

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: RETIREMENT PLAN FEE CHARGE

GENERAL INFORMATION

File Frequency: Monthly
Record Size: 750 characters
Form Name: RPFC

DESCRIPTION

The Retirement Plan Fee Charge file (RPFC) is created monthly on the 20th calendar day of the month. If this date falls on a holiday or weekend, the charge date will be the next business day. Jobs run at the end of the day, crossing midnight, so clients can expect this file on the next calendar day morning.

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 "BOFBBBBB PERSHINGB" (beginning of Pershing file)
019-036	X(18)	AN	Literally "RETBPLANBFEEBCHARGE"
037-046	X(10)	AN	Literally "BDATAB OF BB"
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "BTOB REMOTEB"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally "BBEGINSBHEREBB"
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"
105-749	X(645)	AN	Not Used
750-750	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 = "CH"
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), and Check Digit (1)
021-021	X(01)	AN	<i>Reserved for account type</i>
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>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
Account-Specific Information			
045-052	9(08)	N	ACCOUNT OPEN DATE, in CCYYMMDD format
053-054	X(02)	AN	TYPE OF RETIREMENT ACCOUNT; see Appendix D, "Retirement Plan Identifiers"
055-058	X(04)	AN	PLAN TYPE; see Appendix D, "Retirement Plan Identifiers"
059-066	9(08)	N	CUSTODIAN DATE, in CCYYMMDD format
067-070	X(04)	AN	CUSTODIAN CODE; values include: "A" = Pershing LLC "9" = Pershing LLC (BNY) For other third party custodian codes and descriptions, contact your Pershing Account Manager for details
071-072	X(02)	AN	EMPLOYEE/EMPLOYEE RELATED INDICATOR; values include: "EM" = Employee "ER" = Employee Related "BB" = Not applicable; neither employee or employee related
073-076	X(04)	AN	ACCOUNT SERVICE LEVEL CODE; optional, IBD-specific
Fee-Related Information			
077-077	X(01)	AN	Not Used
078-086	X(09)	AN	ALTERNATE BILL TO ACCOUNT; the account that absorbs the fee
087-087	X(01)	AN	FEE EXEMPTION INDICATOR; values include: "Y" = Account is exempt "N" = Account is not exempt
088-095	9(08)	N	INVOICE DATE, in CCYYMMDD format
96-113	9(16)v9(02)	N	AMOUNT INVOICED
114-114	X(01)	AN	AMOUNT INVOICED SIGN; values include: "-" = Debit "+" = Credit

(cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“ b ” = Zero value or not available
115-122	9(08)	N	CHARGE DATE, in CCYYMMDD format
123-130	9(08)	N	FEE RELEASE DATE , in CCYYMMDD format
131-148	9(16)v9(02)	N	MAINTENANCE FEE DUE
149-149	X(01)	AN	MAINTENANCE FEE DUE SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
150-157	9(08)	N	MAINTENANCE FEE PAID DATE, in CCYYMMDD format
158-175	9(16)v9(02)	N	MAINTENANCE FEE PAID, annual maintenance fee
176-176	X(01)	AN	MAINTENANCE FEE PAID SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
177-194	9(16)v9(02)	N	TOTAL ASSETS, at the time of charge
195-195	X(01)	AN	TOTAL ASSETS SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
196-213	9(16)v9(02)	N	FIRM FEE AMOUNT
214-214	X(01)	AN	FIRM FEE SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
215-232	9(16)v9(02)	N	MARK UP AMOUNT
233-233	X(01)	AN	MARK UP SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
234-251	9(16)v9(02)	N	PERSHING DEBIT AMOUNT
252-252	X(01)	AN	PERSHING DEBIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available
253-270	9(16)v9(02)	N	IBD DEBIT AMOUNT
271-271	X(01)	AN	IBD DEBIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ b ” = Zero value or not available

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POSITION	PICTURE	TYPE	DESCRIPTION
272-289	9(16)v9(02)	N	OFFICE DEBIT AMOUNT
290-290	X(01)	AN	OFFICE DEBIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
291-308	9(16)v9(02)	N	IP DEBIT AMOUNT
309-309	X(01)	AN	IP DEBIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
310-327	9(16)v9(02)	N	CUSTOMER DEBIT AMOUNT
328-328	X(01)	AN	CUSTOMER DEBIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
329-346	9(16)v9(02)	N	ALTERNATIVE BILL TO DEBIT AMOUNT
347-347	X(01)	AN	ALTERNATIVE BILL TO DEBIT AMT. SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
348-387	X(40)	AN	<i>Reserved for future expansion</i>
388-405	9(16)v9(02)	N	PERSHING CREDIT AMOUNT
406-406	X(01)	AN	PERSHING CREDIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
407-424	9(16)v9(02)	N	IBD CREDIT AMOUNT
425-425	X(01)	AN	IBD CREDIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
426-443	9(16)v9(02)	N	OFFICE CREDIT AMOUNT
444-444	X(01)	AN	OFFICE CREDIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available
445-462	9(16)v9(02)	N	IP CREDIT AMOUNT
463-463	X(01)	AN	IP CREDIT AMOUNT SIGN; values include: “-” = Debit “+” = Credit “ B ” = Zero value or not available

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POSITION	PICTURE	TYPE	DESCRIPTION
464-520	X(57)	AN	<i>Reserved for future expansion</i>
521-550	X(30)	AN	PERSHING-SUPPORTED EXEMPTION/EXCEPTION
551-580	X(30)	AN	IBD-SUPPORTED EXEMPTION/EXCEPTION
581-745	X(165)	AN	Not Used
746-749	X(04)	AN	For Pershing Internal Use Only
750-750	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 "RET B PLAN B FEE B CHARGE"
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
116-749	X(634)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record