

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: ORDER AND EXECUTION LOG FOR BOOKS AND RECORDS**

## GENERAL INFORMATION

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

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## DESCRIPTION

The expanded Order and Execution Log for Books and Records file (OEGL) is created from the Books and Records repository, which is updated on a nightly basis. This file primarily focuses on order/execution data requirements for Books and Records processing. It includes information on order changes, order routing, rules engines as well as order executions.

Record A relates to basic information regarding the order except in the case of trade cancels or corrections, which cannot be mapped to the original order. In these cases, there will be L, and possibly M, records only.

Record B relates to Books and Records regulatory information, as well as additional order information.

Record C relates to security-specific information associated with Equity and Option orders.

Record D relates to security-specific information associated with Fixed Income orders.

Record E relates to security-specific information associated with Unit Investment Trust (UIT) orders.

Record F relates to security-specific information associated with Alternative Investments orders.

Record G relates to security-specific information associated with Mutual Fund orders.

Record H relates to the activity associated with Routed orders. There can be several H records per order.

Record I relates to the activity associated with Executed orders. There can be several I records per order.

Record J relates to the activity associated with Rules process.

Record K relates to Comments and other text messages associated with order activity. There can be several K records per order.

Record L relates to trades, trade corrections and cancels occurring after trade execution.

Record M relates to Comments associated to trade corrections and cancels.

For orders where more than one account is involved, the “L” record might not be related to the previous “A,” “B,” and product type records (either C, D, E, F, or G). To identify the matching records, use the Source System Order ID, found on all records in position 024-043. This might occur if a trade is cancelled from one account and corrected into a different account.

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.

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

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

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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</b> <b>B</b> <b>B</b> <b>B</b> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "EXP <b>B</b> ORDER <b>B</b> EXEC <b>B</b> LOG"
037-046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>B</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>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

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
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) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; values include: "0" = COD "1" = Cash/Principal Accounting for Bank Custody "2" = Margin "3" = Short "4" = Special Subscription "5" = Arbitrage "6" = Market Function "7" = Non Load "8" = Precious Metals "9" = Income/Income Accounting for Bank Custody "U" = Not Available
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; identifies the source system for the order; values include: "15" = Rules Engine "20" = TCMS "25" = ATOMS "30" = MFNL "60" = CapeLogic "65" = Neovest "70" = NetX 360 Allocations "75" = FOMS "77" = LiquidPoint "78" = UTF "79" = RealTick "82" = Instinet "83" = ConvergX
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used

# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
BASIC ORDER DATA			
082-084	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
085-085	X(01)	AN	Not Used
086-094	X(09)	AN	CUSIP NUMBER
095-095	X(01)	AN	Not Used
096-111	X(16)	AN	PRIMARY SECURITY SYMBOL
112-113	X(02)	AN	BUY/SELL CODE; values include: "01" = Buy "02" = Sell "99" = Buy/Sell not available
114-115	X(02)	AN	BUY/SELL QUALIFIER CODE; values include: "01" = Buy "02" = Buy Minus; buy at lower than current market price "03" = Sell "04" = Sell Plus; execute only if price is higher than last price "05" = Short Sale; sale of a security not owned by the seller "06" = Short Exempt "99" = Buy/Sell Qualifier not available
116-117	X(02)	AN	CANCEL STATUS CODE; values include: "BB" = Not Applicable "01" = Full "02" = Replaced "03" = Partial "99" = CXL status not available
118-118	X(01)	AN	CANCEL/CORRECT REASON CODE; values include: "1" = Trade corrected after it settled "2" = Trade corrected by system as result of earlier pre-settlement correction "5" = Trade post/settle cancelled "6" = Trade NSCC Notification "9" = Trade correction not available "C" = Trade corrected after entering P&S, but before settling "D" = Trade deleted on Entry Date "N" = Trade has not been cancelled, corrected or restored "R" = Trade restored; today's correction/deletion annulled "U" = Trade corrected on Entry Date "X" = Trade cancelled after entering P&S, but before settling "Z" = Trade cancelled by system as result of earlier pre-settlement correction
119-136	9(13)v9(05)	N	ORIGINAL ORDER QUANTITY; original quantity specified
137-137	X(01)	AN	ORIGINAL ORDER QUANTITY SIGN; values include: "+" = Positive "-" = Negative "B" = Not Applicable

# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
138-139	X(02)	AN	<p>PRICE TYPE CODE; value assigned to uniquely identify conditions surrounding the price of an order; values include:</p> <p>“01” = Market Order (market price at a time order hits)</p> <p>“02” = Limit Order (buy/sell at a specific price or better)</p> <p>“03” = Stop Order (buy/sell at market price once security has traded at specific price)</p> <p>“04” = Stop Limit Order (buy/sell at a specific price or better but only after a given price has been reached)</p> <p>“05” = Over Parity</p> <p>“06” = Under Parity</p> <p>“07” = Parity</p> <p>“99” = Price type not available</p>
140-141	X(02)	AN	<p>ORDER RECORD TYPE; values include:</p> <p>“01” = New Order</p> <p>“02” = Cancelled Order</p> <p>“03” = Renewed Order</p> <p>“04” = Corporate Action</p> <p>“05” = Dropped</p> <p>“06” = Cancelled and Replaced Order</p> <p>“07” = Replacing Order</p> <p>“08” = Execution Only Order</p> <p>“09” = Short Form Cross (Cross Trade Entered via POPS System)</p> <p>“10” = Corrected Order</p> <p>“11” = Replacing Add On</p> <p>“21” = Parent Order</p> <p>“22” = Parent Order Cancelled</p> <p>“26” = Parent Order CXR Cancelled</p> <p>“27” = Parent Order Replacing</p> <p>“30” = Parent Order Corrected</p> <p>“40” = Allocation of Order</p>
142-143	X(02)	AN	<p>ORDER APPROVAL STATUS CODE; values include:</p> <p>“01” = Order Approved</p> <p>“02” = Pending</p> <p>“03” = Rejected</p> <p>“04” = Cancelled</p> <p>“05” = Order Skipped</p> <p>“99” = Order not available</p>
144-144	X(01)	AN	<p>ORDER APPROVAL SYSTEM ID; values include:</p> <p>“1” = BrokerView/Rules Engine</p> <p>“9” = Approval not available</p>
145-178	X(34)	AN	APPROVAL SYSTEM ORDER ID

# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
179-180	X(02)	AN	ORDER EXECUTION STATUS; values include: "01" = Open Order "02" = Partially Filled "03" = Fully Filled "04" = Acknowledged Order "05" = Unpriced Order "99" = Execution status not available
181-183	X(03)	AN	PRINCIPAL/AGENCY CODE; value assigned to identify trading capacity; see Appendix V for values
184-184	X(01)	AN	SOLICITED INDICATOR; values include: "Y" = Solicited "N" = Unsolicited "U" = Solicitation unknown
185-186	X(02)	AN	TIME IN FORCE CODE; value assigned to identify timeframe in which order is effective; order will expire if parameters are not met within timeframe; values include: "01" = Day Order "02" = GTC (Good until Cancelled) "03" = Fill or Kill (execute immediately & in full or cancel) "04" = Immediate or Cancel "05" = Execute at Opening Only "06" = GTX; Good until GTC/Eligible for Extended Market Hours "07" = Good until Date "08" = Good for Month "09" = Good for Week "10" = Good until Time "11" = Pre-Market Session "12" = After-Market Session "13" = Crossing Session "14" = Day Plus "15" = Market on Close "99" = Time in Force not available
187-187	X(01)	AN	ALL OR NONE INDICATOR; identifies if entire order must be filled to execute; values include: "Y" = Partial Fulfillment not Allowed "N" = Partial Fulfillment is Allowed "U" = All or None unknown
188-188	X(01)	AN	SPECIAL SETTLEMENT PERIOD CODE; values include: "1" = Cash "2" = Next Day "3" = Seller "4" = Fixed Income Regular Settlement "9" = Special Settlement not available

# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
189-189	X(01)	AN	Not Used
190-192	9(03)	N	SPECIAL SETTLEMENT NUMBER OF DAYS
193-200	X(08)	AN	ORDER PLACEMENT DATE, in CCYYMMDD format
201-212	X(12)	AN	ORDER PLACEMENT TIME, in HHMISSNNNNNN format
213-216	X(04)	AN	FIRST WIRE ID; identifies a business party who is placing a particular order on behalf of his/her customer; Wire Identifiers (Codes)/Call Letters are assigned by Pershing and can signify entities of different types (i.e., a group of investment professionals [IPs], a single IP, a sub-office, a firm)
217-234	9(09)v9(09)	N	INCREMENTAL MARK UP/DOWN AMOUNT
235-235	X(01)	AN	INCREMENTAL MARK UP/DN AMT SIGN; values include: “+” = Positive “-” = Negative “B” = Not Applicable
236-253	9(13)v9(05)	N	INPUT SHARE QUANTITY; for NetX360 Allocations this field will carry Allocated Quantity
254-254	X(01)	AN	INPUT SHARE QUANTITY SIGN; values include: “+” = Positive “-” = Negative “B” = Not Applicable
INVESTMENT PROFESSIONAL INFORMATION			
255-272	9(09)v9(09)	N	COMMISSION RATE; commission to be paid on a particular order; expressed varyingly as an amount, per bond, etc., as indicated in the TYPE OF COMMISSION field, below.
273-274	X(02)	AN	TYPE OF COMMISSION; type of commission payable to IPs on trade; values include: “01” = Flat (COM) “02” = Per Share (RTE) “03” = Percentage Discount (MLT) “09” = Percentage of Principal (PFM) “C1” = Commission sales credit rate “C2” = Commission by discount “C3” = Commission by rate “C4” = Commission by amount “C5” = Commission zero “C6” = Commission credit flat “99” = Commission Type unknown
275-278	X(04)	AN	FIRST INVESTMENT PROFESSIONAL
279-280	X(02)	AN	FIRST INVESTMENT PROFESSIONAL STATUS CODE
281-298	9(09)v9(09)	N	FIRST INVESTMENT PROFESSIONAL COMMISSION PERCENT (OR AMOUNT)
299-299	X(01)	AN	FIRST INVESTMENT PROFESSIONAL OF RECORD DEFAULT INDICATOR
300-303	X(04)	AN	SECOND INVESTMENT PROFESSIONAL

# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
304-305	X(02)	AN	SECOND IP STATUS CODE
306-323	9(09)v9(09)	N	SECOND INVESTMENT PROFESSIONAL COMMISSION PERCENT (OR AMOUNT)
324-324	X(01)	AN	SECOND INVESTMENT PROFESSIONAL OF RECORD DEFAULT INDICATOR
325-328	X(04)	AN	THIRD INVESTMENT PROFESSIONAL
329-330	X(02)	AN	THIRD IP STATUS CODE
331-348	9(09)v9(09)	N	THIRD INVESTMENT PROFESSIONAL COMMISSION PERCENT (OR AMOUNT)
349-349	X(01)	AN	THIRD INVESTMENT PROFESSIONAL OF RECORD DEFAULT INDICATOR
350-353	X(04)	AN	FOURTH INVESTMENT PROFESSIONAL
354-355	X(02)	AN	FOURTH IP STATUS CODE
356-373	9(09)v9(09)	N	FOURTH INVESTMENT PROFESSIONAL COMMISSION PERCENT (OR AMOUNT)
374-374	X(01)	AN	FOURTH INVESTMENT PROFESSIONAL OF RECORD DEFAULT INDICATOR
SOURCE SYSTEM UPDATE INFORMATION			
375-382	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
383-390	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; for new orders, the user entering the order; blank if source is not Pershing system
391-398	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
399-410	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
411-412	X(02)	AN	ORDER TYPE CODE; value assigned to identify the type of order; values may be distinctly different based on source and product type; values include: "01" = Simple Order "02" = Complex (two-part) order (ATOMS only) "03" = Exchange (Mutual Fund Order Not Filled) "04" = Exchange Trade (Mutual Fund Order Filled) "05" = Trade (Mutual Funds only) "06" = Cash Adjustment (Mutual Funds only) "07" = Paired Equity Order "98" = Other Order (ATOMS only) "99" = Not Known/Not Applicable
413-418	X(06)	AN	P&S REFERENCE NUMBER
419-426	9(08)	N	ORDER ACTIVITY EFFECTIVE DATE, in CCYYMMDD format; blank for new orders
427-438	9(12)	N	ORDER ACTIVITY EFFECTIVE TIME, in HHMISSNNNNNN format; blank for new orders
439-453	X(15)	AN	ORDER ACTIVITY USER ID
454-455	X(02)	AN	SOURCE SYSTEM SOURCE ID; see Appendix W for values
456-495	X(40)	AN	FIRM DESIGNATED IDENTIFIER (FDID)



# PERSHING STANDARD FILE LAYOUTS

RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
496-505	X(10)	AN	OCC IDENTIFIER; actionable identifier; for customer/firm trades and orders
506-525	X(20)	AN	PAIRED EQUITY ORDER ID
526-545	X(20)	AN	LEG REFERENCE IDENTIFIER
546-546	X(01)	AN	CUSTOMER DISPLAY INSTRUCTION FLAG; indicates that customer has instructed that limit order must not be displayed or that block size order must be displayed; values include: "T" = True "F" = False "U" = Not Applicable
547-562	X(16)	AN	BLOOMBERG SYMBOL+EXCHANGE, effective late Q2 2022
563-574	X(12)	AN	ENTERPRISE ID
575-586	X(12)	AN	ORIGINAL ENTERPRISE ID
587-588	9(02)	N	COMPLEX OPTION ORDER LEG SEQUENCE NUMBER; for a multi-leg order; values from 00-99
589-590	X(02)	AN	COMPLEX ORDER STRATEGY CODE; values include: "BW" = Buy Write "MP" = Married Put "CS" = Calendar Spread "VS" = Vertical Spread "DS" = Diagonal Spread "RO" = Roll "ST" = Straddle "SG" = Strangle "CO" = Collar "RT" = Ratio "BB" = Not Applicable
591-707	X(117)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies an order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B

RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
<b>BOOKS AND RECORDS INFORMATION</b>			
082-089	X(08)	AN	DATE INTRODUCING BROKER RECEIVES ORDER, in CCYYMMDD format; date order is manually received by IBD; for client-entered orders
090-101	X(12)	AN	TIME INTRODUCING BROKER RECEIVES ORDER, in HHMISSNNNNNN format; time within Order Receipt Date on which received by order is manually received by IBD; for client-entered orders
102-111	X(10)	AN	IBD ORDER RECEIPT TIME ZONE; for all orders entered into an Order Entry system, the time zone region entered in this field indicates the time zone region in which the time is expressed when the IBD associate received the order from the client
112-151	X(40)	AN	NAME OF IBD ASSOCIATE RECEIVING ORDER; name when associate did not enter order into system (i.e., gave it to someone else to enter); this is never a cross-firm associate (i.e., both order entry individual and order receipt individual are from same company) (e.g., IBD vs. Pershing)
152-159	X(08)	AN	DATE PERSHING ASSOCIATE RECEIVES ORDER, in CCYYMMDD format
160-171	X(12)	AN	TIME PERSHING ASSOCIATE RECEIVES ORDER, in HHMISSNNNNNN format
172-181	X(10)	AN	PERSHING ASSOCIATE ORDER RECEIPT TIME ZONE; for orders entered into Order Entry system; when Pershing associate, entering order, received order from introducing broker
182-221	X(40)	AN	NAME OF PERSHING ASSOCIATE RECEIVING ORDER; Pershing associate receiving the order (i.e., gave it to someone else to enter); this is never a cross-firm associate (i.e., both order entry individual and order receipt individual are from the same company) (e.g., IBD vs. Pershing)
222-229	X(08)	AN	DATE PERSHING ASSOCIATE ENTERS ORDER, in CCYYMMDD format
230-241	X(12)	AN	TIME PERSHING ASSOCIATE ENTERS ORDER, in HHMISSNNNNNN format; when Pershing associate entered order

