

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR:      ADVISOR MODEL INFORMATION**

## GENERAL INFORMATION

File Frequency:    Daily  
Record Size:        750 characters  
Form Name:         MIAM

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## DESCRIPTION

The Advisor Model file (MIAM) is created daily. This file contains the customized advisor-owned models and the accounts assigned to each.

This is an IBD-level file, and available only to customers of Managed Investments.

Within a given Advisor Model (A record), there can be multiple Model Accounts (Record B).

Additionally, within a given Advisor Model, there can also be multiple Classification Allocations (C Record).

Within each Classification Allocation there will be multiple Investment Allocations (Record D). These are all identified by secondary sequence numbers.

The files main sequence number in position 004-011 will increment with each successive Advisor Model (Record A).

This file contains header and trailer records that confirm the beginning and end of the file, the date it was created, and the file's total number of records.

A full file is created nightly.

The symbol “**B**” is used on our standard files to represent spaces.

New, upcoming fields/records and changes to existing fields are **highlighted in blue**.

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# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT SPECIFICATIONS

### HEADER RECORD

| POSITION  | PICTURE | TYPE | DESCRIPTION  |
|-----------|---------|------|--|
| 001 - 018 | X(18)   | AN   | Literally "BOF <b>B B B B B B</b> PERSHING <b>B</b> " (beginning of Pershing file) |
| 019 - 036 | X(18)   | AN   | Literally "ADVISOR <b>B</b> MODEL <b>B</b> INFO"                                   |
| 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   | Literally = "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 - 749 | X(645)  | AN   | Not Used   |
| 750 - 750 | X(01)   | AN   | Literally "A"; indicates the end of the header record                              |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A – ADVISOR MODEL INFORMATION

| POSITION  | PICTURE | TYPE | DESCRIPTION   |
|-----------|---------|------|---|
| 001 - 002 | X(02)   | AN   | TRANSACTION CODE = “M3”   |
| 003 - 003 | X(01)   | AN   | RECORD INDICATOR VALUE = “A”  |
| 004 - 011 | 9(08)   | N    | RECORD ID SEQUENCE NUMBER; begins with “00000001”   |
| 012 - 014 | X(03)   | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER  |
| 015 - 015 | X(01)   | AN   | Not Used  |
| 016 - 025 | X(10)   | AN   | RESEARCH PROVIDER CODE  |
| 026 - 037 | X(12)   | AN   | ADVISOR MODEL ID  |
| 038 - 293 | X(256)  | AN   | ADVISOR MODEL NAME  |
| 294 - 549 | X(256)  | AN   | ADVISOR MODEL LONG NAME   |
| 550 - 561 | X(12)   | AN   | FIRM MODEL ID   |
| 562 - 567 | X(06)   | AN   | FIRM MODEL SHORT NAME   |
| 568 - 585 | X(18)   | AN   | ADVISOR CODE  |
| 586 - 588 | 9(03)   | N    | ADVISOR ROLE  |
| 589 - 589 | X(01)   | AN   | FIRM DEFAULT MODEL; values include:<br>“Y” = Default model<br>“N” = Not default model     |
| 590 - 594 | 9(05)   | N    | VERSION   |
| 595 - 658 | X(64)   | AN   | VERSION DESCRIPTION; first 64 characters  |
| 659 - 659 | X(01)   | AN   | TAX EXEMPT MODEL; values include:<br>“Y” = Tax exempt model<br>“N” = Not tax exempt model |
| 660 - 723 | X(64)   | AN   | BENCHMARK NAME  |
| 724 - 749 | X(26)   | AN   | Not Used  |
| 750 - 750 | X(01)   | AN   | Literally “X”; indicates the end of detail record A                                       |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B – MODEL ACCOUNTS (MULTIPLE ITERATIONS)

| POSITION  | PICTURE | TYPE | DESCRIPTION   |
|-----------|---------|------|---|
| 001 - 002 | X(02)   | AN   | TRANSACTION CODE = “M3”   |
| 003 - 003 | X(01)   | AN   | RECORD INDICATOR VALUE = “B”  |
| 004 - 011 | 9(08)   | N    | RECORD ID SEQUENCE NUMBER; begins with “00000001”   |
| 012 - 014 | X(03)   | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER  |
| 015 - 015 | X(01)   | AN   | Not Used  |
| 016 - 025 | X(10)   | AN   | RESEARCH PROVIDER CODE  |
| 026 - 037 | X(12)   | AN   | ADVISOR MODEL ID  |
| 038 - 043 | 9(06)   | N    | SECONDARY SEQUENCE NUMBER FOR ACCOUNT; begins with 000001   |
| 044 - 075 | X(32)   | AN   | ACCOUNT ID  |
| 076 - 079 | X(04)   | AN   | CUSTODIAN CODE; effective 3 <sup>rd</sup> Q, 2021; values include; all other values IBD-driven:<br>“PER <b>b</b> ” = Pershing |
| 080 - 749 | X(670)  | AN   | Not Used  |
| 750 - 750 | X(01)   | AN   | Literally “X”; indicates the end of detail record B   |

