

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: ENROLLMENTS**

## GENERAL INFORMATION

File Frequency: Daily  
Record Size: 500 characters  
Form Name: MTEN (Update) / RTEN (Refresh)

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## DESCRIPTION

The Enrollment file (MTEN) is created after the close of business each day. The file reflects subscriber enrollment information activity. RTEN is a full file, which contains only records B, C, D and E, and runs on Monday mornings, on request. It is recommended that RTEN be received at the outset, one time, to establish a baseline of information.

There is no mandatory record; the file is sorted by record type. All A records will be displayed first, followed by all B Records, C Records, D Records and E Records.

Records A, B & E are sorted by SUBSCRIBER ID; Records C & D are sorted by ACCOUNT NUMBER.

Record A – contains Subscriber Session History Details (not available for RTEN)

Record B – contains Subscriber E-Mail Information

Record C – contains Subscriber Enrollment Information

Record D – contains Subscriber De-Enrollment Information

Record E – contains New Subscriber Creation Information

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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 "NXC <b>B</b> USER <b>B</b> REPORT <b>B B B</b> "
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"
072-085	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"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED or updated: "REFRESHED" for RTEN, spaces for MTEN
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally "A"; indicates the end of the header record

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A – SUBSCRIBER SESSION HISTORY DETAILS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “EN”
003-003	X(01)	AN	RECORD INDICATOR VALUE = “A”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-026	X(15)	AN	SUBSCRIBER ID
027-055	X(29)	AN	Not Used
056-058	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
059-059	X(01)	AN	Not Used
060-062	X(03)	AN	OFFICE
063-067	X(05)	AN	Not Used
SESSION HISTORY DETAILS			
068-082	X(15)	AN	CLIENT IP ADDRESS TEXT
083-108	X(26)	AN	LOGIN TIMESTAMP, in CCYYMMDD <b>B</b> HH:MI:SS <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> format
109-134	X(26)	AN	LOGOUT TIMESTAMP, in CCYYMMDD <b>B</b> HH:MI:SS <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> format
135-284	X(150)	AN	REASON FOR LOGIN FAILURE
285-499	X(215)	AN	Not Used
500-500	X(01)	AN	Literally “X;” indicates the end of the Record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B – SUBSCRIBER E-MAIL INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “EN” = MTEN (Update) “RN” = RTEN (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “B”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-026	X(15)	AN	SUBSCRIBER ID
027-055	X(29)	AN	Not Used
056-058	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
059-059	X(01)	AN	Not Used
060-062	X(03)	AN	OFFICE
063-067	X(05)	AN	Not Used
SUBSCRIBER E-MAIL INFORMATION			
068-167	X(100)	AN	E-MAIL ADDRESS TEXT
168-171	9(04)	N	E-MAIL ADDRESS SEQUENCE
172-197	X(26)	AN	UPDATE TIMESTAMP
198-223	X(26)	AN	SUBSCRIBER CREATION TIMESTAMP, in CCYYMMDD <sup>B</sup> HH:MI:SS <sup>B</sup> format
224-499	X(276)	AN	Not Used
500-500	X(01)	AN	Literally “X;” indicates the end of the Record B

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD C – SUBSCRIBER ENROLLMENT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “EN” = MTEN (Update) “RN” = RTEN (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “C”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-026	X(15)	AN	Not Used
027-046	X(20)	AN	USER ID
047-055	X(09)	AN	ACCOUNT NUMBER; including office (3), base account (5), check digit (1)
056-058	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
059-059	X(01)	AN	Not Used
060-062	X(03)	AN	OFFICE
063-063	X(01)	AN	Not Used
064-066	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
067-067	X(01)	AN	Not Used
ENROLLMENT INFORMATION			
068-075	9(08)	N	ENROLLMENT DATE, in CCYYMMDD format
076-120	X(45)	AN	ACCOUNT LEVEL E-MAIL ADDRESS
121-180	X(60)	AN	ACCOUNT TITLE (first 60 characters)
181-195	X(15)	AN	TELEPHONE NUMBER
196-199	X(04)	AN	TYPE; values include: “CNFM” = Confirm “NOTF” = Notification (Client Communication) “PROS” = Prospectus “PRXY” = Proxy “QPR” = Quarterly Performance Report “STMT” = Statement “TAXD” = Tax Document “TRDS” = Transaction Disclosure
200-259	X(60)	AN	SOURCE
260-499	X(240)	AN	Not Used
500-500	X(01)	AN	Literally “X;” indicates the end of the Record C