# PERSHING STANDARD FILE LAYOUTS

RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
242-242	X(01)	AN	ORDER ENTRY SOURCE TYPE CODE; values include: “C” = Client “N” = Non-client “U” = Unknown/Not Applicable; this is the default value
243-250	X(08)	AN	EXTERNAL SYSTEM ORDER ENTRY DATE, in CCYYMMDD format; non-Pershing system
251-262	X(12)	AN	EXTERNAL SYSTEM ORDER ENTRY TIME, in HHMISSNNNNNN format; non-Pershing system
263-272	X(10)	AN	EXTERNAL SYSTEM ORDER ENTRY TIME ZONE; non-Pershing system
273-280	X(08)	AN	PERSHING SYSTEM ORDER APPROVAL DATE, in CCYYMMDD format
281-292	X(12)	AN	PERSHING SYSTEM ORDER APPROVAL TIME, in HHMISSNNNNNN format
293-307	X(15)	AN	PERSHING SYSTEM ORDER APPROVAL USER ID; Pershing associate or an IBD associate; blank if source is not Pershing system
308-308	X(01)	AN	DISCRETION EXERCISED CODE; exercised on behalf of end client on order; values include: “Y” = Discretion was Exercised “N” = Discretion was not Exercised “U” = Unknown
309-309	X(01)	AN	Not Used
The following four fields comprise the OCC DATA SET to be used in lieu of OPRA Symbol			
310-315	X(06)	AN	OPTION ROOT ID
316-321	9(06)	N	EXPIRATION DATE, in YYMMDD format
322-322	X(01)	AN	CALL/PUT INDICATOR; values include: “1” = Call “2” = Put “B” = Bank Pledge (Call) “D” = Bank Pledge (Put) “E” = Escrow Receipt “L” = Letter of Credit (Call) “M” = Letter of Credit (Put) “9” = Not Applicable
323-330	9(05)v9(03)	N	STRIKE PRICE
331-334	X(04)	AN	RECEIVED FROM IBD ID/ LOCATE ID
335-335	X(01)	AN	CANCELLED BY CODE; who cancelled the order; values include: “C” = Cancelled by Customer “F” = Cancelled by Firm “U” = Unknown
336-336	X(01)	AN	ORDER RECEIVED BY IBD MANUALLY, effective Q1 2022; values include: “Y” = Yes “N” = No “U” = Unknown

# PERSHING STANDARD FILE LAYOUTS

RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
337-337	X(01)	AN	ORDER RECEIVED BY PERSHING MANUALLY, effective Q1 2022; see position 336 for values
338-338	X(01)	AN	Not Used
339-358	X(20)	AN	ORDER RELATOR ID; order to which order is related
359-366	X(08)	AN	ORDER RELATOR DATE, in CCYYMMDD format
367-378	X(12)	AN	ORDER RELATOR TIME STAMP, in HHMISSNNNNNN format
379-381	X(03)	AN	SETTLEMENT CURRENCY CODE; see Appendix N for values
382-384	X(03)	AN	Not Used
385-385	X(01)	AN	RISKLESS PRINCIPAL CODE; values include: “1” = Risk to Customer “2” = Risk to Firm “9” = Risk not Applicable
386-386	X(01)	AN	FILES ONLY IN (DO NOT EXECUTE); identifies whether or not an order was entered with the intent not to execute; values include: “Y” = Files Only, No Execution “N” = For Execution “U” = Unknown
387-404	9(16)v9(02)	N	INPUT TOTAL AMOUNT; input monetary amount on an order
405-407	X(03)	AN	TRADE CURRENCY CODE; see Appendix N for values
408-411	X(04)	AN	ORDER SEQUENCE NUMBER; generated number between 1 and 9999 that identifies an order placed by a business party
412-415	X(04)	AN	OVERRIDE WIRE ID; identifies a business party who is placing a specific order, usually on behalf of its customer; Wire Identifier (also known as Wire codes and as Call Letters in, at least ATOMS) are assigned by Pershing and can signify entities of different types (i.e., groups of IPs, a single IP, a sub-office, a firm); the alternate order Wire Identifier/Call Letter is used to store a Wire Identifier/ Call Letter other than the one originally attached to the order
416-430	X(15)	AN	SOURCE SYSTEM CREATION USER ID; blank if source is not Pershing system
431-442	X(12)	AN	ISIN CODE
443-443	X(01)	AN	TICK SIZE PILOT RETAIL ATTESTATION INDICATOR; Retail Liquidity Program (RLP), which promotes price improvement for individual investor’s retail order flow to NYSE and NYSE MKT for listed securities; Retail Member Organizations (RMOs) who submit eligible retail order flow to Exchange will need to attest with broker/dealers annually to acknowledge that order flow is being sent by humans; RMOs who submit eligible retail orders must not send from trading algorithms or other computerized methodology; values include: “Y” = Yes; attestation submitted “N” = No; no attestation submitted “U” = Unknown
444-445	X(02)	AN	BROKERAGE/BANK CUSTODY INDICATOR; values include: “00” = Brokerage Account “01” = Bank Custody Account
446-705	X(260)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD

# PERSHING STANDARD FILE LAYOUTS

RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies an order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record B

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD C: EQUITIES AND OPTION PRODUCT TYPE ORDER INFORMATION

### RECORD C: EQUITIES AND OPTION PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-082	X(01)	AN	PRODUCT IDENTIFIER FOR RECORD C; value includes: "E" = Equities/Option (ATOMS)
083-084	X(02)	AN	ATOMS SECURITY TYPE CODE; values include: "01" = Equity "02" = Option "03" = OTC "11" = International Equity "99" = ATOMS security type unknown
085-086	X(02)	AN	Not Used
087-126	X(40)	AN	ATOMS SECURITY SYMBOL TEXT; textual description of what a security is and is primarily used when the Security Symbol does not sufficiently identify a security or is unavailable
127-130	X(04)	AN	CLEARING MEMBER TRADING AGREEMENT ID; identifies members of OCC and their trades clear through them
131-150	X(20)	AN	COMPLEX ORDER RELATOR ID
151-157	X(07)	AN	Not Used
<b>ORDER CHARACTERISTICS</b>			
158-158	X(01)	AN	COMPLEX ORDER INSTRUCTION CODE; values include: "1" = Spread "2" = Straddle "3" = Combo "4" = Hedge "5" = OR (at limit price OR market on close) "6" = Switch "7" = SFX (Short Form Cross – Cross Trade Entered via POPS) "8" = Two-sided Cross "9" = Complex order instruction unknown or unavailable

