

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: ADVISOR MODEL INFORMATION

GENERAL INFORMATION

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

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 “**L**” is used on our standard files to represent spaces.

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FILE LAYOUT SPECIFICATIONS

HEADER RECORD

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

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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: “Y” = Default model “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: “Y” = Tax exempt model “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

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 - 749	X(674)	AN	Not Used
750 - 750	X(01)	AN	Literally “X”; indicates the end of detail record B

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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

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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: “C” = CUSIP “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 th Q, 2020
381 - 749	X(369)	AN	Not Used
750 - 750	X(01)	AN	Literally “X”; indicates the end of detail record D

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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 "ADVISOR B MODEL B INFO"
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 - 083	X(12)	AN	Literally " B ENDS B HERE B "
084 - 105	X(22)	AN	Literally "TOTAL B DETAIL B RECORDS: 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