

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: FIRM MODEL INFORMATION

GENERAL INFORMATION

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

DESCRIPTION

The Firm Model file (MIFM) is created daily. This file contains the sponsor-owned models that define the parameters for advisor model customization.

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

Within a given Firm Model (A Record), there can be multiple Classification Allocations (Record B).

Within each Classification Allocation (B Record), there can be multiple Position Allocations (C Record).

Within each Position Allocation (C Record), there can be multiple Investments (D Record).

These are all identified by secondary sequence numbers.

The files main sequence number in position 004-011 will increment as the Firm Model changes (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.

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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 B B PERSHING B " (beginning of Pershing file)
019-036	X(18)	AN	Literally "FIRM B MODEL B INFO 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	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"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally "REFRESHED" or "UPDATED B B "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "A"; indicates the end of the header record

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DETAIL RECORD A – FIRM MODEL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “M4”
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	FIRM MODEL ID
038-043	X(06)	AN	FIRM MODEL SHORT NAME
044-299	X(256)	AN	FIRM MODEL LONG NAME
300-307	9(08)	N	EFFECTIVE DATE, in CCYYMMDD format
308-371	X(64)	AN	RISK PROFILE
372-389	9(09)v9(09)	N	MINIMUM SCORE RANGE
390-390	X(01)	AN	MINIMUM SCORE RANGE SIGN; values include: “+” = Positive range “-” = Negative range
391-408	9(09)v9(09)	N	MAXIMUM SCORE RANGE
409-409	X(01)	AN	MAXIMUM SCORE RANGE SIGN; values include: “+” = Positive range “-” = Negative range
410-414	9(05)	N	VERSION
415-478	X(64)	AN	VERSION DESCRIPTION; first 64 characters
479-479	X(01)	AN	OPEN TO NEW INVESTORS; values include: “Y” = Yes; open to new investors “N” = No; not open to new investors
480-497	9(16)v9(02)	N	MINIMUM INVESTMENT AMOUNT
498-515	9(16)v9(02)	N	MAXIMUM INVESTMENT AMOUNT
516-518	9(03)	N	PRIMARY CLASSIFICATION LEVEL NUMBER
519-550	X(32)	AN	PRIMARY CLASSIFICATION LEVEL NAME
551-614	X(64)	AN	BENCHMARK NAME
615-749	X(135)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of detail record A

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DETAIL RECORD B – CLASSIFICATION ALLOCATIONS (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “M4”
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	FIRM 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
377-394	9(09)v9(09)	N	MINIMUM RANGE PERCENTAGE
395-412	9(09)v9(09)	N	MAXIMUM RANGE PERCENTAGE
413-413	X(01)	AN	PRIMARY/SECONDARY INDICATOR; values include: “P” = Primary “S” = Secondary
414-749	X(336)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of detail record B

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DETAIL RECORD C – POSITION ALLOCATIONS (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “M4”
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	FIRM 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 ALLOCATION; begins with 000001
062-079	9(09)v9(09)	N	ALLOCATION PERCENTAGE
080-097	9(09)v9(09)	N	MINIMUM RANGE PERCENTAGE
098-115	9(09)v9(09)	N	MAXIMUM RANGE PERCENTAGE
116-116	X(01)	AN	PRIMARY/SECONDARY INDICATOR; values include: “P” = Primary “S” = Secondary
117-749	X(633)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of detail record C

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DETAIL RECORD D – INVESTMENTS (MULTIPLE ITERATIONS)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “M4”
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	FIRM 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 ALLOCATION; begins with 000001
062-067	9(06)	N	SECONDARY SEQUENCE NUMBER FOR INVESTMENT; begins with 000001
068-079	X(12)	AN	INVESTMENT ID
080-080	X(01)	AN	GRANDFATHERED INDICATOR; values include: “Y” = Investment is grandfathered “N” = Investment is not grandfathered
081-088	9(08)	N	GRANDFATHERED EXPIRATION DATE, in CCYYMMDD format
089-089	X(01)	AN	TAX EXEMPT INDICATOR; values include: “Y” = Investment is tax exempt “N” = Investment is not tax exempt
090-090	X(01)	AN	INVESTMENT TYPE; values include: “C” = CUSIP “M” = SMA CODE
091-102	X(12)	AN	CUSIP/SMA CODE
103-358	X(256)	AN	INVESTMENT DESCRIPTION
359-749	X(391)	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 PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "FIRM B MODEL B INFO 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"
072-083	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
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally "REFRESHED" or "UPDATED B B "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record