

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "MF"
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004 - 009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010 - 019	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (6), Type (1); values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
020 - 028	X(09)	AN	CUSIP® NUMBER
029 - 048	X(20)	AN	CUSIP DESCRIPTION
049 - 080	X(32)	AN	ACCOUNT NAME
081 - 083	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
084 - 093	9(10)	N	IP HOME PHONE NUMBER (area code + phone number)
094 - 103	9(10)	N	IP BUSINESS PHONE NUMBER (area code + phone number)
104 - 104	X(01)	AN	TRADE STATUS; values include: "I" = Open Order "O" = Confirmed Trade "P" = Processed Trade "A" = Approved "N" = Pending "R" = Reject "b" = Default; not used
105 - 110	X(06)	AN	REFERENCE NUMBER
111 - 111	X(01)	AN	MUTUAL FUND TRANSACTION TYPE; values include: "Y" = XBUY - Exchange Order or Exchange Trade Buy "L" = XSELL - Exchange Order or Exchange Trade Sell "B" = BUY - Trade or Order Buy "S" = SELL - Trade or Order Sell "X" = XCHN - Exchange "b" = Default; not used
112 - 122	9(07)v9(04)	N	SHARE QUANTITY
123 - 123	X(01)	AN	SHARE QUANTITY SIGN; values include: "-" = Negative "+" = Positive "b" = Unavailable or Zero Value
124 - 138	9(09)v9(06)	N	DOLLAR AMOUNT PAYABLE
139 - 141	X(03)	AN	Not Used

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POSITION	PICTURE	TYPE	DESCRIPTION
142 - 142	X(01)	AN	DOLLAR AMOUNT PAYABLE SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
143 - 157	9(09)v9(06)	N	COMMISSION
158 - 160	X(03)	AN	Not Used
161 - 161	X(01)	AN	COMMISSION SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
162 - 162	X(01)	AN	CASH REINVEST INDICATOR; values include: “D” = Registered under Pershing LLC, distribution paid in cash “U” = Registered under Pershing LLC, distribution reinvested “#” = Registered under Pershing LLC, dividend reinvested. LT CAP Gain and CAP Gain paid in cash “\$” = Registered under Pershing LLC, dividend paid in cash. LT CAP CAP Gain reinvested “C” = Held under broker dealer’s name with customer on registration, distribution paid in cash “G” = Held under broker dealer’s name with customer on registration, distribution reinvested “K” = Held under broker dealer’s name with customer on registration, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested “O” = Held under broker dealer’s name with customer on registration, dividend reinvested. LT CAP Gain and ST CAP paid in cash “B” = Customer received hard copy, distribution paid in cash “F” = Customer received hard copy, distribution reinvested “I” = Customer received hard copy, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested “M” = Customer received hard copy, dividend reinvested. LT CAP Gain and ST CAP Gain reinvested “ b ” = Default; not used
163 - 163	X(01)	AN	OVER/UNDER PRICE INDICATOR; values include: “O” = Specific to the fund, on a dollar trade, to round off the trade to the nearest whole share amount over the dollar amount specified “U” = Specific to the fund, on a dollar trade, to round off the trade to the nearest whole share amount under the dollar amount specified “ b ” = Default; not used
164 - 171	9(08)	N	DATE OF DATA, in CCYYMMDD format
172 - 177	X(06)	AN	TIME OF DATA, in HHMISS format

