

PERSHING STANDARD FILE LAYOUTS

APPENDIX 8: SOURCE CODES

USED IN THE FOLLOWING STANDARD FILES: FT90, GACT/GAC1, M12B

(NOTE: The ISRC/SRCD standard files contain a digital version of the Source Codes)

CODE	DESCRIPTION
/4K	401(k) Fee
/52	12B1 Payment
/AC	NASDAQ Act User Fees
/AD	Advisor Paid Fee
/AF	Advisory Fees
/AI	Alternative Investment Concession Payment
/AM	Actual Manager Fee
/AO	Account Opening Fee
/AP	Average Price Transaction Fee
/AR	Accommodation Receive and Deliver Fee
/AT	Accommodation Transfer Fee
/BK	Books & Records Customer Information Print Fee
/BL	Assets Not Held Fee
/BP	Basis Point Fee
/BR	Bond Redemption/Call Fee
/CB	Customer Billing System Fee
/CC	Communications Charge
/CD	Cash Debit Interest
/CF	Non Quarter Cod Statement Print Charge
/CM	CMTA Charge
/CO	Employee Stock Option Exercise Fee
/CR	Commission Recapture
/CS	Cashiering Service Charge
/CU	Custody Trade Fee
/CW	Currency Wire Fee
/CX	Trade Cancel Fee
/CY	Custody Fee
/DK	DK Interest Charge
/DP	DK Processing Charge
/DR	Dividend Reinvest Fee
/ET	NTF ETF Revenue
/EX	Surcharge on Ex-clearing Trades
/FA	Fee Based Brokerage Charge Adjustment
/FB	Fee Based Brokerage Charge
/FE	Front End Load
/FF	Finders Fee
/FG	Foreign Custody Fee
/FP	Fee for Printing Statements Regardless of Activity
/FR	Fee Based Brokerage Correspondent Charge
/FS	Foreign Settlement Charge
/FX	Foreign Exchange Fee
/GT	Gloss Ticket Charge

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
/IA	Annual Inactive Account Fee
/IC	Initial Fee Based Brokerage Charge
/IE	Annual Inactive Account Fee
/IF	Initial Advisory Fee
/IM	Annual Inactive Account Fee
/IO	Step In / Step Out Fees
/IR	Short Sale Interest Adjustment
/LF	Level Fee-Based Retirement Plan Compensation
/LG	Legal Transfer Fee
/LI	Level Indirect Retirement Plan Compensation
/LP	Limited Partnership Transfer Fee
/LS	Loan / Borrow Activity Fee Adjustment
/ME	Mandatory Reorganization Fee
/MF	12B1 Payment
/MG	Fee for Notification of Ninety Day Restriction Mailgram
/ML	Mail/Courier Fee
/MR	Deferred Sales Charge
/MS	Municipal Bond Safekeeping Fee
/NB	NTF Payment from 12B1
/NC	Negotiated Commission
/NR	Non-US Account Fee
/NT	NTF Mutual Fund Service Fee
/OC	Option Clearing Corp Fees
/PB	Prime Broker Fees
/PC	Promotion Credit
/PF	Puerto Rico (480.6) Tax Reporting Fee
/PM	Prospectus Mailing Fee
/PR	Promotional Fee
/PS	Printing/Stationery Charge
/PT	Pass Thru of External Fees
/RB	Commission Rebate - Bonds
/RD	Reinvested Dividend Fee
/RF	Restricted Stock Processing Fee
/RG	Registration Transfer Fee
/RK	Record-keeping Fee
/RN	Rent
/RO	Commission Rebate - Options
/RS	Commission Rebate - Stock
/RT	Returned Check Fee
/RV	Money Fund Reinvestment Adjustment
/SC	Short Sale Interest Borrow Charge
/SF	Specialist Floor Broker Fees
/SG	Statement Generation Fee as Per An IBD's Sched A
/SI	Securities Information Center Fee
/SK	Customer Name Safekeeping Fee
/SL	Loan/Borrow Activity Fee
/SP	Subscription Service Fee
/SR	Special Request Fee
/SS	Supplemental Statement Fee
/ST	Special Telephone Charge

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
/SU	Supplemental Fee
/SV	Service Fee
/SY	Syndicate Fee
/TN	Voluntary Reorganization Fee
/TP	Transaction Processing Fees
/TS	Fee for 1099 Consolidated Tax Statement
/VR	Volume Rebate
/VT	Value Added Tax
/WF	Wired Funds Fee
/WI	Mortgaged Backed When Issued Fee
/WR	All Inclusive Account Fee
/WT	Depository Withdrawal Fee
/XG	Exchange Fee - Regionals
/XM	MSRB Transaction Fees
/XN	Exchange Fee - NYSE
/XO	Option Exchange Fees
/XT	Extension Fee
/YE	Year-End Account Report Fee
/ZB	Commission Rebate - Bonds
/ZO	Commission Rebate - Options
/ZS	Commission Rebate - Stock
1AR	NetX Pro - Argus Research Level One Fee
1PL	Pending Stock Split
1PS	Pending Stock Split
2AR	NetX Pro - Argus Research Level Two Fee
2PS	Pending Stock Split
3AR	Argus Level 3 - HSBC Package
3RA	NetX360 Research Alliance Subscription Fee
A/C	Accounting Journal Entry
ABF	Insurance Commission Reversal
ABQ	Albridge Portfolio Performance Basic QPR – eDelivery Only
ABV	Insurance Renewal Commission
ABX	529 Plan Age Based Roll
ACD	Annual CD Fee
ACF	Conversion Fee Adjustment
ACI	Current Year Excess Contribution Income Adjustment
ACM	Bank Settlement Activity
ACN	Adjust Check Number
ACP	Current Year Contribution Adjustment
ACQ	New Business Acquisition Reimbursement
ACT	Roth IRA Conversion Contribution Adjustment
ADD	Add a Loan/Borrow
ADJ	Adjustment
ADM	Administrative Fee
ADP	Insurance Premium Commission
ADR	Reversal of Additional Annuity Purchase
AEW	Roth IRA Early Withdrawal Adjustment
AF0	A40 Signature Choice Quarterly Fee
AF1	A41 Signature Portfolios Quarterly Fee
AF2	A49 Signature Portfolios Quarterly Fee

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
AF3	A42 Signature Annuities Quarterly Fee
AF5	A43 Signature Managed Account Quarterly Fee
AF6	WMC SigAnnuities - Var Payout (A42) Quarterly Fee
AF8	A66 Signature Advisor Quarterly Fee
AF9	A40 Signature Choice Quarterly Fee
AFC	Advisory Fee Correspondent Allocation
AFD	Maintenance Fee Cash Due
AFP	Advisory Fee Paid
AFR	Advisory Fee Registered Representative Allocation
AFS	Agent Servicing Fee
AFX	Foreign Exchange Trade Away Fee
AIP	Money Market Income Paid
AJ0	SigChoice (A40) Quarterly Fee Adjustment
AJ8	Fee Credit
AJ9	Additional Fee Offset Credit
AMC	Alerts Maintenance Client Fee
AMD	Administration Fee
AMF	529 Plan Annual Maintenance Fee
AMP	Amortization / Accretion
ANP	Annuity Purchase
APB	Portfolio Performance - Online Basic
APD	Administrative Fee Payment
APF	Portfolio Administration Fee
API	Previous Year Excess Contribution Income Adjustment
APM	Albridge Portfolio Performance Plus QPR Print/Mail Fulfillment
APN	Net Exchange Pro - Analysis Content Package Monthly Subscription
APP	Portfolio Performance - Online Plus
APQ	Albridge Portfolio Performance Plus QPR - eDelivery Only
AQB	Albridge Portfolio Performance Basic QPR - eDelivery Only
AR0	A40 Signature Choice Closed Account Rebate
AR1	A41 Signature Portfolios Closed Account Rebate
AR2	A49 Signature Portfolios Closed Account Rebate
AR3	A42 Signature Annuities Closed Account Rebate
AR5	A43 Signature Managed Account Closed Account Rebate
AR6	WMC Sigannuities - Var Payout (A42) Termination Fee
AR8	A66 Signature Advisor Closed Account Rebate
AR9	A40 Signature Choice Closed Account Rebate
ARA	Arbitrage Security Adjusted
ARB	Arbitrage Security Converted
ARE	Retirement Age Distribution Adjustment
ARN	Recharacterization of Prior Year Contribution Adjustment
ARR	Recharacterization of Current Year Contribution Adjustment
ARS	Adjust Redemption Survivor Option
ART	AMEX Real-Time Quotes
ARV	Money Market Income Reinvested
ASA	Option Assignment Adjustment
ASF	Advisory Services Fee
ASG	Your Option Assigned
ASO	Adjust FMV Spin-Off Domestic Security
ASV	Asset Servicing Fee

