

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND TRADES

GENERAL INFORMATION

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

DESCRIPTION

The Mutual Fund Trades file (MFTD) is created daily, reflecting the Mutual Fund Daily Trade Activity Log report. The Mutual Fund Trade Activity Log report provides the mutual fund trading desk a daily report that contains all the mutual fund orders that were routed to the MIPMASTR file along with their present statuses and other details. The file is created in parallel to the creation of the report and contains a duplicate of the information fields from the report. There is a possibility of receiving multiple “C” records for each transaction.

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 “MF B TRADE B LOGS B B B B B B B B B B B B 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 - 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 - 249	X(145)	AN	Not Used
250 - 250	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 = "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

PERSHING STANDARD FILE LAYOUTS

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

(cont.)

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

PERSHING STANDARD FILE LAYOUTS

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 (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“CANC/CORR B HMM” = Time cancelled “DELETED B HMM 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 - 198	X(09)	AN	ERROR ACCOUNT NUMBER, for cancels and corrections; effective 4 th Q, 2020, TBA
199 - 199	X(01)	AN	<i>Reserved</i>
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