

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: OPTION EXERCISE & ASSIGNMENT - MONTHLY

### GENERAL INFORMATION

File Frequency: Monthly  
 Record Size: 132 Characters  
 Form Name: OPTX

### DESCRIPTION:

The OPTX file contains only the bookkeeping transactions for exercised and assigned options. The Bookkeeping file is based on the option expiration cycle. Please note that expired options are bypassed.

OPTX is created monthly on the first Saturday after options expiration weekend.

### 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 "OX <b>B</b> OPT <b>B</b> EXER <b>B</b> ASSIGN"
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"
105-131	X(27)	AN	Not Used
132-132	X(01)	AN	Literally "A"; indicates the end of the header record

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## DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "OX"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010-011	X(02)	AN	For Pershing Internal Use Only
012-012	X(01)	AN	CREDIT/DEBIT INDICATOR; values include: "C" = Credit "D" = Debit
013-022	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1) and Type (1)
023-030	9(08)	N	QUANTITY; represents number of contracts
031-033	X(03)	AN	SOURCE Code; values include: "ASG" = Assigned "XER" = Exercised
034-056	X(23)	AN	Not Used
057-057	X(01)	AN	OFFSET; values include: "H" = Long (XER) "I" = Short (ASG)
058-063	X(06)	AN	OPTION TICKER SYMBOL
064-066	X(03)	AN	Not Used
067-077	X(11)	AN	STRIKE PRICE (text format); for example, \$17.50 = "17.50BBBBBBBBB"
078-085	X(09)	AN	CUSIP NUMBER
087-088	X(02)	AN	Not Used
OCC DATA SET – The following four fields (in position 89 through 109) comprise the OCC DATA SET to be used in lieu of the OPRA Symbol			
089-094	X(06)	AN	OPTION ROOT ID
095-100	9(06)	N	EXPIRATION DATE, in YYMMDD format
101-101	X(01)	AN	CALL/PUT Indicator, acceptable values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put
102-109	9(05)v9(03)	N	STRIKE PRICE
110-131	X(22)	AN	Not Used
132-132	X(01)	AN	Literally "X"; indicates the end of detail record A

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## 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 "OX <b>B</b> OPT <b>B</b> EXER <b>B</b> ASSIGN"
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"
072-105	X(34)	AN	Literally " <b>B</b> END <b>B</b> HERE. <b>B</b> TOTAL <b>B</b> DETAIL <b>B</b> RECORDS: <b>B</b> "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-125	X(10)	AN	Literally " <b>B</b> UPDATED <b>B B</b> " or " <b>B</b> REFRESHED" (this will indicate whether an update or refreshed file was created on this day)
126-131	X(06)	AN	Not Used
132-132	X(01)	AN	Literally "Z"; indicates the end of the trailer record