include: "1" = Material exception "2" = High speed damage "3" = External exception "4" = Ordering "5" = E-Fail, E-Delivery exception "6" = Mail Date P&P
171-249	X(79)	AN	Not Used
250-250	X(01)	AN	Literally "X"; indicates the end of detail record A

Pershing Proprietary Information
© 2016 Pershing LLC

MFPF
Page 2

Mutual Fund
Prospectus Fulfillment 12-16

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B (OPTIONAL EFFECTIVE LATE 4TH 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), Base Account (5), Check Digit (1)
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 "EOFƀƀƀƀƀPERSHINGƀ" (end of Pershing file)
019-036	X(18)	AN	Literally "MFƀPROSPECTƀFULFIL"
037-046	X(10)	AN	Literally "ƀDATAƀOFƀƀ"
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "ƀTOƀREMOTEƀ"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-083	X(12)	AN	Literally "ƀENDSƀHERE.ƀ"
084-105	X(22)	AN	Literally "TOTALƀDETAILƀRECORDS:ƀ"
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

Pershing Proprietary Information
© 2016 Pershing LLC

MFPF
Page 3

Mutual Fund
Prospectus Fulfillment 12-16