

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: PCAS DOCUMENTS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 250 characters
 Form Name: PTD2

DESCRIPTION

The PCAS Document file (PTD2) is created after the close of business each day. The main file incorporates all receive items entered into the PCAS database and is transmitted on request. The four Custody files, PTD1, PTD2, PTD3 and PTD6, once combined, contain all the details that are available on the PCAS system. The Document file (which could have no details for an item) contains all of the documents that were connects to the original item detail.

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 "PCAS B DOC B DOWNLOAD 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"
105-249	X(145)	AN	Not Used
250-250	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 = "P2"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	RECORD ID SEQUENCE NUMBER; begins with "000001"
010-012	X(03)	AN	DOCUMENT BATCH ID; values range from "AAA" to "799"
013-020	9(08)	N	DOCUMENT BATCH CREATION DATE, in CCYYMMDD format
021-023	9(03)	N	RECEIVE ITEM SEQUENCE NUMBER; values range from "001" to "999"
024-033	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1) and Type; values for Type include: "1" = Cash "2" = Margin
034-036	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
037-039	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
040-042	X(03)	AN	DOCUMENT CODE; values include: "001" = Stock/bond power "002" = Corporate resolution "003" = Certificate of name change "004" = Certificate of merger "005" = Certificate of dissolution "006" = Non-corporate resolution "007" = Birth certificate "008" = Death certificate "009" = Power of attorney "010" = Court appointment by guardian "011" = Court appointment dated W/I 60 days "014" = Trust agreement - notarized "016" = Affidavit of domicile - notarized "024" = Stop release letter "026" = Power of attorney release "027" = 144 form "028" = Broker's representation letter "029" = Opinion from issuer's counsel "042" = Seller's representation letter "044" = Prospectus letter "050" = Endorsement by registered holder(s) "051" = Endorsement by trustee(s) "053" = Endorsement by attorney in fact "054" = Endorsement by authorized officer "055" = Endorsement by executor(s) (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“063” = Endorsement by surviving tenant(s) “065” = Endorsement by partner(s) “073” = Partnership agreement “089” = Letter of authorization “099” = Other “108” = Marriage certificate “110” = W-9 form “111” = Proof of ownership “198” = Crest form “199” = Do not use “990” = Letter of transmittal
043-092	X(50)	AN	DOCUMENT NAME; see previous field for values
093-095	X(03)	AN	DOCUMENT STATUS CODE; values include: “NRC” = Not received “NRQ” = Not required documents “RCV” = Received document “REJ” = Rejected document “REQ” = Requested document “SNT” = Sent document
096-103	9(08)	N	DOCUMENT STATUS CHANGE DATE, in CCYYMMDD format
104-163	X(60)	AN	DOCUMENT ERROR TEXT
164-249	X(86)	AN	Not Used
250-250	X(01)	AN	Literally “X”; indicates the end of 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 “PCAS B DOC B DOWNLOAD 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
116-249	X(134)	AN	Not Used
250-250	X(01)	AN	Literally “Z”; indicates the end of the trailer record