# PERSHING STANDARD FILE LAYOUTS

## RECORD C: EQUITIES AND OPTION PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
159-160	X(02)	AN	Not Used
161-161	X(01)	AN	DO NOT INCREASE (DNI) QUANTITY INDICATOR; instruction on GTC, buy limit and sell stop orders that prevent the quantity from increasing due to a stock split or dividend; values include: “Y” = Yes “N” = No “U” = Unknown
162-162	X(01)	AN	DO NOT REDUCE PRICE (DNR) INDICATOR; instruction on a buy limit or sell stop order, not to reduce order price when the stock goes ex-dividend and its price is reduced by the dividend amount; DNRs do not apply to rights or stock dividends; see position 161 for values
163-163	X(01)	AN	Not Used
164-165	X(02)	AN	LOT TYPE CODE; values include: “01” = Round Lot “02” = Odd Lot “03” = Mixed Lot “99” = Unknown
166-166	X(01)	AN	NOT HELD (NH) ORDER INDICATOR; on a market order to buy or sell securities, indicates that the customer has given the floor broker time and price discretion in executing the best possible trade, but will not hold the broker responsible if the best deal is not obtained; values include: “Y” = Required “N” = Not Required “U” = Unknown
167-167	X(01)	AN	DISPLAY QUOTE AND SIZE INSTRUCTIONS; OTC term which a firm sending orders can request to display its order in the quote and size or to not display its order in the quote and size; values include: “Y” = Display “N” = Do not Display “U” = Unknown
168-168	X(01)	AN	OATS SUBMISSION INDICATOR; indicates whether an OATS submission is required for security; see position 166 for values
169-169	X(01)	AN	NOT HELD ORDER TYPE values include: “C” = Cash not held “F” = Fractions not held “N” = Not applicable
170-170	X(01)	AN	ORDER DENOMINATION; values include: “D” = Dollars “F” = Fractional Shares “N” = Not applicable
171-175	X(05)	AN	Not Used

# PERSHING STANDARD FILE LAYOUTS

## RECORD C: EQUITIES AND OPTION PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
<b>OPTION-SPECIFIC CHARACTERISTICS</b>			
176-177	X(02)	AN	CUSTOMER/FIRM ACCOUNT CODE; identifies whether for option orders the account is a customer, broker/dealer or firm which is a member of OCC; entered on a per order basis; values include: "01" = Customer "02" = Firm Which is a Member of OCC "03" = Broker/Dealer "99" = Unknown
178-178	X(01)	AN	OPEN/CLOSE CODE; values include: "1" = Open "2" = Close "9" = Open/Close not available
179-179	X(01)	AN	Not Used
<b>ORDER DURATION CHARACTERISTICS</b>			
180-187	X(08)	AN	ORDER EXPIRATION DATE, in CCYYMMDD format
188-199	X(12)	AN	ORDER EXPIRATION TIME, in HHMISSNNNNNN format
<b>PRICE/QUANTITY CHARACTERISTICS</b>			
200-217	9(09)v9(09)	N	LIMIT PRICE; price specified for a limit order or a stop limit order, to be executed at price or better; for a stop limit order, a stop price is also specified; or NetX360 Allocations this will carry Average Price or Allocated Price
218-218	X(01)	AN	Not Used
219-220	X(02)	AN	PRICE QUALIFIER CODE; value assigned to uniquely identify additional qualifiers of the price; values include: "01" = Basis "02" = Or Better "03" = With or Without (execute odd lot order w/out round lot print) "04" = Market if Touched (buy/sell when preset market price is reached, at which point it becomes a market order) "05" = Stop (populated when Price Type = Stop or Stop Limit) "06" = On Close "07" = Closing Offset "99" = Price qualifier unknown
221-238	9(09)v9(09)	N	INCREMENTAL DISCRETIONARY PRICE; price by which broker has discretion when executing the order
239-239	X(01)	AN	Not Used
240-257	9(09)v9(09)	N	STOP PRICE; specified price for a stop order or a stop limit order, to buy or sell at the market price, once the security has traded at the stop price; for a stop limit order, a limit price is also specified
258-258	X(01)	AN	Not Used
259-276	9(16)v9(02)	N	ATOMS CANCEL QUANTITY; for partial cancels, the quantity canceled
277-294	9(08)v9(10)	N	COMPLEX ORDER PRICE; equity orders only
295-295	X(01)	AN	Not Used



# PERSHING STANDARD FILE LAYOUTS

## RECORD C: EQUITIES AND OPTION PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
296-297	X(02)	AN	COMPLEX ORDER PRICE INSTRUCTION CODE; only applies to equity orders; values include: “1 <b>B</b> ” = Credit “2 <b>B</b> ” = Debit “9 <b>B</b> ” = Not Held for Market Orders
298-313	X(16)	AN	PRIMARY NON-USD EXCHANGE WHERE NON-DOLLAR ROUTED INITIALLY; see Appendix S for values
314-314	X(01)	AN	ORDER VARIANCE TYPE CODE; values include: “P” = Percentage “D” = Dollar “U” = Unknown
315-315	X(01)	AN	QUOTE PREFERENCE TYPE CODE; values include: “A” = National Best Bid and Offer (NBBO) “B” = Last trade “U” = Unknown
316-327	X(12)	AN	PRICE TO MARKET TEXT; actual limit price, in alpha format, in case of limit order; values include: “MKT <b>B B B B B B B B</b> ” = indicates market order
328-345	9(13)v9(05)	N	LEAVES QUANTITY FOR PARTIAL EXECUTION; total quantity remaining for partially executed order as of current business day
346-346	X(01)	AN	LEAVES QUANTITY FOR PARTIAL EXECUTION SIGN; values include: “+” = Positive quantity “-” = Negative quantity “ <b>B</b> ” = Not Applicable
347-386	X(40)	AN	EXTERNAL CLIENT ORDER ID
387-426	X(40)	AN	EXTERNAL VENDOR ID
427-705	X(279)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: “20” = TCMS “ <b>B B</b> ” = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally “X”; indicates the end of record C

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D: FIXED INCOME PRODUCT TYPE ORDER INFORMATION

### RECORD D: FIXED INCOME PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "D"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-082	X(01)	AN	PRODUCT IDENTIFIER FOR RECORD D; value includes: "F" = Fixed Income
083-100	9(13)v9(05)	N	LOT SIZE QUANTITY; size of lot for order
101-118	9(13)v9(05)	N	MINIMUM LOT QUANTITY; minimum number of lots required by order
119-136	9(16)v9(02)	N	MISCELLANEOUS FEE AMOUNT
137-154	9(09)v9(09)	N	POOL FACTOR PERCENT; principal remaining as fraction of original issue amount; it is applied to asset-backed pool balance to obtain current amortized amount
155-172	9(16)v9(02)	N	REMAINING PRINCIPAL BALANCE AMOUNT; current remaining principal on a mortgage security; computed by multiplying the original face value of the security by the current factor
173-173	X(01)	AN	REMAINING PRINCIPAL BALANCE AMOUNT SIGN; values include: "+" = Positive "-." = Negative "B" = Not Applicable
174-273	X(100)	AN	SECURITY DESCRIPTION TEXT; uses the first 60 characters of the Security's description, followed by 9 characters of the Security coupon, a filler (1 byte), Dated Date (8 bytes; the first two characters are the literal, DT), Maturity Date (8 bytes; the first two characters are the literal, MT), Call Date (9 bytes; the first three characters are the literal, CAL); all three literals and dates are separated by a space
274-291	9(09)v9(09)	N	LIMIT PRICE; price specified for limit order, to be executed at price or better; for NetX360 allocations this will carry Average Price or Allocated Price
292-309	9(13)v9(05)	N	LEAVES QUANTITY FOR PARTIAL EXECUTION; total quantity remaining for partially executed order as of current business day
310-310	X(01)	AN	LEAVES QUANTITY FOR PARTIAL EXECUTION SIGN; values include: "+" = Positive quantity "-." = Negative quantity "B" = Not Applicable