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
ATC	Treatment of Chronic Illness Distribution Adjustment
ATF	Advisory Termination Fee
AUD	Audit Adjustment
AW1	Morningstar Advisor Workstation Configuration 1 Fee
AW2	Morningstar Advisor Workstation Configuration 2 Fee
AWC	Federal Tax Withheld for Current Year Excess Contribution Income 2 Yrs
AWD	Morningstar Advisor Workstation Best Interest
AWE	Morningstar Advisor Workstation Equity Reports Add-On Fee
AWM	Management Fee Paid
AWT	Forfeiture Reversion Adjustment
AWX	Morningstar Advisor Workstation Custom Configuration Fee
AY0	SR SigChoice (A40) Quarterly Fee
AY1	SR SigPortfolios (A41) Quarterly Fee
AY2	SR SigPortfolios (A49) Quarterly Fee
AY3	SR WMC SigAnnuities - Var Accum (A42) Quarterly Fee
AY6	SR WMC SigAnnuities - Var Payout (A42) Quarterly Fee
AY7	SR WMC SigAnnuities - Fixed Payout (A42) Quarterly Fee
AY9	Fee Credit
AYO	SR SigChoice (A40) Quarterly Fee
BAP	Broker's Ally Pro
BBT	Bank Advance
BCC	BRIEFING.COM Client Fee
BCF	Business Consulting Fees
BCS	BondCentral Services
BDD	Non-Insured Bank Deposit
BDF	Bonus Due-Fixed Annuity
BDI	Non-Insured Bank Deposits Interest Received
BDR	Securities Routed
BDS	Non-Insured Bank Withdrawal
BFE	Bank Fee
BID	Security Bought In to Cover
BKC	Bankruptcy Contribution
BKD	Security Delivered
BKR	Security Received
BLS	Bill Suite Account Fee
BNA	Bid Not Accepted
BOK	Non-Insured Bank Deposits Interest Adjustment
BOR	Non-Insured Bank Deposits Interest Reinvested
BOX	Securities Routed
BPR	Broker Participation Retirement Revenue Share
BT2	Block Trading and Rebalancing
BT3	Block Trading and Rebalancing Plus
BTA	Bank Transfer Adjustment
BTF	Bank Transfer To/From Brokerage
BTW	State Tax Backup Withholding Tax
BTX	State Backup Withholding Tax Prior Year
BWT	State Backup Withholding Tax Escrow Entry
C/A	CUSIP Change Adjustment
C/C	CUSIP Change
CAA	Customer Authorized Transfer Adjustment

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
CAB	Customer Adjustment
CAC	Customer Adjustment
CAD	CDSC Advance Fee
CAI	NetX Client Maintenance Fee
CAL	Security Called
CAQ	NetX Client Real-Time Quotes Client Usage Rate
CAT	Customer Authorized Transfer
CAV	Credit Account of Vendor for Subscription Product
CBN	Called Bond / Redemption Notification Fee
CBS	original Cost Basis Fee
CCA	Security Received Adjusted
CCB	Consolidated Firm Balances
CCD	Certified Check Disbursement Request
CCF	DTC Cash/Reorg Settlement
CCI	Current Year Excess Contribution Income
CCL	Custom System Generated Letter
CCO	DTC Deposit
CCP	NetX Pro Custom Content Package
CCR	Reversal of Certified Check Disbursement Fee
CD/	Cash Debit Interest Adjustment
CDA	Check Disbursement
CDI	Client Deemed Insignificant Value
CDQ	NetX Client Delayed Quote Fee
CDR	Reverse Check Disbursement
CDX	NetExchange Pro - CDA Insider and Institutional Report Subscription Fee
CEA	College Education Plan Trade Adjustment
CEL	Cash In Lieu Due to Redenomination of Security
CEP	College Education Plan
CET	Factor Adjustment for COD Trades
CEX	College Education Plan Trade Cancellation
CF/	Retirement Account Conversion Fee
CFA	Reversal of Agent Servicing Fee
CFC	Conversion Fee Charged
CFP	Consent Fee Payment
CFR	Consent Fee Payment Reversal
CFT	Foreign Trust Charge
CFW	Cancel Fed Wire
CFX	Cancelled Foreign Currency Exchange
CGA	Long Term Capital Gain Adjustment
CGN	Long Term Capital Gain Distribution
CGS	Long Term Capital Gain Charged
CHC	NetX Client Intraday and Historical Charts Retrieval Fee
CHD	Hand Deliver Fee for Check Disbursement
CI/	Credit Interest Participation Adjustment
CIA	Cash In Lieu Adjustment
CID	Commission Income - Domestic
CIL	Cash In Lieu of Fractional
CIP	Credit Interest Participation
CIS	Clearance Settlement
CIT	Free Credit Balance Interest Charge

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
CKR	Returned Check Fee
CKS	Check Stop Payment Fee
CKW	Check You Have Written
CLA	Receive Adjustment
CLN	Loan/Borrow Return
CLX	Mutual Fund Share Class Exchange
CMF	Miscellaneous Fee Correspondent
CMP	Collateral Management Product Fee
CMR	Collateral Management Fee Reversal
CN1	Monthly Fee for Citi Naviplan Subscription
CNA	Conversion Adjustment
CNI	Correspondent Conversion
CNS	CNS Activity
CNV	Conversion
COA	Combine Unit Adjustment
COB	Combined Units
COC	Commission Adjustment
COL	Collateral
COM	Commission Income
CON	Current Year Contribution
COP	Previous Year Contribution
COR	Your Trade Corrected
COT	Refund Previous Year Excess Contribution
CPA	Coupon Adjustment
CPB	Net Exchange Client Package of Content Fee
CPC	Collateral Pledge Return
CPD	Conversion Fee Paid
CPF	Check Processing Fee
CPN	Coupon Payment
CPO	Collateral Pledge Open
CPR	NetX Client Pershing Electronic Research Fee
CPU	Computer Purchase Distribution
CR/	Retirement Account Conversion Fee Reversal
CRA	Check Received
CRC	Roth IRA Conversion Contribution from IRA
CRD	IRA Conversion Distribution to Roth IRA
CRM	Client Relationship Management
CRP	Close Repurchase Transaction
CRR	Reversed Check Received
CRS	Correspondent Rio
CRV	Close Reverse Repurchase Transaction
CS1	Form CRS Full Functionality Fee
CSA	Funds Received Adjustment
CSB	Deposit Received from Bank
CSD	Check Disbursement
CSF	Mutual Fund Service Fee
CSI	Check Disbursement
CSM	Commission System Maintenance Fees
CSP	NetX Client S&P's Stock Reports (Price Per Report)
CSQ	Streaming Quotes Fee - NetExchange Client

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
CSR	Check Received
CSS	NetX Client S&P's Stock Reports-Usage Rate
CSV	Commission System Dev. Fees
CTD	Customer Technology Dev. Fees
CTE	Trade Error Adjustment
CTF	Custody Trade Away Fee
CTS	Customer Tech Staff Augmentation Fees
CUA	Receive Adjustment
CVA	Conversion Adjustment
CVC	Currency Void Check
CVT	Security Converted
CXF	Certification Cancellation Fee
CXL	Your Trade Cancelled
DAF	Domestic Address Verification Letter Fee
DAM	Dow Jones Adviser Markets
DAP	Dow Jones Adviser Practice
DAV	Debit Account of Vendor for Subscription Product
DBD	Due Bill Delivery
DBS	Direct Billing Service Fee
DCD	Dividend Check Delivered
DCF	Death Benefit Chargeback - Fixed Annuity
DCR	Dividend Check Received
DCY	Death Income Distribution
DDA	Draw Down Account Balance
DDP	Direct Deposit
DDR	Free Receive Adjustment
DDV	Deemed Dividend
DDX	Deemed Dividend Adjustment
DEA	Death Distribution
DEF	Defeased
DEL	Delivered from Your Account
DES	Description Change
DEV	Development Charges
DFA	Foreign Security Dividend Adjustment
DI/	Margin Debit Interest Participation Adjustment
DIA	Cash Dividend Adjustment
DII	Disability Distribution Income
DIP	Debit Interest Participation
DIS	Disability Distribution
DIV	Cash Dividend Charged
DJC	Dow Jones Business News Fee - NXC
DJN	Dow Jones Newswire
DJW	Dow Jones New Service Fee
DK/	Adjust DK Interest Charge
DKB	Security Routed
DKM	DK of Mark to Market
DLA	Deliver Adjustment
DLB	Delete Loan/Borrow
DLR	Credit Suisse Research Subscription
DMA	Security Mailed

