PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: MUTUAL FUND TRADES for Bank Custody Accounts

GENERAL INFORMATION

File Frequency: Daily

Record Size: 1250 characters

Form Name: MFTB

DESCRIPTION

The Mutual Fund Trades for Bank Custody file (MFTB) is created daily, reflecting the Mutual Fund Daily Trade Activity Log report. The Mutual Fund Trade Activity Log report provides the mutual fund trading desk a daily report that contains all the mutual fund orders that were routed to the MIPMASTR file along with their present statuses and other details. The file is created in parallel to the creation of the report and contains a duplicate of the information fields from the report. There is a possibility of receiving multiple "B" records for each transaction.

All values will be displayed in the currency that the fund is denominated in. A fund can be denominated in more than one currency and each currency of the same fund will have a different CUSIP assigned to it.

The symbol "ƀ" is used on our standard files to represent spaces.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "BOFƀƀƀƀƀPERSHINGƀ" (beginning of Pershing file)
019-036	X(18)	AN	Literally "EXPANDEDƀMFƀTRADES"
037-046	X(10)	AN	Literally "ƀDATAƀOFƀƀ"
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally "ƀTOƀREMOTEƀ"
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-085	X(14)	AN	Literally "ƀBEGINSƀHEREƀƀ"
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"
105-1249	X(1145)	AN	Not Used
1250-1250	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 = "MU"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (6), Type (1); values for Type include: "0" = COD "1" = Cash/Principal Accounting for Bank Custody "2" = Margin "3" = Short "4" = Special Subs "5" = Arbitrage "6" = Market Function "7" = Good Faith "8" = Precious Metal "9" = Income/Income Accounting for Bank Custody
022-024	X(03)	AN	TRADE CURRENCY; see Appendix N, Currency Codes
025-044	X(20)	AN	FUND ACCOUNT NUMBER
045-047	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
048-048	X(01)	AN	Not Used
049-051	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
052-052	X(01)	AN	Not Used
053-061	X(09)	AN	CUSIP® NUMBER
062-073	X(12)	AN	ISIN NUMBER, when available
074-079	X(06)	AN	SEDOL, when available
080-089	X(10)	AN	Not Used
090-109	X(20)	AN	FIRST SECURITY DESCRIPTION LINE
110-141	X(32)	AN	FIRST LINE ACCOUNT REGISTRATION
142-142	X(01)	AN	TRADE STATUS; values include: "I" = Open Order "O" = Confirmed Trade "P" = Processed Trade "A" = Approved "N" = Pending "R" = Reject "▉" = Not applicable or available
143-143	X(01)	AN	ORDER STATUS; values include: "A" = Approved "E" = Executed "O" = Open "P" = Pending

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
144-151	9(08)	N	ORDER STATUS DATE, in CCYYMMDD format, when available
152-157	9(06)	N	ORDER STATUS TIME, in HHMISS format, when available
158-165	X(08)	AN	ENTRY OPERATOR/USER ID; space is a valid value
166-173	X(08)	AN	UPDATE OPERATOR/USER ID
			Trade Characteristics
174-181	9(08)	N	TRADE DATE, in CCYYMMDD format
182-189	9(08)	N	SETTLEMENT DATE, in CCYYMMDD format
190-197	9(08)	N	CONFIRMATION DATE, in CCYYMMDD format
198-203	9(06)	N	CONFIRMATION TIME, in HHMISS format
204-211	9(08)	N	ORDER ENTRY DATE, in CCYYMMDD format
212-217	9(06)	N	ORDER ENTRY TIME, in HHMISS format
218-225	9(08)	N	EXECUTION DATE, in CCYYMMDD format
226-231	9(06)	N	EXECUTION TIME, in HHMISS format
232-237	X(06)	AN	TRADE (P&S) REFERENCE NUMBER
238-238	X(01)	AN	MUTUAL FUND TRANSACTION TYPE; values include: "Y" = XBUY - Exchange Order or Exchange Trade Buy "L" = XSELL - Exchange Order or Exchange Trade Sell "B" = BUY - Trade or Order Buy "S" = SELL - Trade or Order Sell "X" = XCHN - Exchange "▉" = Not applicable or available
239-239	X(01)	AN	SOLICITED INDICATOR; values include: "1" = Solicited "2" = Unsolicited "▉" = Not applicable or available
240-241	X(02)	AN	SOURCE OF INPUT (SOI); See Appendix P for values
242-242	X(01)	AN	SYSTEMATIC REINVESTMENT SYSTEM (SRS) INDICATOR; values include: "T" = Trade has been processed as an SRS trade "N" = Trade has not been processed as an SRS trade "R" = Reinvest only "A" = Eligible for trade reinvest "▉" = Not applicable or available
243-243	X(01)	AN	NET ASSET VALUE (NAV) INDICATOR; values include: "0" = Other "1" = Net Asset Value Transfer "2" = Repurchase "3" = Employee "4" = Error Correction "5" = Wrap Fee Account "6" = NAV Commissionable (cont.)

