

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: SETTLEMENT INSTRUCTIONS

### GENERAL INFORMATION

File Frequency: Daily Update; Weekly Refresh  
Record Size: 750 characters  
Form Name: SETD (Update), SETF (Refresh)

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### DESCRIPTION

The Settlement (SETD/SETF) files are designed to display all Settlement Instruction options for **DVP** accounts.

Each detail record represents a type of Settlement Instruction and each record type contains an Instruction Sequence Number in positions **082-084** (in Records B-F) to differentiate the various instructions for specific asset types as indicated:

- A = Generic Account Information (this is the only required record)
- B = DTC Instructions (up to 6 occurrences)
- C = *Reserved for future DTC expansion*
- D = Federal Reserve Instructions (up to 3 occurrences)
- E = Non-US Instructions (up to 100 occurrences)
- F = Legacy Physical Instructions (up to 6 occurrences)

If an account has at least one set of settlement instructions, that information will be displayed following the “A” record for that account. Only the record types that have valid instructions will be displayed on the file.

This file is updated on a daily basis and refreshed on a weekly or monthly basis.

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

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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> PERSHING <b>B</b> " (beginning of Pershing file)
019-036	X(18)	AN	For SETD: Literally "SETL <b>B</b> INSTRU <b>B</b> UPDATE" For SETF: Literally "SETL <b>B</b> INSTRU <b>B</b> FULL <b>B B</b> "
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"
105-118	X(14)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally "REFRESHED" or "UPDATED <b>B B</b> "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "A"; indicates the end of the header record

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD A – GENERIC ACCOUNT INFORMATION

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “SE” = SETD (Update) “TF” = SETF (Refresh)
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)
021-021	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 BROKER</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
045-054	X(10)	AN	ACCOUNT SHORT NAME
055-056	X(02)	AN	Not Used
057-064	9(08)	N	DATE OF BIRTH OF INDIVIDUAL ACCOUNT, in CCYYMMDD FORMAT
065-065	X(01)	AN	Not Used
066-066	X(01)	AN	ACCOUNT CROSS-REFERENCED INDICATOR; indicates whether the account is cross-referenced at OMGEO with ALERT Direct; values include (applies only to COD accounts): “Y” = Account is cross-referenced with ALERT Direct “N” = Account is not cross-referenced with ALERT Direct
067-074	X(08)	AN	ALERT IM ACRONYM; identifies the buy-side entity, e.g., an Investment Manager (applies only to COD accounts)
075-084	X(10)	AN	<i>Reserved</i>
085-100	X(16)	AN	ALERT IM ACCESS CODE; identifies the specific account at the Institution
101-104	X(04)	AN	<i>Reserved</i>
105-112	X(08)	AN	BROKER ACRONYM; identifies the sell-side entity
113-122	X(10)	AN	<i>Reserved</i>
123-133	X(11)	AN	END BENEFICIARY BANK IDENTIFICATION CODE (BIC)
134-143	X(10)	AN	PARENT ID
144-153	X(10)	AN	<i>Reserved</i>
154-173	X(20)	AN	INSTITUTIONAL ACCOUNT NUMBER
174-223	X(50)	AN	Not Used

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
Account Registration Information			
224-224	X(01)	AN	NUMBER OF ACCOUNT TITLE LINES IN REGISTRATION LINES (values 1, 2, 3, 4)
225-256	X(32)	AN	ACCOUNT REGISTRATION LINE 1
257-288	X(32)	AN	ACCOUNT REGISTRATION LINE 2
289-320	X(32)	AN	ACCOUNT REGISTRATION LINE 3
321-352	X(32)	AN	ACCOUNT REGISTRATION LINE 4
353-384	X(32)	AN	ACCOUNT REGISTRATION LINE 5
385-416	X(32)	AN	ACCOUNT REGISTRATION LINE 6
417-456	X(40)	AN	<i>Reserved</i>
The following applies only to Accounts with Institutional Master/Client Relationship			
457-465	X(09)	AN	PERSHING UNIQUE IDENTIFIER (BUSINESS PARTY ID)
466-481	X(16)	AN	EXTERNAL UNIQUE IDENTIFIER
482-513	X(32)	AN	CLIENT NAME
514-749	X(236)	AN	Not Used
750-750	X(01)	AN	Literally "X"; indicates the end of record A

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD B – DTC INSTRUCTIONS (6 OCCURRENCES)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “SE” = SETD (Update) “TF” = SETF (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “B”
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)
021-021	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 BROKER</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
045-054	X(10)	AN	ACCOUNT SHORT NAME
055-056	X(02)	AN	Not Used
057-057	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ <b>B</b> ” = Unchanged instruction “A” = Add new instruction “C” = Change to existing instruction “D” = Instruction being deleted; last time displayed
058-061	X(04)	AN	LOCATION CODE; value includes: “DTC <b>B</b> ” = DTC location
062-065	X(04)	AN	PRODUCT CODE; space is a valid value; see Appendix 9 for values
066-073	9(08)	N	EFFECTIVE DATE, in CCYYMMDD format
074-081	9(08)	N	LAST UPDATED DATE, in CCYYMMDD format
082-084	9(03)	N	DTC INSTRUCTION RECORD SEQUENCE NUMBER (001-006)
085-085	X(01)	AN	PRIMARY INSTRUCTION INDICATOR; values include: “Y” = Primary instruction for all the instructions in the DTC settlement method “N” = Alternate instruction in this settlement method
086-086	X(01)	AN	CONFIRMATION OPTION; values include: “1” = ID Confirm Only (default for DTC) “7” = ID Confirm and Hard Copy; applicable to DTC only “3” = Hard Copy Confirm Only (default for non-DTC); applicable to non-DTC “ <b>B</b> ” = Not applicable

