

# PERSHING STANDARD FILE LAYOUTS

## FILE LAYOUT FOR: SHORT REBATE POSITIONS

### GENERAL INFORMATION

File Frequency: Daily  
 Record Size: 250 characters  
 Form Name: SPOS

### DESCRIPTION

The Short Rebate Position file (SPOS) contains the details of the rebate figuration. It serves as a daily statement for clients who need to see the detail of their rebate. The report shows, for each position, the allocated quantity, the market value, the payout rate and the rebate amount.

This is a daily refresh file which contains all the positions.

### FILE LAYOUT SPECIFICATIONS

#### HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOF <b>BBBBBB</b> PERSHING <b>b</b> " (beginning of Pershing file)
019-036	X(18)	AN	Literally "SHORT <b>b</b> POSITION <b>BBBBB</b> "
037-046	X(10)	AN	Literally " <b>b</b> DATA <b>b</b> OF <b>bb</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>bb</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"
105-249	X(145)	AN	Not Used
250-250	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 = "SS"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-014	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
015-024	X(10)	AN	ACCOUNT NUMBER, including office (3); base account number (6); and type (1); values for Type include: "0" = COD "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Income "F" = Security summary settle date quantity
025-027	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
028-036	9(09)	N	SHORT QUANTITY
037-037	X(01)	AN	SHORT QUANTITY SIGN; values include: "+" = Positive/long quantity "-" = Negative/short quantity
038-046	X(09)	AN	CUSIP® NUMBER
047-055	9(09)	N	REBATE FIGURATION ALLOCATED QUANTITY
056-056	X(01)	AN	REBATE FIG. ALLOCATED QTY SIGN; values include: "+" = Positive/long quantity "-" = Negative/short quantity
057-068	9(10)v9(02)	N	REBATE FIGURATION MARKET VALUE
069-069	X(01)	AN	REBATE FIG. MARKET VALUE SIGN; values include: "+" = Positive amount "-" = Negative amount
070-070	X(01)	AN	REBATE FIGURATION HARD TO BORROW INDICATOR; identifies shares that are hard to borrow; values include: "*" = Shares are hard to borrow "H" = Shares are not hard to borrow
071-075	9(02)v9(03)	N	REBATE FIGURATION RATE; short rate for allocated shares
076-076	X(01)	AN	REBATE FIGURATION RATE SIGN; values include: "+" = Positive amount "-" = Negative amount
077-084	9(06)v9(02)	N	REBATE AMOUNT; short rebate dollar amount earned
085-085	X(01)	AN	REBATE AMOUNT SIGN; values include: "+" = Positive amount "-" = Negative amount
086-249	X(164)	AN	Not Used
250-250	X(01)	AN	Literally "X"; indicates the end of detail record A

# 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	Literally "SHORT <b>B</b> POSITION <b>B 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
116-249	X(134)	AN	Not Used
250-250	X(01)	AN	Literally "Z"; indicates the end of the trailer record