

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: PRODUCT STATISTICS BY AE

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 132 characters
 Form Name: PRST

DESCRIPTION

The Product Statistics by AE file (PRST) is created daily. It is produced on a trade and settlement date basis for firms that use the Commission and Payout System (CAPS). The trade date files represent all trades and trade adjustments for a particular trade date and produce the record types for each trade, per the file layout.

The settlement date file represents only settled trades or trade adjustments that have settled on a given day. This file contains service charge information for each trade, number of net orders, net billable orders, number of trades or executions (TKTS), and cancelled TKTS.

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.

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 "PRODUCT B STATISTICS"
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"
105-131	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 = "PS"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-012	X(01)	AN	RECORD IDENTIFIER; values include: "S" = Settlement date "T" = Trade date
013-015	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
016-016	X(01)	AN	Not Used
017-019	X(03)	AN	REVENUE CENTER
020-022	X(03)	AN	OFFICE NUMBER
023-023	X(01)	AN	Not Used
024-026	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
027-027	X(01)	AN	PRODUCT CATEGORY; values include: "A" = Agency/Cust "B" = Agency /Dealer "C" = Principal "F" = Fees
028-031	X(04)	AN	PRODUCT CODE; see Appendix H, CAPS Product Codes
032-032	X(01)	AN	MARKET/LIMIT INDICATOR; values include: "A" = Auto "L" = Limit "M" = Market "T" = Total listed (ELIS Total) "X" = Other/Clearance only "B" = Product code (028-031) not equal to "ELIS"
033-033	X(01)	AN	RECORD TYPE; values include "D" = Daily totals "M" = Monthly totals
034-035	X(02)	AN	Not Used
036-043	9(08)	N	NET ORDERS; number of orders for each security type, excluding cancelled orders
044-044	X(01)	AN	NET ORDERS SIGN; values include: "+" = Positive "-" = Negative "B" = Not applicable
045-052	9(08)	N	NET BILLABLE ORDERS; net orders including the Pershing Charge
053-053	X(01)	AN	NET BILLABLE ORDERS SIGN; values include: "+" = Positive "-" = Negative

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POSITION	PICTURE	TYPE	DESCRIPTION
			“ b ” = Not applicable
054-061	9(08)	N	TKTS, number of trades or executions
062-062	X(01)	AN	TKTS SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
063-070	9(08)	N	CANCELLED TKTS; number of cancelled trades
071-071	X(01)	AN	CANCELLED TKTS SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
072-084	9(09)v9(04)	N	QUANTITY
085-085	X(01)	AN	QUANTITY SIGN, values include: “+” = Positive “-” = Negative “ b ” = Not applicable
086-098	9(11)v9(02)	N	COMMISSIONS/SALES CREDITS/FEES
099-099	X(01)	AN	COMMISSIONS/SALES CREDITS/FEES SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
100-108	9(07)v9(02)	N	MISCELLANEOUS FEES
109-109	X(01)	AN	MISCELLANEOUS FEES SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
110-118	9(07)v9(02)	N	SERVICE CHARGE/OTHER FEE
119-119	X(01)	AN	SERVICE CHARGE/OTHER FEE SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
120-130	9(09)v9(02)	N	PERSHING CHARGE
131-131	X(01)	AN	PERSHING CHARGE SIGN; values include: “+” = Positive “-” = Negative “ b ” = Not applicable
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 PERSHING B " (end of Pershing file)
019-036	X(18)	AN	Literally "PRODUCT B STATISTICS"
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
116-131	X(16)	AN	Not Used
132-132	X(01)	AN	Literally "Z"; indicates the end of the trailer record