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
			"7" = Commissionable Defined Contribution Plan
			"8" = Non-Commissionable Defined Contribution Plan
			"9" = Section 529 - Qualified State Tuition Program
			"N" or "▊" = Non-NAV
244-244	X(01)	AN	DIVIDEND REINVESTMENT INDICATOR; values include:
			"R" = Reinvestment
			"C" = Cash
245-245	X(01)	AN	CAPITAL GAIN INDICATOR; values include:
			"R" = Reinvestment
			"C" = Cash
246-246	X(01)	AN	DELIVERY INSTRUCTIONS; values include:
			"S" = Street Name (held at Pershing)
			"P" = Physical certificate mailed to client by fund
			"C" = Client name held directly at fund
247-247	X(01)	AN	CASH REINVEST INDICATOR; values include:
			"D" = Registered under Pershing LLC, distribution paid in cash
			"U" = Registered under Pershing LLC, distribution reinvested
			"#" = Registered under Pershing LLC, dividend reinvested. LT CAP Gain and CAP Gain paid in cash
			"$" = Registered under Pershing LLC, dividend paid in cash. LT CAP and CAP Gain reinvested
			"C" = Held under broker dealer's name with customer on registration, distribution paid in cash
			"G" = Held under broker dealer's name with customer on registration, distribution reinvested
			"K" = Held under broker dealer's name with customer on registration, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested
			"O" = Held under broker dealer's name with customer on registration, dividend reinvested. LT CAP Gain and ST CAP paid in cash
			"B" = Customer received hard copy, distribution paid in cash
			"F" = Customer received hard copy, distribution reinvested
			"I" = Customer received hard copy, dividend paid in cash. LT CAP Gain and ST CAP Gain reinvested
			"M" = Customer received hard copy, dividend reinvested. LT CAP Gain and ST CAP Gain reinvested
			"▊" = Not applicable or available
248-248	X(01)	AN	OVER/UNDER PRICE OR STATED NUMBER OF SHARES INDICATOR; values include:
			"O" = Specific to the fund, on a trade, to round off the trade to the nearest whole share amount over the amount in the currency specified (cont.)

POSITION	PICTURE	TYPE	DESCRIPTION
			"U" = Specific to the fund, on a trade, to round off the trade to the nearest whole share amount under the amount in the currency specified
			"P" = (Reserved for) Specific to the fund, to round up the trade to the stated number of shares (below)
			"D" = (Reserved for) Specific to the fund, to round down the trade to the stated number of shares (below)
			"🅱" = Not applicable or available
249-266	9(13)v9(05)	N	*Reserved for* STATED NUMBER OF SHARES
267-267	X(01)	AN	CDSC WAIVER INDICATOR; values include: "1" = Gross "2" = Net "4" = Correction "5" = Death "6" = Disability "7" = Mandatory Distribution "8" = Systematic Withdrawal "9" = Defined Contribution "A" = Hardship "B" = No Commission "N" or "🅱" = No Waiver Requested
268-268	X(01)	AN	LOAD INDICATOR; values include: "L" = Front End Load "B" = Back End Load "D" = Dual Load "N" = No Load
269-269	X(01)	AN	NO TRANSACTION FEE (NTF) INDICATOR; values include: "R" = FundVest Trade "M" = FundVest Below Minimum Purchase Trade "S" = Short Term Redemption "N" or "🅱" = Not a FundVest Trade
270-270	X(01)	AN	EXCHANGE INDICATOR; values include: "Y" = Exchange "N" or "🅱" = Not an Exchange
271-271	X(01)	AN	GROSS/NET INDICATOR; values include: "G" = Gross "N" = Net "🅱" = Not applicable
272-272	X(01)	AN	FULL LIQUIDATION REQUEST INDICATOR; values include: "🅱" = Full Liquidation not Requested "F" = Full Liquidation Requested