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
DMV	Document Mgt. Dev. Fees
DNA	Designated Roth Account Basis Distribution Adjustment
DND	Designated Roth Account Basis Distribution
DO0	Dividends - Cash Long Term Cap Gain - Cash Short Term Cap Gain - Cash
DO1	Dividends - Reinvest Short Term Cap Gain- Reinv Long Term Cap Gain - Reinv
DO2	Dividends - Cash Short Term Cap Gain –Reinv Long Term Cap Gain - Cash
DO3	Dividends - Cash Short Term Cap Gain –Reinv Long Term Cap Gain - Reinv
DO4	Dividends - Cash Short Term Cap Gain – Cash Long Term Cap Gain - Reinv
DO5	Dividends - Reinvest Short Term Cap Gain – Cash Long Term Cap Gain - Cash
DO6	Dividends - Reinvest Short Term Cap Gain – Cash Long Term Cap Gain - Reinv
DO7	Dividends - Cash Short Tern Cap Gain –Reinv Long Term Cap Gain - Cash
DOC	Deal/Offer Cancelled
DOL	Morningstar Advisor Workstation DOL Edition
DPA	Depository Clearing Agent Adjustment
DPE	Deconversion Programming Expenses
DPF	Annuity Premium Commission
DPL	Settlement Date Profit and Loss
DRA	Dividend Reinvestment Adjustment
DRB	Direct Rollover Designated Roth Account to Designated Roth Account
DRD	Direct Rollover Death Distribution
DRF	Direct Registration Fee
DRH	Direct Rollover Designated Roth Account to Roth IRA
DRI	Direct Rollover to Roth
DRN	Dow Jones Real-Time News for Investors Fee
DRP	Realized Profit and Loss
DRQ	Direct Rollover
DRR	Direct Registration Receive from Agent
DRS	Securities Forwarded to Agent for Custody
DSG	Directed Seg Movement
DSS	Dividend Settlement Service
DT1	FTP Datamart Set-up Charge
DTA	Designated Roth Account Earnings Distribution Adjustment
DTC	End of Day Offset
DTD	Designated Roth Account Earnings Distribution
DTF	DGI Transfer Fee
DTM	FTP Datamart Service Charge Monthly
DTW	DGI Tax Withholding
DVA	Dividend/Interest Reclassification
DVD	Dividend
DVE	Cash Dividend Received
DVF	Foreign Security Dividend Received
DVR	Reinvest Cash Income
DVS	Foreign Security Dividend Charged
DWA	DWAC Adjustment
DWB	Bulk DWAC Receive
DWC	Rollover Contribution
DWD	Delivered to Custodian via DWAC
DWF	DWAC Fee from Custodian or Depository
DWR	Received from Transfer Agent via DWAC
DWS	Security Deleted as Worthless

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
ECA	Exchange Adjustment
ECI	Current Year Excess Contribution Refund Income Two Years Ago
ECN	Current Year Employer Contribution
ECP	Previous Year Employer Contribution
ECR	Refund Current Year Excess Contribution
ECT	Current Year Excess Refund Participant Two Years Ago
EDC	Employee Deferral Contribution
EDL	E-Delivery Customized E-Mails
EDP	Previous Year Employee Deferral Contribution
EDR	Previous Year Employee Deferral Contribution Adjustment
ELA	Election Adjustment
ELE	Election
ELF	Cash Election
ELR	Reversal of Cash Election
EMC	Employer Matching Contribution
EMP	Previous Year Employer Matching Contribution
ENX	Excess Refund After Tax Filing Deadline
EPA	Expired Security Adjustment
EPC	EasyPay Enrollment Fee
EPX	Education Distribution
EQ1	Equity Research Portal
EQU	Equifax Usage Fee
ERR	Reimbursement for Error Incurred
ESA	Employee Stock Option
ESB	Stock Option Exercise
ESE	Stock Option Cost Reversal
ESO	Employee Stock Option Shares
ESR	Reverse Employee Stock Purchase Shares
ETF	Early Termination Fee
EUR	Redenomination of Security
EWA	Early Distribution with Exception Adjustment
EWE	Early Distribution with Exception
EWT	Federal Tax Withheld Roth Early Withdrawal
EXA	Exercise Adjustment
EXC	Security Exchanged
EXD	Execution Fee - Domestic
EXE	Exercise
EXP	Security Expired
EXS	Shares Exercised
F&P	Movement vs Firm & Partner
F/S	Forward Split
FAC	Post Settlement Factor Adjustment
FAF	Foreign Address Verification Letter Fee
FAP	Morningstar Fund Analytics
FAR	Rebate of Advisory Fees
FBH	Fee Based Brokerage Correspondent Participation
FBM	Fee Based Fee - Mutual Funds
FBP	Fee Based Brokerage Payout
FCA	FATCA Tax Withheld
FCI	Commission Income - International

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
FCP	Pledge Collateral
FCR	Collateral Pledge Release
FCT	FATCA Tax Withheld Prior Year
FDA	Deliver Adjustment
FDE	Funds Delivered from Your Account
FDI	Remuneration on Bank Deposit SWP Program Balances
FEE	Trans Fee
FEX	Mutual Fund Exchange Processing Fee
FFA	Federal Fund Wire Adjustment
FFC	Forfeiture Contribution
FFR	Forfeiture Reversion
FFT	Foreign Financial Transaction Tax
FGA	Reversal of Fee on Foreign Dividend
FGF	Fee on Foreign Dividend Withheld at the Source
FGN	Foreign Tax Withheld at The Source
FGR	Foreign Tax Refund Fee
FHA	First Time Home Purchase Distribution Adjustment
FHP	First Time Home Purchase Distribution
FLO	A40 Signature Choice Flow Billing
FL1	A41 Signature Portfolios Flow Billing
FL2	A49 Signature Portfolios Flow Billing
FL3	A42 Signature Annuities Flow Billing
FL5	A43 Signature Managed Account Flow Billing
FL6	WMC SigAnnuities - Var Payout (A42) Flow Fee
FL8	A66 Signature Advisor Flow Billing
FL9	A40 Signature Choice Flow Billing
FMH	Retirement Account Fair Market Value Activity for Hard Value Assets
FMV	Retirement Account Fair Market Value Activity
FPA	Final Principal Payment Adjustment
FPC	Final Principal Payment Charged
FPE	Fund Purchase Entered
FPP	Final Principal Payment Received
FPR	Financial Planning Administration Tool
FPT	Financial Planning Application
FRA	Receive Adjustment
FRE	Funds Received into Your Account
FSA	Forward Split Adjustment
FSC	Fundscan Client Fee
FSL	Fractional Shares Liquidation
FSR	Fractional Shares Liquidation Reversal
FST	FMV Spin-Off Foreign Distribution Security
FT0	Federal Tax Withheld Previous Year Excess Contribution
FT1	Federal Tax Withheld for Early Distribution
FT2	Federal Tax Withheld Substantially Equal Series Distribution
FT3	Federal Tax Withheld Disability Distribution
FT4	Federal Tax Withheld Beneficiary Distribution
FT5	Federal Tax Withheld for Early Income Distribution
FT6	Federal Tax Withheld Normal Income Distribution
FT7	Federal Tax Withheld Normal Distribution
FT8	Federal Tax Withheld Current Year Excess Contribution