# PERSHING STANDARD FILE LAYOUTS

## RECORD D: FIXED INCOME PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
311-311	X(01)	AN	MATERIAL EVENT INDICATOR; values include: “Y” = Yes “N” = Not Applicable “U” = Unknown
312-312	X(01)	AN	LOW BID ATTESTATION INDICATOR; see position 311 for values
313-313	X(01)	AN	PRINCIPAL CONSENT INDICATOR; see position 311 for values
314-353	X(40)	AN	EXTERNAL VENDOR ID
354-705	X(352)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: “20” = TCMS “ <b>BB</b> ” = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally “X”; indicates the end of record D

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD E: UNIT INVESTMENT TRUST (UIT) PRODUCT TYPE ORDER INFORMATION

### RECORD E: UNIT INVESTMENT TRUST (UIT) PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "E"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-082	X(01)	AN	PRODUCT IDENTIFIER FOR RECORD E; value includes: "U" = Unit Investment Trust (UIT)
083-100	9(13)v9(05)	N	LOT SIZE QUANTITY; lot size quantity for order
101-118	9(16)v9(02)	N	LOT SIZE AMOUNT; amount of order
119-136	9(16)v9(02)	N	MISCELLANEOUS FEE AMOUNT
137-148	X(12)	AN	CUTOFF TIME, in HHMISSNNNNNN format
149-172	X(24)	AN	Not Used
173-173	X(01)	AN	INPUT LOT SIZE TYPE; type of lot selected; values include: "Q" = Lot Size Quantity "A" = Lot Size Amount "U" = Lot Size Unknown
174-174	X(01)	AN	OVER/UNDER SHARE ROUNDING BUY RULE; values include: "O" = Buy Up to the Next Whole Share "U" = Buy Down to the Next Whole Share "N" = Not Applicable or Unknown
175-175	X(01)	AN	NET ASSET VALUE (NAV) STATUS CODE; values include: "3" = Employee "4" = Error Correction "6" = Commission "U" = Unknown NAV Status
176-275	X(100)	AN	SECURITY DESCRIPTION TEXT; first 60 characters of Security's description, followed by 9 characters of Security coupon, filler (1 byte), Dated Date (8 bytes; first two characters are literal, DT), Maturity Date (8 bytes; first two characters are literal, MT), Call Date (9 bytes; first three characters are literal, CAL); all three literals and dates are separated by filler

# PERSHING STANDARD FILE LAYOUTS

## RECORD E: UNIT INVESTMENT TRUST (UIT) PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
276-276	X(01)	AN	ROLLOVER INDICATOR; values include: “Y” = Yes; this is for a rollover “N” = No; this is not for a rollover “U” = Unknown
277-294	9(16)v9(02)	N	BREAKPOINT AMOUNT; discount given to client for amount purchased
295-295	X(01)	AN	BREAKPOINT AMOUNT SIGN; values include: “+” = Positive “-” = Negative “ <b>B</b> ” = Not Applicable
296-313	9(13)v9(05)	N	BREAKPOINT QUANTITY
314-314	X(01)	AN	BREAKPOINT QUANTITY SIGN; see position 295 for values
315-315	X(01)	AN	BREAKPOINT TYPE CODE; values include: “D” = Dollar (amount) “N” = Unit “U” = Unknown
316-333	9(13)v9(05)	N	LEAVES QUANTITY FOR PARTIAL EXECUTION; total quantity remaining for partially executed order as of current business day
334-334	X(01)	AN	LEAVES QUANTITY FOR PARTIAL EXECUTION SIGN; values include: “+” = Positive quantity “-” = Negative quantity “ <b>B</b> ” = Not Applicable
335-342	X(08)	AN	UIT EXPIRATION DATE, in CCYYMMDD format
343-382	X(40)	AN	EXTERNAL VENDOR ID
383-705	X(323)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: “20” = TCMS “ <b>B B</b> ” = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally “X”; indicates the end of record E

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD F: ALTERNATIVE INVESTMENT PRODUCT TYPE ORDER INFORMATION

### RECORD F: ALTERNATIVE INVESTMENT PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "F"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-082	X(01)	AN	PRODUCT IDENTIFIER FOR RECORD F; value includes: "A" = Alternative Investments
083-083	X(01)	AN	Not Used
084-085	X(02)	AN	SETTLEMENT LOCATION CODE; states where the settlement of the funds for the trade will be done; values include: "US" = US Settlement "B" = Not US Settlement or information not available
086-086	X(01)	AN	ALTERNATIVE INVESTMENT SUITABILITY ATTESTATION; records the IBD's attestation that they have done a suitability check before the customer trades Alternative Investments; values include: "Y" = Yes; IBD attests that suitability check was done "N" = No; IBD does not attest that suitability check was done
087-087	X(01)	AN	SUBSCRIPTION DOCUMENT DELIVERED; alerts the approvers as to whether or not they should expect to see a subscription document along with the order; values include: "Y" = Yes; subscription document will be delivered "N" = No; subscription document will not be delivered
088-088	X(01)	AN	SUBSCRIPTION DOCUMENT NOT DELIVERED REASON CODE; explains to approvers why a subscription document has not been delivered to Pershing; values include: "1" = Sponsor not required "2" = Already with sponsor "U" = Not answered
089-089	X(01)	AN	REINVEST DIVIDEND INCOME/CAPITAL GAINS; tells the sponsor of the Fund whether dividends and capital gains should be reinvested or paid in cash; values include: "Y" =Reinvest "N" = Do not reinvest

# PERSHING STANDARD FILE LAYOUTS

## RECORD F: ALTERNATIVE INVESTMENT PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
090-092	X(03)	AN	BRANCH OVERRIDE; indicates if another branch (office) will receive commission
093-093	X(01)	AN	TRANSACTION FEE DESIGNATION; allows IBD to redirect transaction fee to IBD's account rather than customer's account; provides internal users ability to waive fee; values include: "C" = Customer account "I" = IBD/RIA account "X" = Waive transaction fee "U" = Not Applicable
094-111	9(16)v9(02)	N	TRANSACTION FEE AMOUNT
112-112	X(01)	AN	TRANSACTION FEE AMOUNT SIGN; values include: "+" = Positive amount "-" = Negative amount "B" = Not Applicable
113-152	X(40)	AN	EXTERNAL VENDOR ID
153-705	X(553)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record F

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD G: MUTUAL FUND PRODUCT TYPE ORDER INFORMATION

### RECORD G: MUTUAL FUND PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "G"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-082	X(01)	AN	PRODUCT IDENTIFIER FOR RECORD G; value includes: "M" = Mutual Funds
083-083	X(01)	AN	CAPITAL GAINS REINVEST INDICATOR; identifies whether a mutual fund order is eligible to reinvest capital gains, or accept cash; values include: "Y" = Reinvest "N" = Cash "U" = Capital Gain unknown
084-084	X(01)	AN	CDSC WAIVER REASON TYPE CODE; reason why CDSC (deferred sales charge) was waived at redemption; values include: "3" = No Sales Charge-Other "4" = CDSC Waiver Due to Correction "5" = Death "6" = Disability "7" = Mandatory Distribution "8" = Systematic Withdrawal "9" = Waiver defined contribution "A" = Hardship "B" = No commission "U" = Unknown or Not Applicable
085-085	X(01)	AN	COMMISSION OVERRIDE INDICATOR; identifies whether the amount of commission for a specific mutual fund order is different from the amount of commission that is normally allocated for a mutual fund order; values include: "Y" = Override in Force "N" = No Override "U" = Unknown
086-097	X(12)	AN	CUTOFF TIME, in HHMISSNNNNNN format; latest time for processing transaction