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
178 - 185	X(08)	AN	USER ID
186 - 188	X(03)	AN	IBD NUMBER
189 - 196	X(08)	N	ORDER ENTRY DATE, in CCYYMMDD format
197 - 202	X(06)	AN	ORDER ENTRY TIME, in HHMISS format
203 - 220	9(09)v9(09)	N	NET AMOUNT
221 - 221	X(01)	AN	NET AMOUNT SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
222 - 239	9(08)v9(10)	N	PRICE
240 - 240	X(01)	AN	PRICE SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
241 - 241	X(01)	AN	SOLICIT INDICATOR; values include: “1” = Solicited “2” = Unsolicited “ b ” = Unsolicited
242 - 243	X(02)	AN	SOURCE OF INPUT (SOI); See Appendix P
244-248	v9(05)	N	FUND SALES LOAD PERCENT
244 - 244	X(01)	AN	SHARE CLASS REVIEWED, values include: “Y” = Share class reviewed “N” = Share class not reviewed “ b ” = Not applicable (default)
245 - 245	X(01)	AN	Literally “X”; indicates the end of record A

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B - COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "MF"
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004 - 009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010 - 019	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (6), Type (1); values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
020 - 028	X(09)	AN	CUSIP NUMBER
029 - 088	X(60)	AN	COMMENTS
089 - 089	X(01)	AN	ORDER STATUS; values include: "E" = Executed "P" = Pending "O" = Open "A" = Approved
090 - 097	X(08)	AN	STATUS DATE, in CCYYMMDD format "BBBBBBBB" = Default; not used
098 - 103	X(06)	AN	STATUS TIME, in HHMISS format "BBBBBB" = Default; not used
104 - 104	X(01)	AN	SYSTEMATIC REINVESTMENT SYSTEM (SRS) INDICATOR; values include: "T" = Trade has been processed as an SRS trade "N" = Trade has not been processed as an SRS trade "R" = Reinvest only "A" = Eligible for trade reinvest "B" = Default; not used
105 - 108	X(04)	AN	IP 1 SPLIT ID; space is a valid value
109 - 111	X(03)	AN	IP 1 SPLIT PERCENTAGE; percentages represented range from 1 to 100; space is a valid value
112 - 115	X(04)	AN	IP 2 SPLIT ID; space is a valid value
116 - 118	X(03)	AN	IP 2 SPLIT PERCENTAGE; percentages represented range from 1 to 100; space is a valid value
119 - 126	X(08)	AN	STATUS OPERATOR/USER ID; space is a valid value
127 - 127	X(01)	AN	NAV INDICATOR; values include: "0" = Other "1" = Net Asset Value Transfer "2" = Repurchase "3" = Employee

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“4” = Error Correction “5” = Wrap Fee Account “6” = NAV Commissionable “7” = Commissionable Defined Contribution Plan “8” = Non-Commissionable Defined Contribution Plan “9” = Section 529 - Qualified State Tuition Program “N” or “ b ” = Non-NAV
128 - 128	X(01)	AN	CDSC WAIVER INDICATOR; values include: “1” = Gross “2” = Net “4” = Correction “5” = Death “6” = Disability “7” = Mandatory Distribution “8” = Systematic Withdrawal “9” = Defined Contribution “A” = Hardship “B” = No Commission “N” or “ b ” = No Waiver Requested
129 - 129	X(01)	AN	LOI/ROA INDICATOR; values include: “L” = LOI “R” = ROA “ b ” = No Indicator Requested
130 - 147	9(09)v9(09)	N	LOI/ROA CFRM AMOUNT; dollar value threshold to meet fund breakpoints
148 - 148	X(01)	AN	LOI/ROA CFRM AMOUNT SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
149 - 168	X(20)	AN	ROA LINK ACCOUNT; additional client accounts to aggregate for purpose of meeting stated ROA amount
169 - 176	X(08)	N	LOI DATE, in CCYYMMDD format
177 - 194	9(08)v9(10)	N	CONCESSION AMOUNT
195 - 195	X(01)	AN	CONCESSION AMOUNT SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
196 - 196	X(01)	AN	NTF INDICATOR; values include: “R” = FundVest Trade “M” = FundVest Below Minimum Purchase Trade “S” = Short Term Redemption “N” or “ b ” = Not a FundVest Trade