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
FT9	Federal Tax Withheld Disability Income Distribution
FTD	Foreign Trust Distribution
FTE	Federal Tax Withheld Early Distribution with Exception
FTF	Foreign Trade Fee
FTP	First Trade Promotion Commission Credit
FTR	Foreign Tax Refund
FTS	Federal Tax Withheld Simple IRA Early Distribution
FTT	Federal Tax Withheld Designated Roth Account Earnings Distribution
FTW	Federal Tax Withheld
FTX	Federal Tax Withholding Prior Year
FWA	Fed Wire Returned
FWC	Finder Fee Wire Commission
FWT	Federal Tax Withheld Escrow Entry
FXB	Access to TelExchange's Fax Center
FXC	Foreign Currency Exchange
FXE	Foreign Execution Fee
FXS	FX Sales Credits
FY0	SR SigChoice (A40) Flow Fee
FY1	SR SigPortfolios (A41) Flow Fee
FY3	SR WMC SigAnnuities - Var Accum (A42) Flow Fee
FY6	SR WMC SigAnnuities - Var Payout (A42) Flow Fee
FY7	SR WMC SigAnnuities - Fixed Payout (A42) Flow Fee
FY9	RMKT A66 Flow Fee
GIF	ICE GIF Access Fee
GPI	Global Proxy Intermediary Disclosure Fee
GPN	Global Proxy Meeting Notification Fee
GPV	Global Proxy Vote Collection Fee
GTC	Good Till Cancel Advise Fee
GTW	Federal Tax Withheld
GTX	Federal Tax Withholding Prior Year
HAF	Delivered to Fund
HDC	Confirm Hardcopy Fee
HDD	DTC Deliver Adjustment
HDR	DTC Receive Adjustment
HDS	Month End Statement Hardcopy Fee
HFE	Hosting Fees
HFM	Home Repairs Related to Force Majeure Distribution
HPD	Historical Pricing Data
HRD	Hardship Distribution
HRN	Hardship Distribution Adjustment
IAF	Investment Advisory Fee
IAG	Investor Aggregation - Firm Fees
IAO	Increase Bank Loan as Of
ICC	Incoming Currency Check
ICD	Incoming Currency Deposit
ICF	Internal Surrender Charge-Back Fixed Annuity
ICR	Return of Incoming Currency Wire
ICW	Incoming Currency Wire
IF/	Credit Interest Adjustment
IFO	A40 Signature Choice Initial Fee

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
IF1	A41 Signature Portfolios Initial Fee
IF2	A49 Signature Portfolios Initial Fee
IF3	WMC Sigann - Var Accum (A42) Inception Fee
IF5	A43 Signature Managed Account Initial Fee
IF6	WMC Sigannuities - Var Payout (A42) Inception Fee
IF8	A66 Signature Advisor Initial Fee
IF9	A40 Signature Choice Initial Fee
IFD	Info Direct Service Charge
IFF	Interest on Free Credit Balances
IMG	Imaging Capture and Storage Fee
IMX	Annual Account Fee
IN/	Margin Interest Adjustment
INA	Bond Interest Adjustment
INE	Bond Interest Received
INF	Foreign Bond Interest
INJ	Interest Journal
INM	Int. Charged on Debit Balances
INP	Prior Year Debit Interest Adjustment
INS	Bond Interest Charged
INT	Interest
INX	Interest Expense
INZ	Bond Interest Received
IPR	Preauthorized Automatic Payment-Insurance Premium
IR/	Short Sale Rebate Adjustment
IRC	Interest Reimbursement Correction
IRE	Interest Reimbursement
ISF	Initial Subscription Price
IT/	Tax Deferred Interest Adjustment
ITE	Tax Deferred Interest
ITS	Intersystem Balance Entry
IY0	SR SigChoice (A40) Inception Fee
IY1	SR SigPortfolios (A41) Inception Fee
IY3	SR WMC SigAnnuities - Var Accum (A42) Inception Fee
IY6	SR WMC SigAnnuities - Var Payout (A42) Inception Fee
IY7	SR WMC SigAnnuities - Fixed Payout (A42) Inception Fee
IY9	RMKT A66 Inception Fee
JWK	NXP - BNY Jaywalk Content Fee
L86	Law 86 Distribution
LCC	Letter Customization Charges
LEA	Cash In Lieu of Fractional Share Adjustment
LEJ	Cash In Lieu Included In Distribution Adjustment
LEO	Cash In Lieu Included In Distribution
LES	Cash In Lieu of Fractional Share Charged
LEU	Cash In Lieu of Fractional Share Received
LEV	Transaction Levy
LGL	Legal Item Received
LIA	Liquidation Adjustment
LIQ	Security Liquidated
LIR	Qualified Retirement Plan Loan Interest Reversal
LIS	Liquidation Charged

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
LOW	Below Minimum Balance Fee
LPA	Receive Adjustment
LPC	Alternative Investment Cancel
LPS	Private Purchase
LQA	Liquidated Dividend Adjustment
LQD	Liquidating Dividend Received
LQS	Liquidating Dividend Charged
LRC	Beneficiary Transfer Adjustment
LRD	Beneficiary Transfer
LSP	Liquidation of Subscription Product
LSR	Securities Replacement
LTQ	NetX Pro Level 2 Quote Fees
LTS	Divorce/Qualified Domestic Relations Order Transfer Adjustment
MBR	Mutual Fund 12B-1 Fee Reversal
MBS	PTC MBS Payment
MCA	Adjust Miscellaneous Income
MCC	Miscellaneous (Misc) Income Foreign Short Charge
MCD	Monthly CD Fee
MCF	Miscellaneous (Misc) Income Foreign
MCH	Maintenance Fee
MCR	Market Research Fee
MCS	Miscellaneous Income Received
MCV	Charge Miscellaneous Income
MCX	Miscellaneous (Misc) Income Foreign Adjustment
MD1	NetX360 Basic Market Data Package User Fee
MD3	NetX360 Full Real Time Market Data Package User Fee
MDS	Midwest Receive Deliver Movement
MEA	Merger Adjustment
MEO	Monthly Charge for SEC Consolidated Audit Trail (CAT)
MER	Merger Security Exchanged
MFA	Mutual Fund Adjustment
MFB	Mutual Fund 12B-1 Fee
MFE	Mutual Fund Exchange Fee
MFP	Mutual Fund Surcharge Fee
MFR	Mutual Fund Transaction Fee Rebate
MFS	Money Fund Sweep Maintenance Charge
MFX	UIT Exchange Transaction
MFZ	Mutual Fund Research Package
MGA	Management Fee Adjustment
MGR	28% Rate Gain Adjustment
MIS	Miscellaneous Fee
MKE	NetX Pro Market Edge - Full Service Monthly Subscription Fee
MKR	FDIC Insured Bank Deposits Interest Reinvested
MKS	NetX Pro Market Edge Second Opinion Monthly Subscription Fee
MKT	Marketing Fee Payment
MLA	Partnership Distribution Adjustment
MLC	Foreign Partnership Distribution Charge
MLD	Partnership Distribution
MLN	Foreign Partnership Distribution
MLP	Partnership Distribution

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
MLR	Foreign Partnership Distribution Reversal
MLS	Partnership Distribution Charged
MMA	Money Market Adjustment
MMB	Money Market Fund 12B1 Payment
MMF	Management Fee Paid
MMI	Money Market Fund Income Received
MMJ	Money Market Fund Income Adjustment
MMK	FDIC Insured Bank Deposit
MMO	Money Fund Income
MMR	Money Fund Redemption
MMS	FDIC Insured Bank Withdrawal
MMT	Tax Exempt Money Market Fund Income Received
MMV	Money Market Fund Income Reinvested
MNC	Managed Account Network Correspondent Allocation
MNR	Managed Account Network Registered Rep Allocation
MNT	Managed Account Network TAMP Allocation
MO1	NetX Investor Select Mobile Monthly Fee
MOA	Money Market Fund Income Adjustment
MOB	NetX Investor Select MobileOne-Time Set-up Fee
MOI	FDIC Insured Bank Deposits Interest Received
MOK	FDIC Insured Bank Deposits Interest Adjustment
MOP	Money Market Fund Income Received
MOR	Money Market Fund Reinvestment
MOV	Moving Funds from Income to Principal or from Principal to Income
MPD	Maintenance Fee Payment Received
MPR	Mutual Fund Redemption Service Fee
MPT	Bank Custody Fee Credit
MQD	Market Q Data Access Fee
MQI	Market Q International/ Commodity/Future Exchange Fee
MRA	Receive Adjustment
MRE	Merger Security Exchanged
MRF	Minimum Revenue Fee
MRK	Mark to Market
MRP	Merger Security Exchanged with Agent
MRR	Merger Adjustment
MTA	Tax-Free Money Market Fund Income Adjustment
MTG	MT News Global
MTM	Mark to Market
MTN	MT Newswires
MTP	Tax-Free Money Market Fund Income Received
MTX	NYS Tax - Memo
MUA	Bond Interest Adjustment
MUF	NetX Pro Monthly Usage Fee
MUN	Bond Interest Received
MUS	Bond Interest Charged
MWB	End of Day Offset
MWD	Midwest Deposit Activity
MWI	Corporate Action Receipt/ Disbursement
MXA	UIT Exchange Adjustment
N/C	Name Changed

