

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: RULES ENGINE ASSIGNMENTS

GENERAL INFORMATION

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

DESCRIPTION

The Rules Engine Assignment File (REAS) is created nightly to produce an extract of Rule Assignments for Domestic Order Entry.

REAS displays for each Broker/Dealer the assignment details, including the rule name, outcome, level, violation message, as well as date and time assignment was made or updated.

The information is sorted by Rule Code, Rule Level Priority, and by Source of Input Code.

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.

The REAS file can be configured only on the IBD level.

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

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 “RULES B ENGINE B ASGN 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(395)	AN	Not Used
500-500	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 = "RB"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-021	X(10)	AN	Not Used
022-024	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
025-025	X(01)	AN	Not Used
026-034	X(09)	AN	<i>Reserved for Introducing Firm</i>
035-044	X(10)	AN	Not Used
045-053	X(09)	AN	RULE CODE
054-055	9(02)	N	RULE LEVEL PRIORITY; values include: "01" = Account "02" = Investment professional "03" = Office "04" = IBD "05" = Introducing firm "06" = Booking entity
056-059	X(04)	AN	SOURCE OF INPUT CODE; see Appendix P for values
060-061	X(02)	AN	RULE LEVEL CODE; values include: "AC" = Account "BE" = Booking entity "IB" = IBD "IF" = Introducing firm "OF" = Office "RR" = Investment professional
062-070	X(09)	AN	RULE LEVEL VALUE; free-form
071-071	X(01)	AN	ASSIGNMENT STATUS CODE; values include: "M" = Mandatory "N" = Not assigned "Y" = Assigned
072-072	X(01)	AN	OUTCOME CODE; values include: "A" = Send for approval "D" = Default "S" = Stop "W" = Warning
073-152	X(80)	AN	RULE NAME; free-form
153-232	X(80)	AN	RULE VIOLATION MESSAGE; free-form
233-252	9(20)	N	TIMESTAMP OF LAST UPDATE; in CCYYMMDDHHMISSNNNNNN format
253-260	X(08)	AN	USERID OF LAST UPDATE
261-499	X(239)	AN	Not Used
500-500	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 "RULES B ENGINE B ASGN 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"
072-083	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
116-499	X(384)	AN	Not Used
500-500	X(01)	AN	Literally "Z"; indicates the end of the trailer record