# PERSHING STANDARD FILE LAYOUTS

## RECORD G: MUTUAL FUND PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
098-098	X(01)	AN	DELIVERY INSTRUCTION CODE; values include: "S" = Street-side Delivery "C" = Book Entry to Customer "P" = Physical Certificates Delivered to Customer "U" = Not Available
099-099	X(01)	AN	DIVIDEND REINVESTMENT INDICATOR; for mutual fund order; values include: "Y" = Reinvest "N" = Cash "U" = Unknown
100-100	X(01)	AN	GROSS/NET LIQUIDATION CODE; uniquely identifies a Gross/Net Liquidation code; values include: "G" = Gross "N" = Net "U" = Unknown or Not Applicable
101-118	X(18)	AN	Not Used
119-136	9(16)v9(02)	N	LOI AMOUNT; breakpoint dollar value associated with Letter of Intent; this applies to load funds only
137-137	X(01)	AN	LOI/ROA CODE; identifies presence of Letter of Intent or Rights of Accumulation for order; values include: "L" = LOI "R" = ROA "U" = Unknown or Not Applicable
138-155	9(16)v9(02)	N	ROA AMOUNT; breakpoint dollar value associated with Rights of Accumulation; this applies to load funds only
156-156	X(01)	AN	MUTUAL FUNDS LEGEND CODE; derived field; based on dividend reinvestment indicator, capital gains reinvestment indicator, and Delivery Instruction code; see Appendix K for values
157-157	X(01)	AN	NET ASSET VALUE (NAV) STATUS CODE; values include: "0" = Other "1" = Net Value Asset Transfer "2" = Repurchase "3" = Employee "4" = Error Correction "5" = Wrap Fee Account "6" = Commission "7" = Commissionable Defined Contribution Plan "8" = Non-Commissionable Defined Contribution Plan "9" = Section 529 "A" = Reinvestment "B" = Per Agreement "U" = Unknown NAV Status "N" = Purchase Was Not Requested as a Net Value Asset

# PERSHING STANDARD FILE LAYOUTS

## RECORD G: MUTUAL FUND PRODUCT TYPE ORDER INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
158-158	X(01)	AN	Not Used
159-163	X(05)	AN	OFFICE OVERRIDE ID; identifies branch used instead of default
164-164	X(01)	AN	OVER/UNDER SHARE ROUNDING BUY RULE; values include: “O” = Buy Up to the Next Whole Share “U” = Buy Down to the Next Whole Share “N” = Not Applicable or Unknown
165-165	X(01)	AN	Not Used
166-169	X(04)	AN	SECOND WIRE ID; a second destination for drop copies
170-173	X(04)	AN	THIRD WIRE ID; a third destination for drop copies
174-175	X(02)	AN	TRADE STATUS CODE; values include: “01” = Open “02” = Confirm “03” = P&S Processed Trade “04” = Settled “99” = Unknown
176-705	X(530)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: “20” = TCMS “ <b>BB</b> ” = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally “X”; identifies the end of record G

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD H: ROUTING ACTIVITY

### RECORD H: ROUTING ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "H"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5), and Check (1)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-083	X(02)	AN	ACTIVITY TYPE; value includes: "02" = Routing
084-087	X(04)	AN	ROUTING ACTIVITY SEQUENCE NUMBER; values include: "0001" = Routing "0002" = Rerouting
088-088	X(01)	AN	Not Used
089-091	9(03)	N	SECONDARY ROUTING SEQUENCE NUMBER
092-109	9(13)v9(05)	N	ROUTING QUANTITY
110-110	X(01)	AN	ROUTING QUANTITY SIGN; values include: "+" = Positive "-" = Negative "B" = Not Applicable
111-126	X(16)	AN	ROUTING EXECUTION FACILITY NAME
127-128	X(02)	AN	ROUTING TRADE ZONE NAME; where order is routed
129-132	X(04)	AN	ROUTING DEVICE ID; system device where order is routed to
133-144	X(12)	AN	EXECUTING BROKER FIRM MNEMONIC NAME; firm executes order flow and uses Pershing's system to send order flow to NYSE, but have identifier on orders showing they executed order
145-146	X(02)	AN	MARKET CODE; values include: "BB" = BKPG Item "01" = New York Stock Exchange (NYSE) "02" = NYSE ALT (formerly AMEX) "03" = Philadelphia Stock Exchange (PHLX) "04" = Pacific Stock Exchange (PSE) "05" = Chicago Exchange (CHX) "06" = Chicago Board Options Exchange (CBOE) "07" = Cincinnati Exchange (CINN)

(cont.)

# PERSHING STANDARD FILE LAYOUTS

RECORD H: ROUTING ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
			“08” = (NYIE) “09” = Boston Stock Exchange (BSE) “10” = (OSS) “11” = Over the Counter Exchange (OTC) “12” = International Securities Exchange (ISE) “14” = Emerald Exchange (EMLD) “15” = Miami Pearl Exchange (MPRL) “16” = Members’ Exchange (MEMX) “99” = Unknown
147-147	X(01)	AN	BLOTTER CODE; values include: “0” = Average Price “1” = STR Execution “2” = Option Trade “3” = Cash Trade “4” = Confirm Report “5” = Principal Trade “6” = Prime Broker Trade “7” = Not Used “8” = PTC Trade “9” = Customer Cross Trade “U” = Unknown
148-149	X(02)	AN	REROUTING METHOD CODE; values include: “01” = Electronic “02” = Manual “99” = Unknown
150-150	X(01)	AN	REROUTE OVERRIDE INDICATOR; values include: “Y” = Normal Routing Algorithms were Overridden “N” = Normal Routing Algorithms were Used “U” = Unknown
151-158	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
159-166	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; blank if source is not Pershing system
167-174	X(08)	AN	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
175-186	X(12)	AN	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
187-189	X(03)	AN	TRADE CURRENCY CODE; see Appendix N for values
190-192	X(03)	AN	SETTLEMENT CURRENCY CODE; see Appendix N for values
193-204	X(12)	AN	ISIN CODE
205-220	X(16)	AN	PRIMARY NON-USD EXCHANGE WHERE THE NON-DOLLAR ORDER Routed INITIALLY; see Appendix S
221-260	X(40)	AN	ROUTING ORDER ID; for DASH Financial Options only
261-705	X(445)	AN	Not Used

# PERSHING STANDARD FILE LAYOUTS

## RECORD H: ROUTING ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record H

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD I: EXECUTION ACTIVITY

### RECORD I: EXECUTION ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "I"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5), and Check (1)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-083	X(02)	AN	ACTIVITY TYPE; value includes: "04" = Execution
084-087	X(04)	AN	EXECUTION SEQUENCE NUMBER
088-095	9(08)	N	ORDER ACTIVITY EFFECTIVE DATE, in CCYYMMDD format
096-107	9(12)	N	ORDER ACTIVITY EFFECTIVE TIME, in HHMISSNNNNNN format
108-109	X(02)	AN	EXECUTION STATUS CODE; values include: "01" = Bust Execution "02" = Correction "U <b>B</b> " = Not Applicable
110-117	9(08)	N	ORDER ACTIVITY STATUS UPDATE DATE, in CCYYMMDD format
118-129	9(12)	N	ORDER ACTIVITY STATUS UPDATE TIME, in HHMISSNNNNNN format
130-147	9(09)v9(09)	N	EXECUTION PRICE; price obtained at execution
148-165	9(13)v9(05)	N	EXECUTION QUANTITY
166-166	X(01)	AN	EXECUTION QUANTITY SIGN; values include: "+" = Positive "-" = Negative "U <b>B</b> " = Not Applicable
167-184	9(13)v9(05)	N	LEAVES QUANTITY; quantity remaining after partial execution
185-185	X(01)	AN	LEAVES QUANTITY SIGN; see position 166 for values
186-189	X(04)	AN	EXECUTION CONFIRM WIRE ID; terminal from which the execution was sent back from market; combines with the Execution Confirm Sequence Number to represent the unique identifier
190-193	X(04)	AN	EXECUTION CONFIRM SEQUENCE NUMBER; combines with the Execution Confirm Wire Identifier; the unique identifier of the execution as assigned by the executing market
194-205	X(12)	AN	EXECUTION CONFIRM TRANSACTION ID; assigned by the executing entity to uniquely identify the execution