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
NCA	Name Change Adjustment
NCO	NOCO Commissions
NDJ	NetX Client Dow Jones Industrial Average License Fee
NEA	NetExchange Quality Assurance /Testing Fee
NER	NetExchange Reuters Company News Fee
NET	Networking Memo Update
NOI	Normal Income Distribution
NOR	Normal Distribution
NP1	Fee for Naviplan Standard Financial Assessment
NP2	Fee for Naviplan Standard Level 1 Lockwood Model
NP3	Fee for Naviplan Standard Level 1 Ibbotson Model
NP4	Fee for Naviplan Standard Full Lockwood Model
NP5	Fee for Naviplan Standard Full Ibbotson Model
NP6	Fee for Naviplan Extended Lockwood Model
NP7	Fee for Naviplan Extended Ibbotson Model
NPC	Non-Purpose Loan Interest Charge Adjustment
NPL	Non-Purpose Loan Interest Charge
NPM	NetX Pro Mobile
NQA	Non-Qualified Interest Income Adjustment
NQI	Non-Qualified Interest Income
NRA	Non-Resident Alien Tax
NRD	Non-Resident Alien Distribution
NRE	Non-Resident Alien Tax Withheld - Escrow Entry
NRR	Non-Resident Alien Distribution Reversal
NRS	NRS Compliance Fees
NRT	Non-Resident Alien Tax Prior Year Adjustment
NRV	Netted Commission - Rep Gross Variable Annuity
NSC	NSCC Adjustments
NSU	NetX Client Non-Custom Set-Up Fee
NTA	Non-Taxable Distribution Adjustment
NTD	Non-Taxable Distribution Received
NTF	Asset Based Fee
NTM	NDM/NJE File Transmission Monthly Charge
NTP	NTF Penalty Charge
NTS	Non-Taxable Distribution Charged
NTT	NetX Client Turbo Tax Fees
NXO	NetExchange Office Online Form Charges
NXS	NetX Services Fee
OAA	Omnibus Account Activity
OAF	Orphan & Abandon Account Fee
OCA	Outgoing Currency Wire Adjustment
OCC	Outgoing Currency Check
OCR	Return of Outgoing Currency Wire
OCW	Outgoing Currency Wire
OFM	NetX Client OFX Monthly Maintenance Fee
OLC	End of Day Offset
ONW	Outgoing Non USD Currency Wire
OPA	Option Premium Payment Adjustment
OPI	Option Premium Payment
OPS	Option Premium Charge

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
ORF	Option Regulatory Fee
ORP	Open Repurchase Transaction
ORV	Open Reverse Repurchase Transaction
OSC	Online Surveys Client Fee
OTF	Outgoing Account Transfer Fee
OVD	Overdraft Fee
OVR	Overdraft Fee
OWA	DTC Obligation Warehouse Adjustment or DTC OW Adjustment
P/O	Pair-Off Adjustment
P/S	P&S Adjustment
PAC	Replacement Binder for Business Style Checks
PAF	Portfolio Advisory Service Fee
PAP	Pre-Authorized Automatic Payment
PAQ	NetX ProReal-Time Quotes Rate Per Quote
PAT	Pending Account Transfer
PAX	Carbon Copy Check Order - Reorder
PBA	Puerto Rico Bank Interest Adjustment
PBD	Securities Delivered
PBF	Prime Brokerage Trade Away Fee
PBI	Puerto Rico Bank Interest
PBR	Securities Received
PBW	Philadelphia Layoff
PC/	Paper Surcharge - Confirms
PCA	MasterCard Transaction
PCB	Business Style Checkbook Order Fee
PCC	Asset Management Check
PCD	Electronic Transaction
PCE	Asset Management Account Gold Account Annual Fee
PCF	Asset Management Account Standard Account Annual Fee
PCG	Copy Retrieval Fee
PCH	Business Style Checkbook Re-order Fee
PCI	Previous Year Excess Contribution Income
PCJ	Asset Management Account Standard Account Opening Fee
PCK	Asset Management Account Gold Account Opening Fee
PCL	Pacific Coast Layoff
PCM	Asset Management Account ATM Transaction Fees
PCN	Checkbook Order Fee
PCO	Check Re-order Fee
PCP	Pending Call Payment
PCR	Returned Check Fee Asset Management Check
PCS	Payment Stopped Asset Management Check
PCT	Asset Management Account Special Handling Fee
PCV	VISA Card Transaction
PCW	Asset Management Account Platinum Account Opening Fee
PCX	Carbon Copy Check Order - Initial
PCZ	Asset Management Account Platinum Account Annual Fee
PDA	Deliver Adjustment
PDC	Dividend Payable Cancellation
PE/	Performance Fee
PEF	Performance Fee

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
PER	Performance Measurement
PES	PES Billing Fee
PFA	Account Fee Assessment
PFC	Processing Fee Charge
PFF	Platform Fee
PFT	Penalty Fees on US Treasury F/D - F/R RUP & DUP
PGB	Pershing Government Account 12B-1 Payment
PGP	Money Market Income Paid
PGR	Money Market Income Reinvested
PIA	Payment In Kind Adjustment
PIH	NetX Pro Intraday and Historical Charts Retrieval Fee
PII	Interest Payable
PIK	Payment In Kind Received
PIN	Electronic Deposit
PIR	Pershing Investment Research
PIS	Payment In Kind Charged
PIX	Promissory Note Loan Debit Interest Cancel
PL/	Paper Surcharge for Letters and Notifications
PLA	PayLink ACH Credit
PLC	Preauthorized Electronic Transaction
PLE	Pledge of Collateral
PLG	Stock Record Plug
PLM	Realized P & L Movement (Manual)
PLP	Paylink Prenote
PLR	P/L Realized
PMC	Prospectus Mailing Charge
PMI	Money Market Fund Income Received
PMJ	Money Market Fund Income Adjustment
PMR	Frequent Buyer Rewards
PMT	Tax Exempt Money Market Fund Income Received
PMU	Tax Exempt Money Market Fund Income Adjustment
PNA	Personal Reason Distribution Adjustment
PNC	Promissory Note Loan Close
PND	Trades Pending Broker Confirmation
PNI	Promissory Note Loan Debit Interest
PNL	Personal Reason Distribution
PNO	Promissory Note Loan Open
PNX	Promissory Note Loan Cancel
POC	Payout on Commission
POP	NetX Pro Complete Package of Optional Services Fee
POR	Return of Overpayment
PPA	Principal Pay Down Adjustment
PPB	Portfolio and Account Performance Batch Fee
PPC	Prepaid Commission
PPD	Principal Pay Down Received
PPL	Pro Plus Package Fee
PPO	Premium Payment orders
PPP	Pershing Pending Papers
PPR	BNY Jaywalk Consensus Complete
PPS	Principal Pay Down Charged

