

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: REQUIRED MINIMUM DISTRIBUTIONS (RMD)

GENERAL INFORMATION

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

DESCRIPTION

The Required Minimum Distribution (RMIN) file is created on a nightly basis and contains the Required Minimum Distribution (RMD) information associated with an account.

A full file is sent nightly.

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 “REQ B MINIMUM B DIST B B ”
037-046	X(10)	AN	Literally “ B DATA B OF B B ”
047-056	X(10)	AN	DATEOF 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”
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Literally “REFRESHED”
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally “A”; indicates the end of the header record

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DETAIL RECORD A – GENERIC INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = “RM”
003-003	X(01)	AN	RECORD INDICATOR VALUE = “A”
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with “00000001”
012-020	X(09)	AN	ACCOUNT NUMBER, including Office (3), Base Account (5), Check Digit (1)
021-023	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
024-024	X(01)	AN	Not Used
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-028	X(01)	AN	Not Used
029-031	X(03)	AN	MULTIPLE RETIREMENT ACCOUNT INDICATOR; values include: “YES” = Client has multiple retirement accounts “NO B ” = Client does not have multiple retirement accounts
032-035	9(03)v9(01)	N	HOLDER AGE
036-053	9(16)v9(02)	N	PREVIOUS YEAR FAIR MARKET VALUE
054-054	X(01)	AN	PREVIOUS YEAR FAIR MARKET VALUE SIGN; values include: “+” = Positive market value “-” = Negative market value “ B ” = Not applicable
055-072	9(16)v9(02)	N	CURRENT YEAR REQUIRED MINIMUM DISTRIBUTION
073-073	X(01)	AN	CURRENT YEAR REQUIRED MINIMUM DISTRIBUTION; values include: “+” = Positive amount “-” = Negative amount “ B ” = Not applicable
074-091	9(16)v9(02)	N	YEAR-TO-DATE DISTRIBUTION
092-092	X(01)	AN	YEAR-TO-DATE DISTRIBUTION SIGN values include: “+” = Positive amount “-” = Negative amount “ B ” = Not applicable
093-110	9(16)v9(02)	N	REMAINING RMD
111-111	X(01)	AN	REMAINING RMD; values include: “+” = Positive amount “-” = Negative amount “ B ” = Not applicable
112-129	9(16)v9(02)	N	CASH AVAILABLE
130-130	X(01)	AN	CASH AVAILABLE SIGN; values include: “+” = Positive amount

(cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“-” = Negative amount “B” = Not applicable
131-137	X(07)	AN	STATUS; values include: “METBBB” = Account has reached the required minimum distribution “NOTB MET” Account has not reached the required minimum distribution
138-140	X(03)	AN	NEW TORMD LISTING; values include: “YES” = New record “NOB” = Existing record “DEL” = Existing record deleted
141-143	9(02)v9(01)	N	CALCULATION FACTOR
144-144	X(01)	AN	Not Used
145-145	X(01)	AN	INHERITED FLAG; values include: “Y” = Yes; inherited “N” = No; not inherited
146-146	X(01)	AN	PERIODIC PAYMENT FLAG; values include: “Y” = Yes; payment flag set “N” = No; payment flag not set
147-499	X(353)	AN	Not Used
500-500	X(01)	AN	Literally “X”; indicates the end of the detail record A

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally “EOFBBBBB PERSHINGB” (end of Pershing file)
019-036	X(18)	AN	Literally “REQB MINIMUMB DISTBB”
037-046	X(10)	AN	Literally “B DATA B OF BB”
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
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Literally “REFRESHED”
128-499	X(372)	AN	Not Used
500-500	X(01)	AN	Literally “Z”; indicates the end of the trailer record