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POSITION	PICTURE	TYPE	DESCRIPTION
197 - 197	X(01)	AN	EXCHANGE INDICATOR; values include: “Y” = Exchange “N” or “ b ” = Not an Exchange
198 - 198	X(01)	AN	GROSS/NET INDICATOR; values include: “G” or “ b ” = Gross Dollar “N” = Net Dollar
199 - 199	X(01)	AN	FULL INDICATOR; values include: “ b ” = Full Liquidation not Requested “F” = Full Liquidation Requested
200 - 207	X(08)	N	TRADE DATE, in CCYYMMDD format
208 - 215	X(08)	N	SETTLEMENT DATE, in CCYYMMDD format
216 - 216	X(01)	AN	FUND SERV INDICATOR; values include: “Y” = FundServ Eligible “N” = Non-FundServ Eligible
217 - 224	X(08)	N	CONFIRM DATE, in CCYYMMDD format
225 - 225	X(01)	AN	LOAD INDICATOR; values include: “L” = Front End Load “B” = Back End Load “D” = Dual Load “N” = No Load
226 - 243	9(09)v9(09)	N	DEFERRED SALES CHARGE
244 - 244	X(01)	AN	DEFERRED SALES CHARGE SIGN; values include: “-” = Negative “+” = Positive “ b ” = Unavailable or Zero Value
245-249	v9(05)	N	DEALER CONCESSION PERCENTAGE
245 - 245	X(01)	AN	Literally “X”; indicates the end of record B

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD C - RULES

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 002	X(02)	AN	TRANSACTION CODE = "MF"
003 - 003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004 - 009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010 - 019	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (6), Type (1); values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
020 - 028	X(09)	AN	CUSIP NUMBER
029 - 030	9(02)	AN	RULE NUMBER
031 - 110	X(80)	AN	RULE MESSAGE
111 - 128	9(09)v9(09)	N	LOI/ROA CALCULATED AMOUNT; Dollar value threshold to meet fund breakpoints
129 - 129	X(01)	AN	LOI/ROA CALCULATED AMOUNT SIGN; values include: "-" = Negative "+" = Positive
130 - 147	9(09)v9(09)	N	LOI/ROA MANUALLY ENTERED AMOUNT; Dollar value threshold to meet fund breakpoint
148 - 148	X(01)	AN	LOI/ROA MANUALLY ENTERED AMOUNT SIGN; values include: "-" = Negative "+" = Positive
149 - 149	X(01)	AN	DIVIDEND REINVESTMENT INDICATOR; values include: "R" = Reinvestment "C" = Cash
150 - 150	X(01)	AN	CAPITAL GAIN INDICATOR; values include: "R" = Reinvestment "C" = Cash
151 - 151	X(01)	AN	DELIVERY INSTRUCTIONS; values include: "S" = Street Name (held at Pershing) "P" = Physical certificate mailed to client by fund "C" = Client name held directly at fund
152 - 171	X(20)	AN	FUND ACCOUNT NUMBER
172 - 185	X(14)	AN	LAST ACTION INDICATOR; values include: "CREATED B HHMM B B " = Time created "UPDATED B HHMM B B " = Time updated "CONFIRMED B HHMM" = Time confirmed

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“CANC/CORR B HHMM” = Time cancelled “DELETED B HHMM B B ” = Time deleted
186 - 189	X(04)	AN	FEE WAIVER INDICATOR, effective 1 st Q, 2019, TBA; values include: “TFWV” = Transaction fee waiver “NTFW” = No transaction fee waiver “ B B B B ” = Not applicable
190 - 199	X(10)	AN	ERROR ACCOUNT NUMBER, for cancels and corrections; see position 10 for account format; effective 4 th Q, 2020, TBA
200 - 249	X(50)	AN	Not Used
250 - 250	X(01)	AN	Literally “X”; indicates the end of record C

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 “MF B TRADE B LOGS B B B B 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 - 082	X(11)	AN	Literally “ B ENDS B HERE.”
083 - 105	X(23)	AN	Literally “TOTAL B DETAIL B RECORDS: 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