

PERSHING STANDARD FILE LAYOUTS

APPENDIX K: LEGEND CODES

USED IN THE FOLLOWING STANDARD FILES: GACT, GAC1, GTDE/GSDE, GTOE, OELG

GENERAL LEGEND CODES:

LEGEND CODE	DESCRIPTION	COMMENT / QUALIFIER
1	EX DIVIDEND	Equity Only
2	WITH DIVIDEND	Equity Only
3	PROSPECTUS ENCLOSED	
4	PART ORDER	
6	EX RIGHTS	
7	WITH RIGHTS	
8	PROS UNDER SEP COVER	
9	UNSOLICITED ORDER	
0	PERSHING ACTED AS PRINCIPAL IN THIS TRANSACTION	
A	WE MAKE MKT IN SEC RPTD PRICE \$ _____ MK-U/D \$ _____	
B	PREFERRED RATE	
C	CLOSING TRANSACTION	For Options
C	SHORT COVER	For non-Options
D	MIXED CAPACITY TRADE	
E	SOLICITED ORDER	
F	DESIGNATED ORDER	
G	UNDER RULE 144	
H	PURCHASED UNDER RULE 10B-18	
I	PROSPECTUS DELIVERED	
J	PREVIOUSLY W.I.	
J	WHEN ISSUE EXTENDED	
K	ACCT OPT EXERCISED	
L	ACCT OPT ASSIGNED	
M	Denotes Principal/Agency Trade	
N	WE MAKE MKT IN SEC	
O	OPENING TRANSACTION	
O	SHORT SALE	For Non options
P	A PERSHING CO MAKES MKT IN SEC	

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LEGEND CODE	DESCRIPTION	COMMENT / QUALIFIER
Q	A PERSHING CO MAKES MKT IN SEC RPTD PRC \$ _____ MK-U/D \$ _____SH	
S	RPTD PRC \$ _____ MK-U/D \$ _____SH	
T	SYNDICATE	
U	AN ODD LOT DIFF CHG AMT ON REQUEST	
V	ALLOCATED ORDER	
W	Used to indicate a foreign settlement.	/ followed by 2 character country code and 5 character destination
X	DUPLICATE CONFIRM	
Z	Used to control Pershing Charge	
\$	DISCRETION EXERCISED	
)	A PCT OF THE CHARGES MAY BE SHARED WITH ANOTHER BROKER	
!	PREFERRED COMMISSION RATE	
=	Used for confirm disclosures and to suppress MSRB submissions	
?	Used to identify short sale exempt	

MUTUAL FUND-SPECIFIC LEGEND CODES

LEGEND CODE	DESCRIPTION (AS DISPLAYED)	COMMENT / QUALIFIER
B	N/O A/C ALL \$	Shares held in customer name as a physical certificate; dividends are cash; capital gains are cash
C	HLD CUST ALL \$	Shares held in customer name at the fund; dividends are cash; capital gains are cash
D	HLD PERS ALL \$	Shares held in Pershing street name; dividends are cash; capital gains are cash
F	N/O A/C REV \$	Shares held in customer name as a physical certificate; dividends are reinvested; capital gains are reinvested
G	HLD CUST REV \$	Shares held in customer name at the fund; dividends are reinvested; capital gains are reinvested
I	N/O A/C RV CAP DIV \$	Shares held in customer name as a physical certificate; dividends are cash; capital gains are reinvested
K	HLD A/C RV CAP DIV \$	Shares held in customer name at the fund; dividends are cash; capital gains are reinvested
M	N/O A/C \$ CAP RV DIV	Shares held in customer name as a physical

PERSHING STANDARD FILE LAYOUTS

LEGEND CODE	DESCRIPTION (AS DISPLAYED)	COMMENT / QUALIFIER
		certificate; dividends are reinvested; capital gains are cash
O	HLD A/C \$ CAP RV DIV	Shares held in customer name at the fund, dividends are reinvested; capital gains are cash
U	HOLD PERS REV \$	Shares held in Pershing street name; dividends are reinvested; capital gains are reinvested
#	HLD-RNVST DIV ONLY	Shares held in Pershing street name; dividends are reinvested; capital gains are cash
\$	HLD-RNVST CAPGN ONLY	Shares held in Pershing street name; dividends are cash; capital gains are reinvested

INTERNAL USE CODES

LEGEND CODE	DESCRIPTION
5	None available
8	None available
@	None available
&	None available
*	None available
.	None available
+	None available
#	None available