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
PRA	Master Card Transaction Adjustment
PRC	Asset Management Check Adjustment
PRE	Early Principal Distribution
PRF	Asset Management Account Standard Account Annual Fee Adjustment
PRG	Copy Retrieval Fee Adjustment
PRI	Early Income Distribution
PRJ	Asset Management Account Standard Account Opening Fee Adjustment
PRK	Asset Management Account Gold Account Opening Fee Adjustment
PRM	Asset Management Account ATM Transaction Fee Adjustment
PRN	NetX Pro Reuters New Fee
PRO	Check Re-order Fee Adjustment
PRP	Premium Restricted Processing Fee
PRQ	NetX Pro Real-Time Quotes Rater Per User (Package)
PRR	Return Check Fee Asset Management Check Adjustment
PRS	Payment Stopped Asset Management Account Adjustment
PRT	Asset Management Account Special Handling Fee Adjustment
PRV	Visa Card Transaction Adjustment
PRW	Asset Management Account Platinum Account Opening Fee Adjustment
PRX	Asset Management Account Gold Account Annual Fee Adjustment
PRZ	Asset Management Account Platinum Account Annual Fee Adjustment
PS/	Paper Surcharge - Statements
PSC	Pershing Service Charge
PSF	Stop Payment Fee
PSP	Purchase of Subscription Product
PSR	Prorated Shares Returned
PTF	Plan Transfer To/From Brokerage Account
PTT	Plan Transfer to Brokerage Account
PTW	Puerto Rico Tax Withholding
PUR	Direct Purchase
PWA	S&P'S Personal Wealth Module 1
PWB	S&P'S Personal Wealth Module 2
PWC	S&P'S Personal Wealth Module 3
PWZ	S&P'S Personal Wealth Package (Include All Modules)
PYB	Prior Year Bond Interest Adjustment
PYD	Prior Year Cash Dividend Adjustment
PYR	Prior Year Redemption Adjustment
QCD	Quarterly CD Fee
QKC	Quicken Client Fee
QLA	Qualified Retirement Plan Loan Repayment Adjustment
QLC	Qualified Retirement Plan Loan Fee Charged
QLD	Qualified Retirement Plan Loan Distribution
QLF	Qualified Retirement Plan Loan Fee Payment
QLI	Qualified Retirement Plan Loan Interest Payment
QLR	Qualified Retirement Plan Loan Repayment
QMA	Qualified Matching Contribution Adjustment
QMC	Qualified Matching Contribution
QMD	Market depth Quotes
QMF	Maintenance Fee
QMP	Payment of Maintenance Fee
QMR	Maintenance Fee Adjustment

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
QNA	Qualified Non-Elective Contribution Adjustment
QNE	Qualified Non-Elective Contribution
QPR	Quarterly Performance Report
QRA	Qualified Rollover Contribution Adjustment
QRC	Qualified Rollover Contribution
QRD	Qualified Roth Distribution
QRR	Qualified Roth Distribution Adjustment
QSC	Quarterly Service Charge
QSR	Qualified Special Representative
QSW	Quarterly Service Charge Waiver
QTA	Purchased Quotes Adjustment
QTD	QRP Taxable Loan Distribution
QTE	Purchased Quotes
QTF	Termination Fee
QTP	Prepayment of Termination Fee
QTR	Termination Fee Adjustment
QUC	Commodity Quotes
QUO	International Quotes
R/A	Reverse Split Name Change Adjustment
R/N	Reverse Split/Name Change
R/S	Reverse Split
R35	Exchange/Qualified Transfer Reversal
RAA	Receive Adjustment
RAC	Recharacterization Contribution Adjustment
RAD	IRA Conversion Distribution to Roth IRA Adjustment
RAF	Administrative Fee Adjustment
RAI	Rental Income
RAN	Returned ACH Transaction Non-Chargeable
RAP	Re-Establish Account from Abandoned Property
RAT	Retirement Account Transfer
RAX	Returned ACH Transaction Chargeable
RBD	Revise Book Deliver
RBO	RIO Balance Order Activity
RBR	Revise Book Receive
RC/	Electronic Transfer Adjustment
RCA	Returned Check Adjustment
RCB	Called Security Reversal
RCC	Current Year Contribution Adjustment
RCD	Returned Electronic Transaction
RCE	Refund Current Year Excess Contribution Adjustment
RCF	Clearing House Funds Received
RCH	ACH Transaction Returned
RCN	Returned Electronic Transaction
RCP	Returned Electronic Transaction
RCR	Current Year Employer Contribution Adjustment
RCT	Recharacterization Contribution
RCX	Returned Electronic Transaction
RCW	Receive Currency Wire
RCY	Resubmitted Electronic Transaction
RDA	Redemption Adjustment

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
RDC	Employee Deferral Contribution Adjustment
RDD	Death Distribution Adjustment
RDF	Redemption of Fractional Shares
RDI	Disability Distribution Adjustment
RDK	Security Delivery Returned
RDL	Reinstated Disposed Tax Lot
RDM	Security Redeemed
RDP	Security Redeemed with Agent
RDR	Redemption Reversal
RDT	Recharacterization of Current Year Contribution
RDV	Reverse Deemed Dividend
RDZ	Your Security Redeemed
RE1	ICE GIF Redistribution Fee
REA	Receive Additional Shares
REC	Received into Your Account
RED	Reduce Bank Loan
REE	Real Estate Expense
REL	Release of Collateral
RET	Retirement Age Distribution
REV	Reversal of Premium Processing Fee (PRP)
REW	Roth IRA Early Withdrawal
RFA	Renewal Commission on Fixed Annuity
RFC	Retired Files Service Charge - EBS Billing Events FRT
RFD	Security Pre-Refunded
RFF	Federal Funds Received
RFP	Reserve Fund Purchase
RFR	Reserve Fund Redemption
RFW	Receive Fed Wire
RGM	Security Mailed
RIR	Reorganization Instruction
RIV	Reinstate Insignificant Value Security
RJ5	A43 Closed Account Rebate Adjustment
RJ6	A44 Closed Account Rebate Adjustment
RJ7	A45 Closed Account Rebate Adjustment
RJ8	A61 Closed Account Rebate Adjustment
RJ9	A66 Closed Account Rebate Adjustment
RJE	RJE Service Charge
RLA	Restriction Lapse Stock Award
RLK	401(K) Loan Fee Reversal
RLO	Restriction Lapse Option Exercise
RLS	Reverse Liquidation of Subscription Product
RMA	Retirement Account Security Distribution Instruction
RMC	Employer Matching Contribution Adjustment
RMD	Retirement Account Required Minimum Distribution Activity
RMF	Current Year Maintenance Fee Adjustment
RMK	401(K) Maintenance Fee Reversal
RML	Rebate Monthly MarketLink Fee
RMP	Previous Year Maintenance Fee Adjustment
RMR	Roth IRA Conversion from IRA Residual Balance
RMV	Annuity Commission Reversal

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
RMX	Remittance Chargeback Fixed Annuity
RNA	Bond Interest Adjustment
RNB	Redemption
RNC	Forfeiture Contribution Adjustment
RND	Normal Distribution Adjustment
RNF	Reversal of Tendered Securities
RNI	Retirement Account Income Received Period to Date Activity
RNK	Monthly Charge for The Ranking Service
RNO	Direct Rollover to IRA Adjustment
RNS	Remove Non-Transferable Security, No Transfer Agent
RNT	Reinstate Non-Transferable Security
RNU	Direct Rollover to QRP Adjustment
RNV	Recharacterization of Prior Year Contribution
RNY	Retirement Account Income Received Year to Date Activity
RNZ	Bond Interest Received
ROA	Return of Principal Adjustment
ROC	Rollover Contribution
ROF	Reversal of Employee Stock Option Processing Fee
ROG	Security Routed
ROP	Return of Principal Received
ROS	Return of Principal Charged
ROW	Rollover Contribution with 60 Day Waiver
RP1	Retirement Plan Network Custody Service Fees
RP2	Retirement Plan Network Advisor Compensation Management Fees
RP3	Retirement Plan Network Model Portfolio Platform Fees
RP4	Retirement Plan Network Investment Company Fees Such as Sub TA and SSFs
RP5	Retirement Plan Network Recordkeeper Fees Payable to Pershing
RP6	Retirement Plan Network Miscellaneous Fees, or Fees Not Yet Identified
RP7	RPN: FI360 Fee
RP8	RPN: Strategic Insight- Pathfinder Fee
RP9	RPN: Judy Diamond Prospector
RPA	Receive Adjustment
RPB	Repo Interest Credit
RPC	Previous Year Contribution Adjustment
RPD	Early Distribution Adjustment
RPE	Refund Previous Yr Excess Contribution Adjustment
RPF	Repo Interest Charged Adjustment
RPH	Repo Interest Credit Adjustment
RPI	Repo Interest Charged
RPK	401(K) Set-up Fee Reversal
RPM	Previous Year Employer Matching Contribution Adjustment
RPN	12B1 Payment
RPP	Repayment of Principal
RPR	Previous Year Employer Contribution Adjustment
RPS	Reverse Purchase of Subscription Product
RPX	Cancelled Close Repurchase Transaction
RQA	Qualified Reservist Recontribution Adjustment
RQD	QRP Taxable Loan Distribution Adjustment
RQF	Qualified Retirement Plan Loan Fee Adjustment
RQR	Qualified Reservist Recontribution