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
273-273	X(01)	AN	FUNDSERV INDICATOR; values include: "Y" = FundServ "N" = Non-FundServ
274-274	X(01)	AN	LOI/ROA INDICATOR; values include: "L" = LOI "R" = ROA "**b**" = No Indicator Requested
275-292	9(16)v9(02)	N	LOI/ROA CALCULATED AMOUNT; threshold to meet fund breakpoints
293-293	X(01)	AN	LOI/ROA CALCULATED AMOUNT SIGN; values include: "-" = Negative "+" = Positive
294-311	9(16)v9(02)	N	LOI/ROA MANUALLY ENTERED AMOUNT; threshold to meet fund breakpoint
312-312	X(01)	AN	LOI/ROA MANUALLY ENTERED AMOUNT SIGN; values include: "-" = Negative "+" = Positive
313-330	9(16)v9(02)	N	LOI/ROA CONFIRM AMOUNT; threshold to meet fund breakpoints
331-331	X(01)	AN	LOI/ROA CONFIRM AMOUNT SIGN; values include: "-" = Negative "+" = Positive "**b**" = Unavailable or Zero Value
332-339	9(08)	N	LOI DATE, in CCYYMMDD format (move to LOI info)
340-359	X(20)	AN	ROA LINK ACCOUNT; additional client accounts to aggregate for purpose of meeting stated ROA amount
360-364	v9(05)	N	DEALER CONCESSION PERCENTAGE
365-365	X(01)	AN	SHARE CLASS REVIEWED; values include: "Y" = Share class reviewed "N" = Share class not reviewed "**b**" = Not applicable (default)
366-369	X(04)	AN	*Reserved for FEE WAIVER INDICATOR*
370-405	X(36)	AN	*Reserved for future values*
			Trade Quantities and Amounts
406-423	9(13)v9(05)	N	SHARE QUANTITY
424-424	X(01)	AN	SHARE QUANTITY SIGN; values include: "-" = Negative "+" = Positive "**b**" = Not applicable or available
425-442	9(09)v9(09)	N	PRICE
443-460	9(16)v9(02)	N	CONCESSION AMOUNT

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
461-461	X(01)	AN	CONCESSION AMOUNT SIGN; values include: "-" = Negative "+" = Positive "▉" = Unavailable or Zero Value
462-479	9(16)v9(02)	N	NET AMOUNT
480-480	X(01)	AN	NET AMOUNT SIGN; values include: "-" = Negative "+" = Positive "▉" = Unavailable or Zero Value
481-498	9(16)v9(02)	N	AMOUNT PAYABLE; gross amount of the trade
499-499	X(01)	AN	AMOUNT PAYABLE SIGN; values include: "-" = Negative "+" = Positive "▉" = Unavailable or Zero Value
500-517	9(16)v9(02)	N	COMMISSION
518-518	X(01)	AN	COMMISSION SIGN; values include: "-" = Negative "+" = Positive "▉" = Unavailable or Zero Value
519-536	9(16)v9(02)	N	DEFERRED SALES CHARGE
537-537	X(01)	AN	DEFERRED SALES CHARGE SIGN; values include: "-" = Negative "+" = Positive "▉" = Unavailable or Zero Value
538-542	v9(05)	N	FUND SALES LOAD PERCENT
543-582	X(40)	AN	*Reserved for future values*
IP Split/Override Information (valid only in the case of splits)			
583-585	X(03)	AN	IP 1 SPLIT ID; space is a valid value
586-586	X(01)	AN	Not Used
587-589	X(03)	AN	IP 1 SPLIT PERCENTAGE; percentages represented range from 1 to 100; space is a valid value
590-592	X(03)	AN	IP 2 SPLIT ID; space is a valid value
593-593	X(01)	AN	Not Used
594-596	X(03)	AN	IP 2 SPLIT PERCENTAGE; percentages represented range from 1 to 100; space is a valid value
IP information			
597-606	9(10)	N	US IP HOME PHONE NUMBER (area code + phone number)
607-611	X(05)	AN	*Reserved*
612-621	9(10)	N	US IP BUSINESS PHONE NUMBER (area code + phone number)
622-626	X(05)	AN	*Reserved*
627-637	9(11)	N	*Reserved for* UK IP HOME PHONE NUMBER

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
638-641	X(04)	AN	*Reserved*
642-652	9(11)	N	*Reserved for* UK IP BUSINESS PHONE NUMBER
653-656	X(04)	AN	*Reserved*
657-670	X(14)	AN	LAST ACTION INDICATOR; values include: "CREATEDƀHHMMƀ ƀ" = Time created "UPDATEDƀHHMMƀ ƀ" = Time updated "CONFIRMEDƀHHMM" = Time confirmed "CANC/CORRƀHHMM" = Time cancelled "DELETEDƀHHMMƀ ƀ" = Time deleted
671-924	X(254)	AN	COMMENTS
925-1249	X(325)	AN	Not Used
1250-1250	X(01)	AN	Literally "X"; indicates the end of record A