# PERSHING STANDARD FILE LAYOUTS

## RECORD I: EXECUTION ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
206-208	X(03)	AN	SETTLEMENT LOCATION CODE; value assigned to uniquely identify the settlement location for the execution
209-216	X(08)	AN	SETTLEMENT DATE, in CCYYMMDD format
217-224	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
225-232	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; blank if source is not Pershing system
233-240	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
241-252	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
253-268	X(16)	AN	EXECUTION FACILITY NAME IN CASE OF ADDITIONAL EXCHANGE ROUTES
269-271	X(03)	AN	TRADE CURRENCY CODE; see Appendix N for values
272-289	9(16)v9(02)	N	CUSTOMER COMMISSION AMOUNT
290-290	X(01)	AN	CUSTOMER COMMISSION AMOUNT SIGN; see position 166 for values
291-292	X(02)	AN	CUSTOMER COMMISSION TYPE; values include: “1 <b>B</b> ” = Sales Credit Rate “2 <b>B</b> ” = Commission by Discount “3 <b>B</b> ” = Commission by Rate “4 <b>B</b> ” = Commission by Amount “5 <b>B</b> ” = Zero Commission “6 <b>B</b> ” = Sales Credit Flat Amount “ <b>BB</b> ” = Not Applicable
293-310	9(16)v9(02)	N	BROKER COMMISSION AMOUNT
311-311	X(01)	AN	BROKER COMMISSION AMOUNT SIGN; see position 166 for values
312-313	X(02)	AN	BROKER COMMISSION TYPE; see 291-292 for values
314-331	9(16)v9(02)	N	BREAKPOINT AMOUNT, as applied by the system
332-332	X(01)	AN	BREAKPOINT AMOUNT SIGN; see position 166 for values
333-350	9(13)v9(05)	N	BREAKPOINT QUANTITY
351-351	X(01)	AN	BREAKPOINT QUANTITY SIGN; see position 166 for values
352-352	X(01)	AN	BREAKPOINT TYPE CODE; values include: “D” = Dollar “N” = Unit “U” = Unknown
353-354	X(02)	AN	Not Used
355-358	X(04)	AN	MARKET IDENTIFIER CODE (MIC); represents normalized last market; see Appendix S for values
359-360	X(02)	AN	COUNTRY CODE; see Appendix Q for values
361-368	X(08)	AN	LOCAL TRADE DATE, in CCYYMMDD format; on executing market
369-380	X(12)	AN	LOCAL EXECUTION TIME; on executing market, in HHMISSNNNNNN format

# PERSHING STANDARD FILE LAYOUTS

## RECORD I: EXECUTION ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
381-381	X(01)	AN	LIQUIDITY INDICATOR; values include: “1” = Liquidity added “2” = Liquidity removed “3” = Liquidity routed “4” = Liquidity auction “ <b>B</b> ” = Liquidity unknown or not applicable
382-385	X(04)	AN	LIQUIDITY TYPE
386-705	X(320)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: “20” = TCMS “ <b>B B</b> ” = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally “X”; indicates the end of record I



# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD J: RULES PROCESSING ACTIVITY

### RECORD J: RULES PROCESSING ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "J"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base (5), and Check (1)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-083	X(02)	AN	ACTIVITY TYPE; value includes: "08" = Rules Process
084-087	9(04)	N	PENDING ORDER SEQUENCE NUMBER; for Rules Activity
088-167	X(80)	AN	RULES MESSAGE TEXT; text message associated with the order
168-175	X(08)	AN	RULES CODE; uniquely identifies rule
176-176	X(01)	AN	MESSAGE OUT TYPE CODE; generated by Rules Engine; values include: "A" = Approval "W" = Warning "S" = Severe "D" = Default
177-184	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
185-192	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing the last update in source system; blank if source is not Pershing system
193-200	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
201-212	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
213-214	9(02)	N	COMPLEX OPTION ORDER LEG SEQUENCE NUMBER; for a multi-leg order; values from 00-99
215-705	X(491)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format

# PERSHING STANDARD FILE LAYOUTS

## RECORD J: RULES PROCESSING ACTIVITY

POSITION	PICTURE	TYPE	DESCRIPTION
750-750	X(01)	AN	Literally "X"; indicates the end of record J

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD K: ORDER COMMENTS

RECORD K: ORDER COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "K"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-083	X(20)	AN	Not Used
084-085	X(02)	AN	ORDER COMMENT TYPE CODE; text relating to order; values include: "01" = IBD Trailer "02" = Floor Instruction "03" = Comment "04" = PAR Trailer "05" = Service Bureau Trailer "06" = User Trailer "08" = Drop Internal Comment "09" = Routing Comment "10" = Corporate Action Comment "12" = Confirmation Trailer "13" = SHO Security Location Description "14" = Rules Engine Comments "98" = Execution Comment "99" = Bust Internal Comment
086-087	X(02)	AN	COMMENT ACTION CODE; values include: "01" = New Comment "02" = Comment Correction "03" = Comment Deletion
088-091	9(04)	N	ORDER COMMENT LINE SEQUENCE COUNT
092-345	X(254)	AN	ORDER COMMENT TEXT
346-353	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
354-361	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; blank if source is not Pershing system
362-369	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
370-381	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format

# PERSHING STANDARD FILE LAYOUTS

RECORD K: ORDER COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
382-705	X(324)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record K

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD L: TRADES, TRADE CORRECTIONS, AND CANCELS

### RECORD L: TRADES, TRADE CORRECTIONS, AND CANCELS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "L"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-083	X(02)	AN	TRADE ACTION CODE; values include: "01" = New Trade "02" = Trade Record Correction "03" = Trade Record Cancel
084-086	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
087-087	X(01)	AN	Not Used
088-096	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
097-097	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
098-113	X(16)	AN	TRADE CUSIP
114-129	X(16)	AN	TRADE PRIMARY SYMBOL
130-131	X(02)	AN	TRADE BUY/SELL INDICATOR; values include: "B <sup>B</sup> " = Trade Buy "S <sup>B</sup> " = Trade Sell
132-133	X(02)	AN	TRADE BUY/SELL QUALIFIER; values include: "01" = Trade qualifier buy "02" = Trade qualifier buy minus "03" = Trade qualifier sell "04" = Trade qualifier sell plus "05" = Trade qualifier short sale "06" = Trade qualifier short exempted "99" = Not available
134-136	X(03)	AN	TRADE CURRENCY CODE; see Appendix N for values
137-151	X(15)	AN	TRADE COMMISSION TEXT
152-154	X(03)	AN	TRADE COMMISSION TYPE; values include: "C1 <sup>B</sup> " = Commission sales credit rate "C2 <sup>B</sup> " = Commission by discount

(cont.)

