

# PERSHING STANDARD FILE LAYOUTS

**FILE LAYOUT FOR: REORGANIZATION WIRES**

## GENERAL INFORMATION

File Frequency: Daily  
Record Size: 704 characters  
Form Names: REO1 - available @ 9:00 AM  
REO2 - available @ 4:30 PM  
REO3 - available @ 6:00 PM  
REO4 - available @ 7:30 PM  
REO5 - available @ 11:30 PM

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## DESCRIPTION

The Reorganization Wire files are created at different times during the business day.

The files are based on wires containing a variety of descriptive information about an account and security. For an effective merger wire only, if there are terms on the Notepad, the “D” record, “Client Account Information,” will appear before the “C” record, Notepad Information.

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.

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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> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "REORG <b>B</b> PAYMENT <b>B</b> WIRE" or "REORG <b>B</b> OFFER <b>B</b> WIRE" for REO5
037-046	X(10)	AN	Literally " <b>B</b> <b>B</b> DATA <b>B</b> OF <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	Literally = "XXXX"
072-085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <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:MI:SS"
105-703	X(599)	AN	Not Used
704-704	X(01)	AN	Literally "A"; indicates the end of the header record

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A: OFFER ATTRIBUTES

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "RW"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-009	9(06)	N	ID SEQUENCE NUMBER; begins with "000001"
010-010	X(01)	AN	REPORT GROUP; values include: "C" = Called securities (non-convertible) "M" = Mandatory reorganization "P" = Put (optional or mandatory) "R" = Redemption "T" = Voluntary
011-013	X(03)	AN	WIRE CODE; values include: "27 <b>B</b> " = Confirmation wire "32 <b>B</b> " = Broadcast wire "42 <b>B</b> " = Partial call (lottery results) "52 <b>B</b> " = Payout for redemption "72 <b>B</b> " = Payout of tender "82 <b>B</b> " = Payout of merger (mandatory allocation) "202" = Short liability wire "212" = Long or expiring offer wire "332" = Full call wire "402" = Partial call wire "412" = Last day wire "432" = Mandatory wire
014-022	X(09)	AN	CUSIP® NUMBER
023-023	X(01)	AN	Not Used
024-028	X(05)	AN	OFFER IDENTIFICATION CODE; values include: "ADR <b>B B</b> " = ADR termination "BID <b>B B</b> " = Dutch auction, bid offer "DOPT <b>B</b> " = Optional dividend "ELE <b>B B</b> " = Election "EXC <b>B B</b> " = Exchange offer "EXP <b>B B</b> " = Expiring, called, or change of terms in warrants "FCALL" = Full call "FNCV <b>B</b> " = Full call with convertible feature "MGR <b>B B</b> " = Mandatory reorganization "MISC <b>B</b> " = Miscellaneous "OLO <b>B B</b> " = Odd-lot offer "O/S <b>B B</b> " = Oversubscription to a rights offering "PCALL" = Partial call

(cont.)

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“PCNV <b>B</b> ” = Partial call with convertible feature “PMAN <b>B</b> ” = Mandatory put “POPT <b>B B</b> ” = Optional put “RDM <b>B B</b> ” = Redemption “S/U <b>B B</b> ” = Unit split “SUB <b>B B</b> ” = Rights offering “TND <b>B B</b> ” = Tender offer “TNDF <b>B</b> ” = Mutual Fund tender
029-047	X(19)	AN	TITLE OF PERSON TO WHOM THE WIRE IS TO BE SENT (for example, Investment Professional)
048-077	X(30)	AN	NAME OF PERSON IN CONTACT FILE
078-157	X(80)	AN	WIRE TYPE DESCRIPTION
158-165	9(08)	N	WIRE PROCESS DATE, in CCYYMMDD format
166-185	X(20)	AN	DESCRIPTION LINE 1
186-205	X(20)	AN	DESCRIPTION LINE 2
206-225	X(20)	AN	DESCRIPTION LINE 3
226-245	X(20)	AN	DESCRIPTION LINE 4
246-265	X(20)	AN	DESCRIPTION LINE 5
266-285	X(20)	AN	DESCRIPTION LINE 6
286-325	X(40)	AN	AM WIRE TEXT
326-365	X(40)	AN	OFFER DESCRIPTION
366-366	X(01)	AN	MULTIPLE OFFERS INDICATOR; values include: “N” = No multiple offer “Y” = Multiple offers
367-367	X(01)	AN	CHANGE IN TERMS INDICATOR; values include: “N” = No change in terms “Y” = Terms changed
368-382	X(15)	AN	SECURITY SYMBOL
383-390	9(08)	N	EXPIRATION DATE, in CCYYMMDD format
391-398	X(08)	AN	EXPIRATION TIME, in HH:MI:SS format
399-403	X(05)	AN	OFFER CODE 1
404-408	X(05)	AN	OFFER CODE 2
409-413	X(05)	AN	OFFER CODE 3
414-418	X(05)	AN	OFFER CODE 4
419-423	X(05)	AN	OFFER CODE 5
424-428	X(05)	AN	OFFER CODE 6
429-433	X(05)	AN	OFFER CODE 7
434-438	X(05)	AN	OFFER CODE 8
439-443	X(05)	AN	OFFER CODE 9
444-448	X(05)	AN	OFFER CODE 10
449-460	9(05)v9(07)	N	SECURITY REDEMPTION RATE