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
RRA	Rights Redemption Adjustment
RRB	Direct Rollover Designated Roth Account to Designated Roth Adjustment
RRC	Rollover Contribution Adjustment
RRD	RR Data Delivery
RRE	InfoDirect-FTP Start Up Fee
RRF	InfoDirect-FTP Maintenance Fee
RRH	Direct Rollover Designated Roth Account to Roth IRA Adjustment
RRI	RR Data Delivery Set-up Fee
RRM	Rights Redemption Received
RRN	Billing for Rerun of A Standard File Transmission More Than 10 Days Old
RRP	Qualified Retirement Plan Loan Distribution Adjustment
RRS	Rights Redemption Charged
RRW	Federal Tax Withheld for Hardship Distribution
RSA	Reverse Split Adjustment
RSC	Reverse Service Charge for Annuity Processing
RSD	Simple IRA Early Distribution Adjustment
RSE	Substantially Equal Series Distribution Adjustment
RSF	Qualified Retirement Plan Set-Up Fee Reversal
RSK	Restricted Item Cleared
RSO	Redemption Survivor Option
RSP	Special Product Fee Adjustment
RST	Restricted Transfer Fee
RSX	Reverse Split Exchanged with Agent
RTA	Retirement Account Transfer Adjustment
RTC	Reuters News Client
RTF	Termination Fee Adjustment
RTK	401(K) Termination Fee Reversal
RTL	Reinstate Tax Lot
RTP	Federal Tax Withheld for Death Income Distribution
RTQ	Net Exchange Pro - Real Time Quotes Flat Fee (Unlimited Use)
RTW	Federal Tax Withheld Roth IRA Conversion Distribution
RVA	Renewal Commission on Variable Annuity
RVD	Reversal - Verification of Deposit Fee
RVP	Security Received vs Payment
RVX	Cancelled Close Reverse Repurchase Transaction
RWA	Rollover Contribution with 60 Day Waiver Adjustment
RWC	Direct Rollover Death Distribution Adjustment
RWD	Reverse Worthless Security Deletion
RXC	Corrected Open Repurchase Transaction
RXN	Excess Refund After Tax Filing Deadline Adjustment
RXP	Education Distribution Adjustment
RY0	SR SigChoice (A40) Termination Fee
RY1	SR SigPortfolios (A41) Termination Fee
RY2	SR SigPortfolios (A49) Termination Fee
RY3	SR WMC SigAnnuities - (A42) TERMINATION FEE
RY4	SR SigChoice (A40) Termination Fee Var Accum
RY5	RMKT A43 Termination Rebate
RY6	SR WMC SigAnnuities - Var Payout (A42) Termination Fee
RY7	SR WMC SigAnnuities - Fixed Payout (A42) Termination Fee
RY8	RMKT A61 Termination Rebate

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
RY9	RMKT A66 Termination Rebate
S/A	Securities Split Adjustment
S/U	Securities Split
SAF	Startup Advisory Fee
SAR	Stock Award Refund
SAV	Stock Award Vest
SBA	Sub-Accounting Fee Adjustment
SBF	Money Market Fund Sub-Accounting Fee
SC/	Short Sale Interest Borrow Charge Adjustment
SCA	Stop Certificate Adj
SCB	Section 1202 Capital Gain Charge
SCC	End of Day Offset
SCD	Semi-Annual CD Fee
SCE	Share Class Exchange Fee
SCF	Clearing House Funds Sent
SCG	Section 1202 Capital Gain Distribution
SCK	401(K) Set-up Fee Charge
SCL	Secured Credit Line Interest Adjustment
SCP	Substitute Payment Reimbursement
SCR	Section 1202 Capital Gain Adjustment
SCV	Full Surrender Chargeback Variable Annuity
SCX	Full Surrender Chargeback Fixed Annuity
SDA	Stock Dividend Adjustment
SDC	Credit for Check Not Negotiated
SDF	End of Day Offset
SDP	SMMS Dividend Paid
SDR	SMMS Dividend Reinvested
SDS	Stock Dividend Charged
SDV	Stock Dividend Received
SEA	Settlement Adjustments
SED	Simple IRA Early Distribution
SEF	Non-US Stock Exchange Fee
SEQ	Received into Safekeeping
SES	Substantially Equal Series Distribution
SFA	Employee Stock Option Exercise Fee Adjustment
SFC	Additional Subscription Price
SFE	529 Plan Fund Set-up Fee
SFF	Federal Funds Sent
SFI	S&P MarketScope Fixed Income
SFK	Received into Safekeeping
SFP	Solicitation Fee Payment
SFR	Subscription Price Refund
SFW	Sent Fed Wire
SFX	End of Day Offset
SFZ	Non-Compressed FTP Files Service Charge - EBS Billing Event SFvZP
SGA	Short Term Capital Gain Adjustment
SGN	Short Term Capital Gain Distribution
SGR	Seg Memo Quantity Reduction
SGS	Short Term Capital Gain Charged
SHA	Screen Phone Purchase Adjustment

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
SHP	Security Mailed to You
SHX	Customer Initiated Share Class Conversion
SL/	Solicitor Payable Fee
SLA	Service Level Agreement Financial Payment
SLF	Solicitor Payable Fee
SLR	Sales Load Rebate
SMA	Margin Memo Adjustment
SMC	S&P Mutual Fund Info Client Fee
SME	S&P MarketScope Equity, Mutual Fund, ETF
SMF	Miscellaneous Fee- Street Side
SMG	S&P MarketScope Global Stock Research
SMI	Statement Insert Fee
SMO	S&P MarketScope Option Strategies
SMS	NetExchange Pro S&P Market Select Fee
SMU	S&P MarketScope US Research
SMW	S&P MarketScope Wealth Manager
SNO	Received into Safekeeping
SOA	Stock Spin-Off Adjustment
SOC	Employee Stock Option Cash Cost/Tax
SOF	Employee Stock Option Exercise Fee
SON	Spin-Off - Non Taxable
SOP	Employee Stock Option Cash Payment
SOR	Stock Spin-Off Received
SOS	Stock Spin-Off Charged
SOT	FMV Spin-Off Domestic Parent Security
SOW	Received into Your Account
SPA	Stock Split Adjustment
SPC	Special Product Fee
SPD	Set-Up Fee Payment
SPF	Stock Purchase Plan Fee
SPH	Screen Phone Purchase
SPI	BNY Mellon Govt Settlement
SPK	401(K) Set-up Fee Payment
SPL	Stock Split Received
SPM	NetExchange Pro - Standard and Poor's Market Scope Monthly Subscription
SPO	Security Payment order
SPP	Special Prod Fee Payment Received
SPR	Statement Print Charge for Statements Forced Out Regardless of Activity
SPS	Stock Split Charged
SPT	Sales Practices (Actimize) Maintenance Fees
SPV	Sales Practices (Actimize) Dev. Fees
SPX	Net Exchange Client Lipper Mutual Fund Content and Fund Scan
SPY	Substitute Payment
SPZ	Net Exchange Pro - Standard and Poor's 3 PGE Report Monthly Subscription
SQ1	Snap Quote Correspondent Charge
SRA	Stock Record Adjustment
SRR	Transaction Charge for Systematic Mutual Fund Trade
SRT	NXP Real Time Streaming Quotes
SRX	Substitute Payment Reimbursement Adjustment
SSC	Stock Split Cancellation

