

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: CLIENT USER ID AUDIT GENERAL INFORMATION

File Frequency: Daily
 Record Size: 500 characters
 Form Name: NSAT

DESCRIPTION

This file captures audit trail information related to NetExchange Client Subscriber ID additions, updates, and deletions. This activity could be initiated from the NetExchange Client front end by the end-client or by the IBD via the NPNX-ACE screen in Net Exchange 360 Ops Center.

This daily file reflects the activity of the previous business day.

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 "NSAT B AUDIT B REPORT 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"
105-499	X(622)	AN	Not Used
500-500	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 = "NS"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-021	X(01)	AN	Not Used
022-024	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
025-025	X(01)	AN	Not Used
026-028	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
029-029	X(01)	AN	Not Used
030-044	X(15)	AN	SUBSCRIBER ID
045-045	X(01)	AN	NETWORK CODE; value includes: "X" = NetExchange Client
046-048	X(03)	AN	AUDIT ACTION CODE; values include: "100" = Subscriber Record Insertion (MMN, DOB, Telex Indicator) "101" = Subscriber Record Update (MMN, DOB, Telex Indicator) "102" = Subscriber Record Deletion (MMN, DOB, Telex Indicator) "105" = Quote Bank Insertion "106" = Quote Bank Update "107" = Quote Bank Deletion "110" = Subscriber Account Linking "111" = Primary Account Modification "112" = Subscriber Account De-Linking "115" = Email Address, Email Address 2 Record Insertion "116" = Email Address, Email Address 2 Record Update "117" = Email Address, Email Address 2 Record Deletion "120" = Subscriber Password Record Insertion "121" = Change Password "122" = Subscriber Password Record Deletion "ENC" = Account enrolled in eDelivery Confirmations "ENS" = Account Enrolled in eDelivery Statements "ENB" = Account Enrolled in eDelivery Conformations and Statements
049-056	9(08)	N	UPDATE DATE, in CCYYMMDD format
057-062	9(06)	N	UPDATE TIME, in HHMMSS format
063-102	X(40)	AN	NAME OF CHANGED FIELD
103-202	X(100)	AN	OLD VALUE

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
203-302	X(100)	AN	NEW VALUE
303-303	X(01)	AN	UPDATE STATUS CODE; values include “A” = New Record Addition “U” = Update to Existing Record “D” = Deletion of Record
304-323	X(20)	AN	UPDATING ID; ID of the user who initiated the change
324-409	X(86)	AN	CHANGE DESCRIPTION TEXT
410-499	X(90)	AN	CONVERT DESCRIPTION
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record A

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 “NSAT B AUDIT B REPORT 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”
072-105	X(34)	AN	Literally “ B ENDS B HERE. B TOTAL B DETAIL B RECORDS: B ”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-499	X(03)	AN	Not Used
500-500	X(01)	AN	Literally “Z”; indicates the end of the trailer record