

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR: SUB-ACCOUNTS FOR BANK CUSTODY

GENERAL INFORMATION

File Frequency: Daily
 Record Size: 500 characters
 Form Name: SUBD (Update file)/SUBF (Refresh file)

DESCRIPTION

The Sub-Account for Bank Custody files (SUBD and SUBF) are created after the close of business batch cycle. The files contain the sub-accounts associated with Bank Custody accounts and their appropriate characteristics.

SUBD is created nightly and SUBF is refreshed nightly, weekly or monthly.

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|------------------------------------------------------------------------------------------------------------------------------------|
| 001-018 | X(18) | AN | Literally "BOF B B B B B B PERSHING B " (beginning of Pershing file) |
| 019-036 | X(18) | AN | For SUBD: Literally "SUB B ACCOUNT B UPDATE" For SUBF: Literally "SUB B ACCOUNT B FULL B B " |
| 037-046 | X(10) | AN | Literally " B B DATA B OF 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 | Literally = "XXXX" |
| 072-085 | X(14) | AN | Literally " B BEGINS B HERE 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" |
| 105-499 | X(395) | AN | Not Used |
| 500-500 | X(01) | AN | Literally "A"; indicates the end of the header record |

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD A - ACCOUNT LEVEL INFORMATION

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 001-002 | X(02) | AN | TRANSACTION CODES; values include: “SU” = SUBD (Update file) “SF” = SUBF (Refresh file) |
| 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) |
| 021-023 | X(03) | AN | INTRODUCING BROKER DEALER (IBD) NUMBER |
| 024-024 | X(01) | AN | Not Used |
| 025-027 | X(03) | AN | INVESTMENT PROFESSIONAL (IP) NUMBER |
| 028-028 | X(01) | AN | Not Used |
| 029-038 | X(10) | AN | ACCOUNT SHORT NAME |
| 039-040 | X(02) | AN | Not Used |
| 041-041 | X(01) | AN | RECORD TRANSACTION CODE; values include: “X” or “ B ” = Unchanged record (spaces for SUBF) “A” = Added record “C” = Change to existing record |
| 042-060 | X(19) | AN | Not Used |
| 061-061 | X(01) | AN | PRINCIPAL/INCOME ACCOUNTING INDICATOR associated with this account; values include: “P” = Principal “I” = Income (TBA) “B” = Both Principal and Income, based on transaction indicator |
| 062-064 | X(03) | AN | Not Used |
| 065-073 | X(09) | AN | <i>Reserved for Introducing Firm</i> |
| 074-077 | X(04) | AN | <i>Reserved for BOOKING ENTITY; legal Books & Records entity with BNY Mellon and its affiliates; values include: “BNYM” = BNY Mellon, NA (Bank Custody) “PLLC” = Pershing LLC (Brokerage) “PSAL” = Pershing Australia (Brokerage) “PSCL” = Pershing Canada (Brokerage) “PSLL” = Pershing London (Brokerage)</i> |
| 078-081 | X(04) | AN | <i>Reserved for BOOKING ENTITY BUSINESS CODE; identifies the type of business in which a Booking Entity operates; values include: “BKRG” = Brokerage “BNKC” = Bank Custody</i> |
| 082-083 | X(02) | AN | Not Used |
| 084-115 | X(32) | AN | ACCOUNT REGISTRATION, Line 1 |
| 116-147 | X(32) | AN | ACCOUNT REGISTRATION, Line 2 |
| 148-179 | X(32) | AN | ACCOUNT REGISTRATION, Line 3 |

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| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|-----------------------------------------------------|
| 180-211 | X(32) | AN | ACCOUNT REGISTRATION, Line 4 |
| 212-243 | X(32) | AN | ACCOUNT REGISTRATION, Line 5 |
| 244-275 | X(32) | AN | ACCOUNT REGISTRATION, Line 6 |
| 276-499 | X(224) | AN | Not Used |
| 500-500 | X(01) | AN | Literally "X"; indicates the end of detail record A |

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B - SUB-ACCOUNT INFORMATION (MULTIPLE ITERATIONS, AS NEEDED)

| POSITION | PICTURE | TYPE | DESCRIPTION |
|----------|---------|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 001-002 | X(02) | AN | TRANSACTION CODES; values include: “SU” = SUBD (Update file) “SF” = SUBF (Refresh file) |
| 003-003 | X(01) | AN | RECORD INDICATOR VALUE = “B” |
| 004-011 | 9(08) | N | ID SEQUENCE NUMBER; begins with “00000001” |
| 012-020 | X(09) | AN | ACCOUNT NUMBER, including Office (3), Base Account (5), and Check Digit (1) |
| 021-023 | X(03) | AN | INTRODUCING BROKER DEALER (IBD) NUMBER |
| 024-024 | X(01) | AN | Not Used |
| 025-027 | X(03) | AN | INVESTMENT PROFESSIONAL (IP) NUMBER |
| 028-028 | X(01) | AN | Not Used |
| 029-038 | X(10) | AN | ACCOUNT SHORT NAME |
| 039-040 | X(02) | AN | Not Used |
| 041-041 | X(01) | AN | RECORD TRANSACTION CODE; values include: “X” or “ B ” = Unchanged record (spaces for SUBF) “A” = Added record “C” = Change to existing record |
| 042-045 | X(04) | AN | <i>Reserved for a secondary sequence number</i> |
| 046-054 | X(09) | AN | SUB-ACCOUNT UNIQUE IDENTIFIER |
| 055-060 | X(06) | AN | Not Used |
| 061-061 | X(01) | AN | PRINCIPAL/INCOME BALANCE TYPE INDICATOR associated with this sub-account; values include: “P” = Principal “I” = Income |
| 062-064 | X(03) | AN | CURRENCY CODE associated with this sub-account; see Appendix N, “Currency Codes” |
| 065-070 | X(06) | AN | <i>Reserved</i> |
| 071-071 | X(01) | AN | SUB-ACCOUNT STATUS; values include: “O” = Open “C” = Closed |
| 072-079 | 9(08) | N | DATE SUB-ACCOUNT OPENED, in CCYYMMDD format |
| 080-087 | 9(08) | N | DATE SUB-ACCOUNT CLOSED, in CCYYMMDD format |
| 088-499 | X(412) | AN | Not Used |
| 500-500 | X(01) | AN | Literally “X”; indicates the end of detail record B |

PERSHING STANDARD FILE LAYOUTS

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 | For SUBD: Literally "SUB B ACCOUNT B UPDATE" For SUBF: Literally "SUB B ACCOUNT B FULL B B " |
| 037-046 | X(10) | AN | Literally " B B DATA B OF 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 |
| 116-499 | X(384) | AN | Not Used |
| 500-500 | X(01) | AN | Literally "Z"; indicates the end of the trailer record |