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D – SUBSCRIBER DE-ENROLLMENT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “EN” = MTEN (Update) “RN” = RTEN (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “D”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-026	X(15)	AN	Not Used
027-046	X(20)	AN	USER ID
047-055	X(09)	AN	ACCOUNT NUMBER; including office (3), base account (5), check digit (1)
056-058	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
059-059	X(01)	AN	Not Used
060-062	X(03)	AN	OFFICE
063-063	X(01)	AN	Not Used
064-066	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
067-067	X(01)	AN	Not Used
DE-ENROLLMENT INFORMATION			
068-075	9(08)	N	DE-ENROLLMENT DATE, in CCYYMMDD format
076-120	X(45)	AN	ACCOUNT LEVEL E-MAIL ADDRESS
121-180	X(60)	AN	ACCOUNT TITLE (first 60 characters)
181-195	X(15)	AN	TELEPHONE NUMBER
196-199	X(04)	AN	TYPE; values include: “CNFM” = Confirm “NOTF” = Notification (Client Communication) “PROS” = Prospectus “PRXY” = Proxy “QPR” = Quarterly Performance Report “STMT” = Statement “TAXD” = Tax Document
200-259	X(60)	AN	DE-ENROLLMENT REASON; freeform text
260-319	X(60)	AN	FAILED E-MAIL ADDRESS 1
320-379	X(60)	AN	FAILED E-MAIL ADDRESS 2
380-381	X(02)	AN	For Pershing Internal Use Only
382-499	X(118)	AN	Not Used
500-500	X(01)	AN	Literally “X;” indicates the end of the Record D

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD E – NEW SUBSCRIBER CREATION INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “EN” = MTEN (Update) “RN” = RTEN (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “E”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-026	X(15)	AN	SUBSCRIBER ID
027-055	X(29)	AN	Not Used
056-058	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
059-059	X(01)	AN	Not Used
060-062	X(03)	AN	OFFICE
063-067	X(05)	AN	Not Used
SESSION HISTORY DETAILS			
068-093	X(26)	AN	SUBSCRIBER CREATION TIMESTAMP, in CCYY/MM/DD $\mathbb{B}$ HH:MI:SS $\mathbb{B}\mathbb{B}\mathbb{B}\mathbb{B}\mathbb{B}\mathbb{B}$ format
094-118	X(25)	AN	SUBSCRIBER CREATION SOURCE
119-499	X(381)	AN	Not Used
500-500	X(01)	AN	Literally “X;” indicates the end of the Record E

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOF $\mathbb{B}\mathbb{B}\mathbb{B}\mathbb{B}\mathbb{B}$ PERSHING $\mathbb{B}$ ” (end of Pershing file)
019-036	X(18)	AN	Literally “NXC $\mathbb{B}$ USER $\mathbb{B}$ REPORT $\mathbb{B}\mathbb{B}$ ”
037-046	X(10)	AN	Literally “ $\mathbb{B}$ DATA $\mathbb{B}$ OF $\mathbb{B}\mathbb{B}$ ”
047-056	X(10)	AN	DATE OF DATA = “MM/DD/CCYY”
057-067	X(11)	AN	Literally “ $\mathbb{B}$ TO $\mathbb{B}$ REMOTE $\mathbb{B}$ ”
068-071	X(04)	AN	REMOTE ID = “XXXX”
072-105	X(34)	AN	Literally “ $\mathbb{B}$ ENDS $\mathbb{B}$ HERE. $\mathbb{B}$ TOTAL $\mathbb{B}$ DETAIL $\mathbb{B}$ RECORDS: $\mathbb{B}$ ”
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 or updated: “REFRESHED” for RTEN, spaces for MTEN”
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally “Z”; indicates the end of the trailer record