

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SCHEDULED INSTRUCTIONS

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 1000 characters
 Form Name: SRSI

DESCRIPTION

The Scheduled Instructions (SRSI) file contains the systematic instruction detail for accounts that have scheduled buys, sells, and/or exchanges. The file contains the elements of the instruction including, but not limited to account, CUSIP, quantity, transaction amount, applicable dates, and more.

A full file is created 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 B B B B B B B B B B B B PERSHING B ” (beginning of Pershing file)
019-036	X(18)	AN	Literally “SCHEDULED B INSTRU B B ”
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”
072-085	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”
105-999	X(895)	AN	Not Used
1000-1000	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 = "S1"
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	Not Used
022-024	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
025-025	X(01)	AN	Not Used
026-028	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
029-029	X(01)	AN	Not Used
Instruction Details Characteristics			
030-031	X(02)	AN	INSTRUCTION TYPE; values include: "EC" = Employer Contribution "EX" = Exchange "MF" = Mutual Fund Allocation "PB" = Buy "PS" = Redeem
032-032	X(01)	AN	FREQUENCY OF INSTRUCTION; values include: "A" = Annually "B" = Bi-monthly "M" = Monthly "Q" = Quarterly "S" = Semi-annually "b" = Not applicable
033-033	X(01)	AN	AMOUNT, PERCENTAGE, or SHARE INDICATOR; values include: "A" = Amount "P" = Percent "S" = Share
034-051	9(16)v9(02)	N	TRANSACTION AMOUNT; required if Amount, Percentage, or Share Indicator in position 033 above, is "A"
052-052	X(01)	AN	TRANSACTION AMOUNT SIGN; values include: "+" = Credit amount "-" = Debit amount "b" = Not applicable
053-070	9(13)v9(05)	N	TRANSACTION QUANTITY; required if Amount, Percentage, or Share Indicator in position 033 above, is "S"
071-071	X(01)	AN	TRANSACTION QUANTITY SIGN; values include: "+" = Positive quantity "-" = Negative quantity

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POSITION	PICTURE	TYPE	DESCRIPTION
			“ b ” = Not applicable
072-080	X(09)	AN	CUSIP ASSOCIATED WITH TRANSACTION (for Buys and Sells only)
081-084	X(04)	AN	<i>Reserved</i>
085-100	X(16)	AN	SYMBOL ASSOCIATED WITH TRANSACTION (for Buys and Sells only)
101-103	9(03)	N	TRANSACTION PERCENTAGE; required if Amount, Percentage, or Share Indicator in position 033 above, is “P”; effective 4 th Q 2018, TBA
104-150	X(47)	AN	<i>Reserved</i>
Dates Associated with Instruction			
151-158	9(08)	N	NEXT INSTRUCTION EFFECTIVE DATE, in CCYYMMDD format
159-166	9(08)	N	INSTRUCTION END DATE, in CCYYMMDD format
167-174	9(08)	N	EXCLUSION PERIOD START DATE, in CCYYMMDD format
175-182	9(08)	N	EXCLUSION PERIOD END DATE, in CCYYMMDD format
183-222	X(40)	AN	<i>Reserved</i>
The following Instructions apply to Buy Orders Only			
223-257	X(35)	AN	INSTRUCTION DESCRIPTION; free-form
258-258	X(01)	AN	BUY AT NAV INDICATOR; values include: “Y” = Yes, NAV “N” = No, not NAV “ b ” = Not applicable
259-259	X(01)	AN	BUY AT NAV REASON; values include: “A” = Dividend reinvestment trade “B” = Trust company NAV per agreement “E” = Self-directed brokerage account “1” = Net asset value (NAV) transfer “2” = Repurchase “3” = Employee “4” = Error correction “5” = Wrap fee account “6” = NAV commissionable “7” = Commissionable defined contribution plan “8” = Non-commissionable defined contribution plan “9” = Section 529 account - qualified state tuition program “0” = Other
260-260	X(01)	AN	LOI/ROA INDICATOR; values include: “L” = LOI “R” = ROA “ b ” = Not applicable
261-268	9(08)	N	LOI DATE; if LOI, in CCYYMMDD format