## DETAIL RECORD C – CLASSIFICATION ALLOCATIONS (MULTIPLE ITERATIONS)

| POSITION  | PICTURE     | TYPE | DESCRIPTION  |
|-----------|-------------|------|--|
| 001 - 002 | X(02)       | AN   | TRANSACTION CODE = “M3”  |
| 003 - 003 | X(01)       | AN   | RECORD INDICATOR VALUE = “C”                                     |
| 004 - 011 | 9(08)       | N    | RECORD ID SEQUENCE NUMBER; begins with “00000001”                |
| 012 - 014 | X(03)       | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER                           |
| 015 - 015 | X(01)       | AN   | Not Used   |
| 016 - 025 | X(10)       | AN   | RESEARCH PROVIDER CODE   |
| 026 - 037 | X(12)       | AN   | ADVISOR MODEL ID   |
| 038 - 043 | 9(06)       | N    | SECONDARY SEQUENCE NUMBER FOR CLASSIFICATION; begins with 000001 |
| 044 - 055 | X(12)       | AN   | CLASSIFICATION ID  |
| 056 - 067 | X(12)       | AN   | PARENT CLASSIFICATION ID, where applicable                       |
| 068 - 070 | 9(03)       | N    | CLASSIFICATION LEVEL NUMBER                                      |
| 071 - 102 | X(32)       | AN   | CLASSIFICATION LEVEL NAME  |
| 103 - 358 | X(256)      | AN   | CLASSIFICATION NAME  |
| 359 - 376 | 9(09)v9(09) | N    | ALLOCATION PERCENTAGE  |
| 377 - 749 | X(373)      | AN   | Not Used   |
| 750 - 750 | X(01)       | AN   | Literally “X”; indicates the end of detail record C              |

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D – INVESTMENT ALLOCATIONS (MULTIPLE ITERATIONS)

| POSITION  | PICTURE     | TYPE | DESCRIPTION  |
|-----------|-------------|------|--|
| 001 - 002 | X(02)       | AN   | TRANSACTION CODE = “M3”  |
| 003 - 003 | X(01)       | AN   | RECORD INDICATOR VALUE = “D”   |
| 004 - 011 | 9(08)       | N    | RECORD ID SEQUENCE NUMBER; begins with “00000001”  |
| 012 - 014 | X(03)       | AN   | INTRODUCING BROKER DEALER (IBD) NUMBER   |
| 015 - 015 | X(01)       | AN   | Not Used   |
| 016 - 025 | X(10)       | AN   | RESEARCH PROVIDER CODE   |
| 026 - 037 | X(12)       | AN   | ADVISOR MODEL ID   |
| 038 - 043 | 9(06)       | N    | SECONDARY SEQUENCE NUMBER FOR CLASSIFICATION; begins with 000001                                     |
| 044 - 055 | X(12)       | AN   | CLASSIFICATION ID  |
| 056 - 061 | 9(06)       | N    | SECONDARY SEQUENCE NUMBER FOR INVESTMENT; begins with 000001   |
| 062 - 073 | X(12)       | AN   | INVESTMENT ID  |
| 074 - 074 | X(01)       | AN   | INVESTMENT TYPE; values include:<br>“C” = CUSIP<br>“M” = SMA CODE                                    |
| 075 - 086 | X(12)       | AN   | CUSIP/SMA CODE   |
| 087 - 342 | X(256)      | AN   | INVESTMENT DESCRIPTION   |
| 343 - 360 | 9(09)v9(09) | N    | INVESTMENT ALLOCATION PERCENTAGE   |
| 361 - 380 | X(20)       | AN   | SLEEVE CODE; applies only to UMA models (trading system specific); effective 4 <sup>th</sup> Q, 2020 |
| 381 - 749 | X(369)      | AN   | Not Used   |
| 750 - 750 | X(01)       | AN   | Literally “X”; indicates the end of detail record D  |

# PERSHING STANDARD FILE LAYOUTS

## 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 "ADVISOR <b>B</b> MODEL <b>B</b> INFO"                             |
| 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 - 749 | X(634)  | AN   | Not Used   |
| 750 - 750 | X(01)   | AN   | Literally "Z"; indicates the end of the trailer record                       |