

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: RETIREMENT PLAN FEE INVOICE / PRELIMINARY

### GENERAL INFORMATION

File Frequency: Monthly  
 Record Size: 750 characters  
 Form Name: RPFI (Invoice) / RPPF (Preliminary)

### DESCRIPTION

The Retirement Plan Fee Invoice file (RPFI) is created monthly on the 15<sup>th</sup> calendar day of the month. If this date falls on a holiday or weekend, then the invoice process will run the next business day. Jobs run at the end of the day, crossing midnight, so clients can expect this file on the next calendar morning.

The Retirement Plan Fee Preliminary (RPPF) is created monthly on the 1<sup>st</sup> calendar day of the month. If this date falls on a holiday or weekend, then the preliminary invoice process will run 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 "BOF <b>B B B B B B</b> PERSHING <b>B</b> " (beginning of Pershing file)
019 - 036	X(18)	AN	For RPFI: Literally "RET <b>B</b> PLAN <b>B</b> FEE <b>B</b> INVCE" For RPPF: Literally "RET <b>B</b> PLAN <b>B</b> FEE <b>B</b> PRELM"
037 - 046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>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 - 085	X(14)	AN	Literally " <b>B</b> BEGINS <b>B</b> HERE <b>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: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 CODES; values include: “IV” = RPFI (Invoice) “IE” = RPPF (Preliminary)
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 CCYMMDD 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 CCYMMDD 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 “ <b>bb</b> ” = 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	INVOICE CREATED; values include: “Y” = Invoice letter has been created “N” = Invoice letter has not been created
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 CCYMMDD format

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POSITION	PICTURE	TYPE	DESCRIPTION
096 - 113	9(16)v9(02)	N	AMOUNT INVOICED, for RPF I Invoice amount; for RPF P, Preliminary amount
114 - 114	X(01)	AN	AMOUNT INVOICED SIGN; values include: “-” = Debit “+” = Credit “ <b>B</b> ” = Zero value or not available
115 - 130	X(16)	AN	Not Used
131 - 148	9(16)v9(02)	N	MAINTENANCE FEE DUE
149 - 149	X(01)	AN	MAINTENANCE FEE DUE SIGN; values include: “-” = Debit “+” = Credit “ <b>B</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>B</b> ” = Zero value or not available
177 - 194	9(16)v9(02)	N	TOTAL ASSETS
195 - 195	X(01)	AN	TOTAL ASSETS SIGN; values include: “-” = Debit “+” = Credit “ <b>B</b> ” = Zero value or not available
196 - 213	9(16)v9(02)	N	PERSHING FEE AMOUNT, effective 4 <sup>th</sup> Q 2020
214 - 214	X(01)	AN	PERSHING FEE AMOUNT SIGN, values include: “+” = Positive amount “-” = Negative amount “ <b>B</b> ” = Not applicable
215 - 232	9(16)v9(02)	N	CLIENT FEE AMOUNT, effective 4 <sup>th</sup> Q 2020
233 - 233	X(01)	AN	CLIENT FEE AMOUNT SIGN, values include: “+” = Positive amount “-” = Negative amount “ <b>B</b> ” = Not applicable
234 - 522	X(289)	AN	Not Used
523 - 552	X(30)	AN	PERSHING-SUPPORTED EXEMPTION / EXCEPTION
553 - 582	X(30)	AN	IBD-SUPPORTED EXEMPTION / EXCEPTION
583 - 745	X(163)	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

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## TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001 - 018	X(18)	AN	Literally "EOF <b>B B B B B B</b> PERSHING <b>B</b> " (end of Pershing file)
019 - 036	X(18)	AN	For RPFI: Literally "RET <b>B</b> PLAN <b>B</b> FEE <b>B</b> INVCE" For RPPF: Literally "RET <b>B</b> PLAN <b>B</b> FEE <b>B</b> PRELM"
037 - 046	X(10)	AN	Literally " <b>B</b> DATA <b>B</b> OF <b>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 - 749	X(634)	AN	Not Used
750 - 750	X(01)	AN	Literally "Z"; indicates the end of the trailer record