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
SSD	Swiss Stamp Duty
SSI	Distribution from UIT Reinvested
SSO	Fee for Single Sign on (SSO) Project
STA	Screen Phone Sales Tax Adjustment
STC	S&P 5 Page Stock Report Client Fee
STD	Stamp Duty Fee
STG	Storage Fee
STL	Loan/Borrow Activity
STM	Corporate Actions Fair Market Value Old Security
STP	Payment to You Stopped
STS	FMV Spin-Off Domestic Distribution Security
STW	State Tax Withheld
STX	Screen Phone Sales Tax
SUA	Screen Phone Set-up Fee Adjustment
SUP	Screen Phone Set-up Fee
SVB	Securities Routed
SVC	Service Charge
SVF	Securities Valuation Fee
SVP	Your Short Position Has Been Covered Per Your Request
SVR	Reversal - Securities Valuation Fee
SWC	Money Fund Processing
SWE	Money Fund Processing
SWP	Money Fund Purchase
SWR	Money Fund Redemption
SXA	Adjust FMV Spin-Off Foreign Security
SYI	Syndicate Fee Adjustment
SYN	Syndicate Underwriting
T/D	Trade Date Balance Position Adjustment
TAA	Adjust Transfer of Asset
TAE	FMV Spin-Off Foreign Parent Security
TAF	NASD Trading Activity Fee
TAP	Transferred to Abandoned Property
TAR	Transfer of Asset Reversal
TAS	Time & Sales
TAW	Sec. 83(B) Taxes - Stock Award
TBA	Transfer Between Accounts
TCA	Custodial Transfer of Funds
TCC	Thomson Company Reports Fee - NXC
TCE	TelExchange Client Exchange Fee Per Port
TCF	DTC Firm Transfer
TCI	Treatment of Chronic Illness Distribution
TCM	TelExchange Client Monthly Maintenance Fee
TCO	DTC Customer Transfer
TCP	Purchase of Additional Ports for TelExchange Client
TCQ	Purchase of Real Time Quotes
TCR	Trade Correction Receivable
TCS	Bond Tax Credit Charge
TCT	TelExchange Client Toll Free Service Charge
TCU	Port Usage on TelExchange Client
TCV	Trail Commission-Variable Annuity

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
TCX	Annuity Trail Commission
TDA	Deliver Adjustment
TDL	Transfer Movement via TOLS
TEC	Thomson Earnings Info Client Fee
TEK	401(K) Termination Fee Charge
TEQ	Received into Safekeeping
TER	Termination Fee
TF0	Out of Legal Transfer Midwest
TFA	Customer Transfer Adjust
TFC	Transfer Agent Fee
TFD	Termination Fee Cash Due
TFF	NetX Pro Thomson Financial News Fee
TFG	GNMA Registration and Transfer Fee
TFJ	Transaction Fee Adjustment
TFN	Transfer and Ship Fee
TFR	Your Security Transferred
TFX	Termination Fee Cash Due Adjustment
TGR	GNMA Registration and Transfer Fee Reversal
TIC	Thomson Insider Info Client Fee
TKP	401(K) Termination Fee Payment
TLO	Customer Legal Transfer
TMA	Corporate Actions Old Security Fair Market Value Adjustment
TMD	DTC Transfer
TMR	Corporate Actions Fair Market Value New Security
TMS	Pershing Electronic Trading
TMV	Corporate Actions Fair Market Value IRC 302
TNA	Tender Adjustment
TNB	Tender
TND	Security Tendered
TNF	Your Security Tendered
TNL	Received into Safekeeping
TNR	Reversal of Tendered Securities
TNT	Your Security Tendered
TOA	Your Asset Transferred
TOL	Received into Transfer
TOS	Transfer of Short Position
TPC	Third Party Duplicate Drop Copies Transmission
TPD	Termination Fee Payment
TPE	TelExchange Pro Exchange Fee Per Port
TPF	Physical Firm Transfer
TPM	Pending Transfer Movement
TPO	Delivered Out of Transfer
TPP	Purchase of Additional Ports for TelExchange Pro
TPQ	Purchase of Real Time Quotes
TPR	Third Party Remote Job Entry Transmission
TPT	TelExchange Pro Toll Free Service Charge
TPU	Port Usage on TelExchange Pro
TPX	TelExchange Pro Monthly Maintenance Fee
TRA	Trust Distribution Adjustment
TRC	Transfer for Collection

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
TRD	Trade
TRF	Reorg Firm Transfer
TRI	Total Reorg Instructions
TRM	Annual Account Maintenance Fee
TRN	Transfer and Ship Fee Reversal
TRS	Trust Distribution Charged
TRU	Trust Distribution Received
TSA	Transfer for Collection Adjustment
TSC	The STREET.COM Subscription
TSD	FMV Stock Dividend Domestic Security
TSE	FMV Stock Dividend Foreign Security
TSF	Received into Firm Transfer from Box
TSI	Divorce/Qualified Domestic Relations Order Transfer
TSO	Delivered Out of Legal Transfer
TSP	Transfer Stamp Fee
TSS	ACAT Settlement
TSV	Taxes for Stock Award Vest
TSX	Adjust FMV Stock Dividend Foreign Security
TTC	Thomson Company Reports Client Fee
TTX	Transfer Tax
TUA	College Tuition Distribution Adjustment
TUB	Transfer Unsecured Balance
TUI	College Tuition Distribution
TVA	Corporate Actions New Security Fair Market Value Adjustment
TXA	Reverse FMV Stock Dividend Foreign Security
TXR	Mutual Fund Capital Gain Tax Refund
TXS	Adjust FMV Stock Dividend Domestic Security
TYP	Activity Within Your Acct
UBT	Unrelated Business Tax Payment
UCA	Unrecaptured Section 1250 Gain Adjustment
UCC	Unrecaptured Section 1250 Gain Charge
UCG	Unrecaptured Section 1250 Gain Distribution
UGC	Unrecaptured Section 1250 Gain Charge
ULA	Unmet Letter of Intent
UNA	Unemployment Distribution Adjustment
UNE	Unemployment Distribution
UPC	Universal Package Client Fee
UTS	Securities Routed
VAA	Voluntary After Tax Contribution Adjustment
VAT	Voluntary After Tax Contribution
VBA	Vanguard Advantage Bill Pay Additional Transaction Fee
VBF	Vanguard Brokerage Maintenance Fee
VBM	Vanguard Advantage Bill Pay Monthly Account Fee
VBN	Vanguard Advantage Bill Pay New Account Fee
VBR	Vanguard Advantage Bill Pay Non-Sufficient Funds
VDA	Deliver Adjustment
VDS	Voided Check
VES	Vestorly Premium Content Provider
VOD	Deposit Verification Fee
VRA	Reverse Voluntary Redemption

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
VRD	Voluntary Redemption
W/O	Write Off Balance
W2K	Fee for Wealth2K Income for Life Model Subscription
WAC	Withdrawal at Custodian
WCO	Current Year Excess Refund Participant Two Years Ago Adjustment
WCU	Current Year Excess Contribution Refund Income Two Years Ago Adjustment
WFC	Wrap Fee Commission
WFF	Wire Fee Charged by Mutual Fund Co. to Process Trade
WHA	Stock Option Withholding Tax Reversal
WHB	Stock Option Withholding Tax
WHT	Withholding Tax on Employee Stock Option
WIN	NXP HTML and Windows Basic Access
WNC	Wireless News Client Fee
WOA	Write Off Balance Adjustment
WOD	Write Off Deposit Differences
WOF	Write Off Balance
WOI	Write Off Wire Differences Incoming
WOO	Write Off Wire Differences Outgoing
WRI	Withdrawal of Reorg Instructions
X35	1035 Exchange or Qualified Transfer
XAA	Morningstar Annuity Analyzer
XCC	End of Day Offset
XCF	1035 Exchange Commission Fixed Annuity
XCG	End of Day Offset
XCH	Ex-Clearing House Activity
XCL	Ex-Clear Surcharge
XCV	1035 Exchange Commission Variable Annuity
XEA	Option Exercise Adjustment
XER	Your Option Exercised
XFS	iNautix Document Management Folder Storage Add On
XMB	Morningstar Portfolio Builder
XME	Morningstar Equity Research
XMP	Morningstar Portfolio X-Ray
XOC	Expired Option
XPA	Expired Option Adjustment
XPD	Your Option Expired
XPI	Repo Interest Adjustment
XQC	S&P Xstream Quotes Client
XRP	Cancelled Open Repurchase Transaction
XRV	Cancelled Open Reverse Repurchase Transaction
ZKC	Zacks