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
461-468	9(08)	N	REDEMPTION DATE, in CCYYMMDD format
469-480	9(05)v9(07)	N	ACCRUED INTEREST ON REDEMPTION
481-488	9(08)	N	PUBLICATION DATE, in CCYYMMDD format
489-496	9(08)	N	WITHDRAWAL DATE, in CCYYMMDD format
497-504	X(08)	AN	WITHDRAWAL TIME, in HH:MI:SS format
505-512	9(08)	N	PERSHING WITHDRAWAL DATE, in CCYYMMDD format
513-520	X(08)	AN	PERSHING WITHDRAWAL TIME, in HH:MI:SS format
521-528	9(08)	N	CUTOFF DATE, in CCYYMMDD format
529-536	X(08)	AN	CUTOFF TIME, in HH:MI:SS format
537-544	9(08)	N	PROTECT DATE, in CCYYMMDD format
545-552	X(08)	AN	PROTECT TIME, in HH:MI:SS format
553-558	X(06)	AN	ALTERNATE SECURITY IDENTIFIER
559-567	X(09)	AN	CALLED CUSIP NUMBER
568-568	X(01)	AN	Not Used
569-576	9(08)	N	CONVERSION DATE, in CCYYMMDD format
577-588	9(05)v9(07)	N	CONVERSION RATE
589-622	X(34)	AN	CONTRACT SIZE
623-631	X(09)	AN	CONTRA, DEFEASEMENT or PREREFUNDED CUSIP NUMBER (description is dependent on the value in position 633)
632-632	X(01)	AN	Not Used
633-633	X(01)	AN	CUSIP NUMBER VALUE, defines the type of CUSIP in 623-631; values include: "C" = Contra CUSIP number "D" = Defeasement CUSIP number "P" = Prerefunded CUSIP number "b" = Not applicable
634-703	X(70)	AN	Not Used
704-704	X(01)	AN	Literally "X"; indicates the end of detail record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B: TEXT ASSOCIATED WITH WIRE (OPTIONAL)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "RW"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-009	9(06)	N	ID SEQUENCE NUMBER; begins with "000001"
010-010	X(01)	AN	REPORT GROUP; see record A, position 10, for values
011-013	X(03)	AN	WIRE CODE; see record A, position 11, for values
014-022	X(09)	AN	CUSIP® NUMBER
023-023	X(01)	AN	Not Used
024-028	X(05)	AN	OFFER IDENTIFICATION CODE see A, pos. 24, for values
029-103	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 1
104-178	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 2
179-253	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 3
254-328	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 4
329-403	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 5
404-478	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 6
479-553	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 7
554-628	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 8
629-703	X(75)	AN	CANNED/ADDITIONAL TEXT, LINE 9
704-704	X(01)	AN	Literally "X"; indicates the end of detail record B

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD C: NOTEPAD TEXT (PERTAINS TO REO5 ONLY)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "RW"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "C"
004-009	9(06)	N	ID SEQUENCE NUMBER; begins with "000001"
010-010	X(01)	AN	REPORT GROUP; see record A, position 10, for values
011-013	X(03)	AN	WIRE CODE; see record A, position 11, for values
014-022	X(09)	AN	CUSIP® NUMBER
023-023	X(01)	AN	Not Used
024-028	X(05)	AN	OFFER IDENTIFICATION CODE see A, pos. 24, for values
<p><b>NOTEPAD TEXT FIELDS:</b> There are 84 underlying components of Notepad Text, each of which is 75 bytes in length. If information related to Notepad Text exceeds 675 bytes (i.e., Notepad Text 1 through 9), then additional records will be written until all notepad text is accounted for. This will cause multiple "C" records to be generated.</p> <p><b>Note:</b> Notepad offer information and Notepad instruction information are separated by a "/" literal.</p>			
029-103	X(75)	AN	NOTEPAD TEXT, LINE 1
104-178	X(75)	AN	NOTEPAD TEXT, LINE 2
179-253	X(75)	AN	NOTEPAD TEXT, LINE 3
254-328	X(75)	AN	NOTEPAD TEXT, LINE 4
329-403	X(75)	AN	NOTEPAD TEXT, LINE 5
404-478	X(75)	AN	NOTEPAD TEXT, LINE 6
479-553	X(75)	AN	NOTEPAD TEXT, LINE 7
554-628	X(75)	AN	NOTEPAD TEXT, LINE 8
629-703	X(75)	AN	NOTEPAD TEXT, LINE 9
704-704	X(01)	AN	Literally "X"; indicates the end of detail record C