# PERSHING STANDARD FILE LAYOUTS

## RECORD L: TRADES, TRADE CORRECTIONS, AND CANCELS

POSITION	PICTURE	TYPE	DESCRIPTION
			“C3 <b>B</b> ” = Commission by rate “C4 <b>B</b> ”, “CA <b>B</b> ” = Commission by amount “C5 <b>B</b> ” = Commission zero “C6 <b>B</b> ” = Commission credit flat “999” = Commission Type unknown
155-157	X(03)	AN	TRADE PRINCIPAL/AGENCY CODE; see Appendix V for values “999” = Principal agency code not available
158-165	X(08)	AN	TRAM TRADE DATE, in CCYYMMDD format
166-173	X(08)	AN	TRAM SETTLEMENT DATE, in CCYYMMDD format
174-181	X(08)	AN	TRADE EXECUTION DATE, in CCYYMMDD format
182-201	X(20)	AN	TRAM REFERENCE IDENTIFIER
202-209	9(08)	N	TRAM REFERENCE VERSION
210-229	X(20)	AN	ORIGINAL TRAM REFERENCE IDENTIFIER
230-231	X(02)	AN	TRADE MARKET CODE; received from TCMS and POPS; values include: “0” = Members’ Exchange “1” = New York Stock Exchange (NYSE) “2” = NYSE ALT (formerly AMEX) “3” = Philadelphia (PHLX) “4” = OTC-NON-NSCC (Electronic Netting) “5” = Boston (BSE) “6” = Chicago (CHX) “7” = Chicago Board Options Exchange (CBOE) “8” = OTC-ISE-NSCC “9” = Pacific (PSE) “A” = NYSE Group Match Point (ARNX) “B” = BATS Exchange (BATS) “C” = National Stock Exchange (NSX) “D” = Mercury Exchange(MCRY) “E” = Direct Edge Exchange (EDGA) “F” = Miami Exchange (MIAX) “G” = Gemini Exchange (GEM) “H” = Montreal Exchange (MX) “I” = International Securities Exchange (ISE) “J” = Tokyo Exchange (TSE) “K” = Investors Exchange (IEXG) “L” = London Stock Exchange (LSE) “M” = OTC-NSCC “N” = NASDAQ (NDAQ) “O” = OTC/Non-NSCC (OTCX) (Manual comp. btwn two brokers) “P” = NASDAQ OMX PHLX (Philadelphia Stock Exch. (NQPX) “Q” = NASDAQ Alternative Display Function (NADF)

(cont.)

# PERSHING STANDARD FILE LAYOUTS

## RECORD L: TRADES, TRADE CORRECTIONS, AND CANCELS

POSITION	PICTURE	TYPE	DESCRIPTION
			“R” = Miami Pearl Exchange (MPRL) “S” = Emerald Exchange (EMLD) “T” = Toronto Exchange (TSX) “W” = NASDAQ OMX BX ( Boston Exchange, Equities) (NQBX) “X” = Other “U” = Market not available
232-233	X(02)	AN	TRADE BLOTTER CODE; received from TCMS and POPS; values include: “0 <b>B</b> ” = Average Price “1 <b>B</b> ” = Regular “2 <b>B</b> ” = Options “3 <b>B</b> ” = Irregular Settle “5 <b>B</b> ” = Blotter Principal “6 <b>B</b> ” = Syndicate “8 <b>B</b> ” = PTC-Principal “9 <b>B</b> ” = Cross Agency “U <b>B</b> ” =Trade Blotter Unknown
234-235	X(02)	AN	TRADE LEGEND CODE 1
236-237	X(02)	AN	TRADE LEGEND CODE 2
238-255	9(09)v9(09)	N	TRADE PRICE
256-273	9(13)v9(05)	N	TRADE QUANTITY
274-291	9(09)v9(09)	N	TRADE POOL FACTOR PERCENT
292-293	X(02)	AN	CANCEL/CORRECT CODE; values include: “01” = Post SD Cancel “02” = Pre SD Cancel “03” = Pre SD Correct “04” = Post SD Correct “99” = Not Available
294-295	X(02)	AN	CORRECTION SOURCE; values include: “01” = From TCMS “02” = From POPS “03” = From UTF
296-303	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
304-311	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; blank if source is not Pershing system
312-319	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
320-331	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
332-332	X(01)	AN	Not Used
The following four fields comprise the OCC DATA SET			
333-338	X(06)	AN	OPTION ROOT ID
339-344	9(06)	N	EXPIRATION DATE, in YYMMDD format

# PERSHING STANDARD FILE LAYOUTS

## RECORD L: TRADES, TRADE CORRECTIONS, AND CANCELS

POSITION	PICTURE	TYPE	DESCRIPTION
345-345	X(01)	AN	CALL/PUT INDICATOR; values include: "C" = Call "P" = Put "B" = Bank Pledge (Call) "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "9" = Not Applicable
346-353	9(05)v9(03)	N	STRIKE PRICE
354-356	X(03)	AN	SETTLEMENT CURRENCY CODE; see Appendix N for values
357-368	X(12)	AN	ISIN CODE
369-384	X(16)	AN	PRIMARY NON-USD EXCHANGE WHERE THE NON-DOLLAR ORDER ROUTED INITIALLY; see Appendix S for values
385-396	X(12)	AN	TRADE TIME, in HHMISSNNNNNN
397-400	X(04)	AN	TRADE EXCHANGE CODE
401-705	X(305)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS "BB" = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record L



# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD M: TRADE CORRECTION AND CANCEL COMMENTS

### RECORD M: TRADE CORRECTION AND CANCEL COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "EG"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "M"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3) and Base (6)
021-021	X(01)	AN	ACCOUNT TYPE; see Record A position 021 for values
022-023	X(02)	AN	ORDER SOURCE SYSTEM IDENTIFIER; see Record A position 022-023 for values
024-043	X(20)	AN	ORDER SOURCE SYSTEM ORDER ID; for Rules Engine this field will contain terminal ID and order sequence number; first character of non-dollar order will contain # symbol
044-051	9(08)	N	ORDER SOURCE SYSTEM CREATION DATE, in CCYYMMDD format; date reporting system created order
052-063	9(12)	N	ORDER SOURCE SYSTEM CREATION TIME, in HHMISSNNNNNN format; time reporting system created order
064-081	X(18)	AN	Not Used
082-083	X(02)	AN	TRADE ACTION CODE; values include: "01" = New Trade Comment "02" = Trade Record Correction Comment "03" = Trade Record Cancel Comment
084-085	X(02)	AN	TRADE COMMENT TYPE CODE; values include: "T <b>B</b> " = Trailer "S <b>B</b> " = System Generated "N <b>B</b> " = Note "L <b>B</b> " = SHO Security Location Description
086-089	X(04)	AN	TRADE COMMENT LINE NUMBER
090-091	X(02)	AN	Not Used
092-345	X(254)	AN	TRADE COMMENT TEXT
346-353	X(08)	AN	SOURCE SYSTEM UPDATE TERMINAL ID; where last update was performed
354-361	X(08)	AN	SOURCE SYSTEM UPDATE USER ID; user performing last update in source system; blank if source is not Pershing system
362-369	9(08)	N	SOURCE SYSTEM UPDATE DATE, in CCYYMMDD format
370-381	9(12)	N	SOURCE SYSTEM UPDATE TIME, in HHMISSNNNNNN format
382-705	X(324)	AN	Not Used
706-708	X(03)	AN	INVESTMENT PROFESSIONAL (IP) OF RECORD
709-710	X(02)	AN	ORDER PROCESSING SYSTEM IDENTIFIER; values include: "20" = TCMS " <b>B</b> <b>B</b> " = Not Applicable
711-711	X(01)	AN	Not Used
712-729	X(18)	AN	ORDER IDENTIFIER; uniquely identifies an order
730-737	X(08)	AN	ORDER UPDATE DATE, in CCYYMMDD format

# PERSHING STANDARD FILE LAYOUTS

## RECORD M: TRADE CORRECTION AND CANCEL COMMENTS

POSITION	PICTURE	TYPE	DESCRIPTION
738-749	X(12)	AN	ORDER UPDATE TIME, in HHMISSNNNNNN format
750-750	X(01)	AN	Literally "X"; indicates the end of record M

# 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 "EXP <b>B</b> ORDER <b>B</b> EXEC <b>B</b> LOG"
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