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
087-094	X(08)	AN	ASSET TYPE FOR INSTRUCTION; can be spaces; values include: “EQUITY <b>bb</b> ” “ASSTBACK” “MONEYMKT” “GOVTSEC <b>b</b> ” “CORPDEBT” “MUNIDEBT”
095-095	X(01)	AN	CROSS-REFERENCED IN ALERT INDICATOR; values include: “Y” = Instruction is cross-referenced in ALERT “N” = Instruction is not cross-referenced in ALERT
096-103	X(08)	AN	INSTITUTION NUMBER
104-153	X(50)	AN	INSTITUTION NAME
154-161	X(08)	AN	AGENT NUMBER
162-211	X(50)	AN	AGENT NAME
212-227	X(16)	AN	AGENT INTERNAL NUMBER
228-277	X(50)	AN	AGENT INTERNAL NAME; free-form text
278-285	X(08)	AN	CLEARING AGENT NUMBER
286-335	X(50)	AN	CLEARING AGENT NAME
336-343	X(08)	AN	FIRST DTC IP NUMBER
344-393	X(50)	AN	FIRST DTC IP NAME
394-416	X(23)	AN	FIRST IP ACCOUNT NUMBER
417-424	X(08)	AN	SECOND DTC IP NUMBER
425-474	X(50)	AN	SECOND DTC IP NAME
475-497	X(23)	AN	SECOND IP ACCOUNT NUMBER
498-749	X(252)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of record B

## **DETAIL RECORD C – RESERVED FOR FUTURE DTC INSTRUCTIONS**

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD D – FEDERAL RESERVE INSTRUCTIONS (3 OCCURRENCES)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “SE” = SETD (Update) “TF” = SETF (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “D”
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)
021-021	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 BROKER</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
045-054	X(10)	AN	ACCOUNT SHORT NAME
055-056	X(02)	AN	Not Used
057-057	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ <b>B</b> ” = Unchanged instruction “A” = Add new instruction “C” = Change to existing instruction “D” = Instruction being deleted; last time displayed
058-061	X(04)	AN	LOCATION CODE; value includes: “FED <b>B</b> ” = Federal location
062-065	X(04)	AN	PRODUCT CODE; space is a valid value; see Appendix 9 for values
066-073	9(08)	N	EFFECTIVE DATE, in CCYYMMDD format
074-081	9(08)	N	LAST UPDATED DATE, in CCYYMMDD format
082-084	9(03)	N	FED INSTRUCTION RECORD SEQ. NUMBER (001-003)
085-085	X(01)	AN	PRIMARY INSTRUCTION INDICATOR; values include: “Y” = Primary instruction for all the instructions in this settlement method “N” = Alternate instruction in this settlement method
086-086	X(01)	AN	CONFIRMATION OPTION; values include: “1” = ID Confirm Only (default for DTC) “7” = ID Confirm and Hard Copy; applicable to DTC only “3” = Hard Copy Confirm Only (default for non-DTC); applicable to non-DTC “ <b>B</b> ” = Not applicable

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
087-094	X(08)	AN	ASSET TYPE FOR INSTRUCTION; can be spaces; values include: “ASSTBACK” “GOVTSEC <b>b</b> ” “CORPDEBT”
095-095	X(01)	AN	CROSS-REFERENCED IN ALERT INDICATOR; values include: “Y” = Instruction is cross-referenced in ALERT “N” = Instruction is not cross-referenced in ALERT
096-104	X(09)	AN	ABA NUMBER
105-154	X(50)	AN	BANK NAME / FEDERAL ADDRESS
155-186	X(32)	AN	THIRD PARTY NAME
187-226	X(40)	AN	THIRD PARTY ACCOUNT NUMBER
227-258	X(32)	AN	FOURTH PARTY NAME
259-298	X(40)	AN	FOURTH PARTY ACCOUNT NUMBER
299-749	X(451)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of record D



# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD E – NON-US INSTRUCTIONS (100 OCCURRENCES)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “SE” = SETD (Update) “TF” = SETF (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “E”
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)
021-021	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 BROKER</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
045-054	X(10)	AN	ACCOUNT SHORT NAME
055-056	X(02)	AN	Not Used
057-057	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ <b>B</b> ” = Unchanged instruction “A” = Add new instruction “C” = Change to existing instruction “D” = Instruction being deleted; last time displayed
058-061	X(04)	AN	SETTLEMENT LOCATION MARKET CODE; see Appendix 9 for values
062-065	X(04)	AN	PRODUCT CODE; space is a valid value; see Appendix 9 for values
066-073	9(08)	N	EFFECTIVE DATE, in CCYYMMDD format
074-081	9(08)	N	LAST UPDATED DATE, in CCYYMMDD format
082-084	9(03)	N	NON-US INSTRUCTION RECORD SEQ. NUMBER (001-100)
085-086	X(02)	AN	Not Used
087-094	X(08)	AN	ASSET TYPE FOR INSTRUCTION; can be spaces; values include: “EQUITY <b>B B</b> ” “ASSTBACK” “MONEYMKT” “GOVTSEC <b>b</b> ” “CORPDEBT” “MUNIDEBT”
095-095	X(01)	AN	CROSS-REFERENCE IN ALERT INDICATOR; values include: “Y” = Cross-reference “N” = Not applicable
096-097	X(02)	AN	Not Used

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
098-099	X(02)	AN	COUNTRY CODE OF NON-US MARKET; see Appendix Q
100-100	X(01)	AN	Not Used
101-101	X(01)	AN	PRIMARY OR ALTERNATE INSTRUCTION; values include: “P” = Primary “A” = Alternate
102-113	X(12)	AN	ID (for Primary) or ALIAS (for Alternate)
114-133	X(20)	AN	CLEARING AGENT LOCAL CODE
134-144	X(11)	AN	LOCAL CLEARING AGENT BANK IDENTIFIER CODE (BIC)
145-176	X(32)	AN	LOCAL CLEARING AGENT BANK NAME
177-211	X(35)	AN	ACCOUNT # at LOCAL CLEARING AGENT
212-243	X(32)	AN	SUB CUSTODIAN NAME
244-254	X(11)	AN	SUB CUSTODIAN BANK IDENTIFIER CODE (BIC)
255-289	X(35)	AN	CUSTOMER ACCOUNT # AT SUB CUSTODIAN
290-749	X(460)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of record E

# PERSHING STANDARD FILE LAYOUTS

## DETAIL RECORD F – LEGACY PHYSICAL INSTRUCTIONS (6 OCCURRENCES)

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODES; values include: “SE” = SETD (Update) “TF” = SETF (Refresh)
003-003	X(01)	AN	RECORD INDICATOR VALUE = “F”
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)
021-021	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 BROKER</i>
035-037	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
038-044	X(07)	AN	Not Used
045-054	X(10)	AN	ACCOUNT SHORT NAME
055-056	X(02)	AN	Not Used
057-057	X(01)	AN	TRANSACTION TYPE; values include: “X” or “ <b>B</b> ” = Unchanged instruction “A” = Add new instruction “C” = Change to existing instruction “D” = Instruction being deleted; last time displayed
058-061	X(04)	AN	LOCATION CODE; value includes: “PHY <b>B</b> ” = Physical location
062-065	X(04)	AN	PRODUCT CODE; space is a valid value; see Appendix 9
066-073	9(08)	N	EFFECTIVE DATE, in CCYYMMDD format
074-081	9(08)	N	LAST UPDATED DATE, in CCYYMMDD format
082-084	9(03)	N	PHYSICAL INSTRUCTION RECORD SEQUENCE NUMBER (001-006)
085-085	X(01)	AN	PRIMARY INSTRUCTION INDICATOR; values include: “Y” = Primary instruction for all the instructions in the DTC settlement method “N” = Alternate instruction in this settlement method
086-086	X(01)	AN	Not Used
087-094	X(08)	AN	ASSET TYPE FOR INSTRUCTION; can be spaces; values include: “EQUITY <b>B B</b> ” “ASSTBACK” “MONEYMKT” “GOVTSEC <b>B</b> ” “CORPDEBT” “MUNIDEBT”

# PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
095-095	X(01)	AN	CROSS-REFERENCED IN ALERT INDICATOR; values include: “Y” = Instruction is cross-referenced in ALERT “N” = Instruction is not cross-referenced in ALERT
096-110	X(15)	AN	ACCOUNT NUMBER FOR PHYSICAL DELIVERY
111-142	X(32)	AN	OTHER INSTRUCTIONS 1
143-174	X(32)	AN	OTHER INSTRUCTIONS 2
175-206	X(32)	AN	OTHER INSTRUCTIONS 3
207-238	X(32)	AN	OTHER INSTRUCTIONS 4
239-270	X(32)	AN	OTHER INSTRUCTIONS 5
271-302	X(32)	AN	OTHER INSTRUCTIONS 6
303-749	X(447)	AN	Not Used
750-750	X(01)	AN	Literally “X”; indicates the end of record F

# PERSHING STANDARD FILE LAYOUTS

## 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 SETD: Literally "SETL <b>B</b> INSTRU <b>B</b> UPDATE" For SETF: Literally "SETL <b>B</b> INSTRU <b>B</b> FULL <b>B B</b> "
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
116-118	X(03)	AN	Not Used
119-127	X(09)	AN	Indicates if the file is REFRESHED/UPDATED – literally "REFRESHED" or "UPDATED <b>B B</b> "
128-749	X(622)	AN	Not Used
750-750	X(01)	AN	Literally "Z"; indicates the end of the trailer record