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D: CUSTOMER ACCOUNT DETAILS

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "RW"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "D"
004-009	9(06)	N	ID SEQUENCE NUMBER; begins with "000001"
010-010	X(01)	AN	REPORT GROUP; see record A, position 10, for values
011-013	X(03)	AN	WIRE CODE; see record A, position 11, for values
014-022	X(09)	AN	CUSIP® NUMBER
023-023	X(01)	AN	Not Used
024-028	X(05)	AN	OFFER IDENTIFICATION CODE see A, pos. 24, for values
029-037	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), and Check Digit (1)
038-038	X(01)	AN	ACCOUNT TYPE; values include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Income
039-041	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
042-051	X(10)	AN	ACCOUNT SHORT NAME
052-061	X(10)	AN	Not Used
062-074	9(09)v9(04)	N	SHARE/BOND QUANTITY
075-075	X(01)	AN	SHARE/BOND QUANTITY SIGN; values include: "+" = Positive quantity "-" = Negative quantity "b" = Not applicable
076-086	9(09)v9(02)	N	PAYMENT TO CUSTOMER
087-087	X(01)	AN	PAYMENT TO CUSTOMER SIGN; values include: "+" = Positive amount "-" = Negative amount "b" = Not applicable
088-100	9(09)v9(04)	N	CALL QUANTITY
101-101	X(01)	AN	CALL QUANTITY SIGN; values include: "+" = Positive quantity "-" = Negative quantity "b" = Not applicable
102-114	9(09)v9(04)	N	OLD QUANTITY



# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
115-115	X(01)	AN	OLD QUANTITY SIGN; values include: “+” = Positive quantity “-” = Negative quantity “ <b>B</b> ” = Not applicable
116-125	X(10)	AN	SHORT INDICATOR; values include: “SHORT <b>B B B B B</b> ” = indicates a short “ <b>B</b> ” = Not applicable
126-140	X(15)	AN	CUSTOMER INSTRUCTION; values include: “TO <b>B</b> ACCEPT <b>B B B B B</b> ” “TO <b>B</b> DECLINE <b>B B B B B</b> ” “TO <b>B</b> WITHDRAW <b>B B B B</b> ” “CXL/DECLINE <b>B B B B</b> ” “ <b>B</b> ” = Not applicable
141-142	X(02)	AN	SECURITY POSITION; values include: “DS” = Directed Seg Memo (for Omnibus accounts); shares that must be segregated for fully paid underlying customer accounts “SK” = Safekeeping; (for Retail accounts) securities that are registered in customer name “ <b>B B</b> ” = Not applicable
143-144	X(02)	AN	POSITION IN TRANSFER; indicates that the position is in transfer status, where securities are being removed from street name and registered to the client; values include: “TF” = Transfer “ <b>B B</b> ” = Not applicable
145-146	X(02)	AN	NON-NEGOTIABLE SAFEKEEPING STATUS; securities registered in customer name for which no stock power has been received from the customer; values include: “NG” = Non-negotiable safekeeping “ <b>B B</b> ” = Not applicable
147-148	X(02)	AN	SOW (SECURITIES OVER THE WIRE) STATUS; securities in transit between the IBD’s branch office and Pershing’s back office; values include: “FT” = Fast memo “ <b>B B</b> ” = Not applicable
149-160	9(05)v9(07)	N	BID PRICE
161-168	X(08)	AN	ACCOUNT MNEMONIC
169-703	X(535)	AN	Not Used
704-704	X(01)	AN	Literally “X”; indicates the end of detail record D

# PERSHING STANDARD FILE LAYOUTS

## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF <b>B B B B B</b> PERSHING <b>B</b> " (end of Pershing file)
019-036	X(18)	AN	Literally "REORG <b>B</b> PAYMENT <b>B</b> WIRE" or "REORG <b>B</b> OFFER <b>B</b> WIRE" for REO5
037-046	X(10)	AN	Literally " <b>B B</b> DATA <b>B</b> OF <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
116-703	X(588)	AN	Not Used
704-704	X(01)	AN	Literally "Z"; indicates the end of the trailer record