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B - RULES - MULTIPLE ITERATIONS AS NEEDED

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "MU"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER; begins with "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER, including Office (3), Base Account (6), Type (1); values for Type include: "0" = COD "1" = Cash/Principal Accounting for Bank Custody "2" = Margin "3" = Short "4" = Special Subs "5" = Arbitrage "6" = Market Function "7" = Good Faith "8" = Precious Metal "9" = Income/Income Accounting for Bank Custody
022-024	X(03)	AN	TRADE CURRENCY; see Appendix N, Currency Codes, for values
025-044	X(20)	AN	FUND ACCOUNT NUMBER
045-047	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
048-048	X(01)	AN	Not Used
049-051	X(03)	AN	INVESTMENT PROFESSIONAL (IP) NUMBER
052-052	X(01)	AN	Not Used
053-061	X(09)	AN	CUSIP® NUMBER
062-073	X(12)	AN	ISIN NUMBER, when available
074-079	X(06)	AN	SEDOL, when available
080-089	X(10)	AN	Not Used
		Rule Information	
090-092	9(03)	N	SECONDARY SEQUENCE NUMBER FOR RULES, beginning with 001
		Rule Information	
093-094	9(02)	N	RULE NUMBER
095-174	X(80)	AN	RULE MESSAGE; free-form text
175-199	X(25)	AN	*Reserved*
		Rule Information	
200-201	9(02)	N	RULE NUMBER
202-281	X(80)	AN	RULE MESSAGE; free-form text
282-306	X(25)	AN	*Reserved*
		Rule Information	
307-308	9(02)	N	RULE NUMBER
309-388	X(80)	AN	RULE MESSAGE; free-form text

PERSHING STANDARD FILE LAYOUTS

POSITION	PICTURE	TYPE	DESCRIPTION
389-413	X(25)	AN	*Reserved*
			Rule Information
414-415	9(02)	N	RULE NUMBER
416-495	X(80)	AN	RULE MESSAGE; free-form text
496-520	X(25)	AN	*Reserved*
			Rule Information
521-522-	9(02)	N	RULE NUMBER
523-602	X(80)	AN	RULE MESSAGE; free-form text
603-627	X(25)	AN	*Reserved*
			Rule Information
628-629	9(02)	N	RULE NUMBER
630-709	X(80)	AN	RULE MESSAGE; free-form text
710-734	X(25)	AN	*Reserved*
			Rule Information
735-736	9(02)	N	RULE NUMBER
737-816	X(80)	AN	RULE MESSAGE; free-form text
817-841	X(25)	AN	*Reserved*
			Rule Information
842-843	9(02)	N	RULE NUMBER
844-923	X(80)	AN	RULE MESSAGE; free-form text
924-948	X(25)	AN	*Reserved*
			Rule Information
949-950	9(02)	N	RULE NUMBER
951-1030	X(80)	AN	RULE MESSAGE; free-form text
1031-1055	X(25)	AN	*Reserved*
			Rule Information
1056-1057	9(02)	N	RULE NUMBER
1058-1137	X(80)	AN	RULE MESSAGE; free-form text
1138-1162	X(25)	AN	*Reserved*
1163-1249	X(87)	AN	Not Used
1250-1250	X(01)	AN	Literally "X"; indicates the end of record B

PERSHING STANDARD FILE LAYOUTS

TRAILER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-018	X(18)	AN	Literally "EOF ƀ ƀ ƀ ƀ ƀ ƀ PERSHING ƀ" (end of Pershing file)
019-036	X(18)	AN	Literally "EXPANDED ƀ MF ƀ TRADES"
037-046	X(10)	AN	Literally " ƀ DATA ƀ OF ƀ ƀ "
047-056	X(10)	AN	DATE OF DATA = "MM/DD/CCYY"
057-067	X(11)	AN	Literally " ƀ TO ƀ REMOTE ƀ "
068-071	X(04)	AN	REMOTE ID = "XXXX"
072-082	X(11)	AN	Literally " ƀ ENDS ƀ HERE."
083-105	X(23)	AN	Literally "TOTAL ƀ DETAIL ƀ RECORDS: ƀ "
106-115	9(10)	N	NUMBER OF DETAIL RECORDS
116-1249	X(1134)	AN	Not Used
1250-1250	X(01)	AN	Literally "Z"; indicates the end of the trailer record