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POSITION	PICTURE	TYPE	DESCRIPTION
269-278	X(10)	AN	LOI NUMBER, if LOI
279-296	9(16)v9(02)	N	LOI/ROA VALUE
297-297	X(01)	AN	LOI/ROA VALUE SIGN; values include: “+” = Positive amount “-” = Negative amount “ B ” = Not applicable
298-298	X(01)	AN	CHARGE FEES TO, when NAV; values include: “C” = Customer “I” = IBD “ B ” = Not applicable
299-348	X(50)	AN	<i>Reserved</i>
The following Instructions apply to Sell/Redemption Orders Only (Instruction Type = “PB” or “PS”)			
349-349	X(01)	AN	GROSS/NET INDICATOR; values include: “G” = Gross “N” = Net “ B ” = Not applicable
350-350	X(01)	AN	CDSC WAIVER CODE; values include: “A” = Hardship “B” = No commission paid “1” = Gross “2” = Net “4” = CDSC waiver due to correction “5” = Death “6” = Disability “7” = Mandatory distribution “8” = Systematic withdrawal “9” = Defined contribution
351-352	X(02)	AN	REDEMPTION FEE WAIVER CODE; values include: “1” = STR waiver due to correction “2” = Death “3” = Disability “4” = Mandatory distribution “5” = Systematic withdrawal “6” = Defined contribution “7” = Hardship “8” = Auto rebalance “9” = DC - termination distribution “A” = DC - involuntary distribution “B” = DC - forfeitures “C” = DC - loans “D” = DC - excess contributions “E” = Wrap program

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PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			“F” = Fund of funds “G” = Divorce / QDRO “H” = Plan fees / QDRO “ bb ” = Not applicable or populated
353-402	X(50)	AN	<i>Reserved</i>
The following Instructions apply to Exchange Orders Only (Instruction Type = “EX”)			
403-411	X(09)	AN	FROM CUSIP
412-415	X(04)	AN	<i>Reserved</i>
416-431	X(16)	AN	FROM SYMBOL
432-440	X(09)	AN	TO CUSIP
441-444	X(04)	AN	<i>Reserved</i>
445-460	X(16)	AN	TO SYMBOL
461-510	X(50)	AN	<i>Reserved</i>
Instruction Audit Trail			
511-518	X(08)	AN	USER ID OF PERSON WHO ENTERED (ADDED) INSTRUCTION
519-526	9(08)	N	DATE INSTRUCTION ADDED, in CCYYMMDD format
527-532	9(06)	N	TIME INSTRUCTION ADDED, in HHMISS format
533-540	X(08)	AN	USER ID OF PERSON WHO LAST MODIFIED INSTRUCTION
541-548	9(08)	N	DATE OF LAST INSTRUCTION MODIFICATION, in CCYYMMDD format
549-554	9(06)	N	TIME OF LAST INSTRUCTION MODIFICATION, in HHMISS format
555-562	9(08)	N	DATE INSTRUCTION WAS DELETED, in CCYYMMDD format (delete date will appear once, after which the instruction will be removed from the file)
563-602	X(40)	AN	<i>Reserved</i>
Regulatory Information			
603-610	9(08)	N	INTRODUCING BROKER DEALER (IBD) ORDER RECEIPT DATE, in CCYYMMDD format
611-616	9(06)	N	IBD ORDER RECEIPT TIME, in HHMISS format
617-626	X(10)	AN	IBD ORDER RECEIPT TIME ZONE
627-627	X(01)	AN	IBD DISCRETION EXERCISED; values include: “Y” = Yes; discretion exercised “N” = No; discretion not exercised “ b ” = Not known or populated
628-628	X(01)	AN	IBD SOLICITED INDICATOR; values include: “Y” = Yes; order solicited by IBD “N” = No; order was not solicited by IBD “ b ” = Not known or populated
629-668	X(40)	AN	IBD ORDER RECEIVED FROM; free-form
669-708	X(40)	AN	<i>Reserved</i>

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
The following three fields apply to 529 plans only:			
709-710	X(02)	AN	CONTRIBUTION TYPE; values include: “CY” = Current year “PY” = Prior year “ B B ” = Not applicable
711-714	X(04)	AN	DISTRIBUTION TYPE; values include: “NQUA” = Non-qualified “QUAL” = Qualified “ B B B B ” = Not applicable
715-718	X(04)	AN	PAYABLE TO; values include “AHLD” = Account holder “BENE” = Beneficiary “ B B B B ” = Not applicable
719-758	X(40)	AN	<i>Reserved</i>
The following two fields apply only to Mutual Fund Allocations (Instruction Type = “MF”); effective 4 th Q 2018, TBA			
759-776	9(16)v9(02)	N	MINIMUM AUTO INVESTMENT AMOUNT
777-794	9(16)v9(02)	N	MAXIMUM AUTO INVESTMENT AMOUNT
795-999	X(205)	AN	Not Used
1000-1000	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 “EOF B B B B B B PERSHING B ” (end of Pershing file)
019-036	X(18)	AN	Literally “SCHEDULED B INSTRU B B ”
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”
072-105	X(34)	AN	Literally “ B ENDS B HERE B TOTAL B DETAIL B RECORDS: B ”
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-999	X(884)	AN	Not Used
1000-1000	X(01)	AN	Literally “Z”; indicates the end of the trailer record