

PERSHING STANDARD FILE LAYOUTS

APPENDIX P: SOURCES OF INPUT

USED IN THE FOLLOWING STANDARD FILES: CAPS/T, GACT, GTDE/GSDE, GTOE

CODE	INPUT METHOD DESCRIPTION
b	Information not available
0	Entered on ATOMS screen
1	Order via MQ (formerly BrokerView)
2	External – NetExchange Services
3	NetX360
4	NetX Client
5	TelExchange Pro
6	TelExchange Client
7	iPartner
8	Proprietary Front End
9	External Link
A	External Advisor
B	External Web
C	Bloomberg
D	Pershing Trading Desk
E	ETF Create and Redeem
F	TCMS
G	Folio Dynamics – order blasting
H	DOT Directed transaction
I	Web via NetX360
J	IVR via NetX360
K	Proprietary via NetX360
N	ATOMS not submitted to OATS
O	External Investor Site
P	Wireless Pro
Q	Wireless Client via NetX360
R	Wireless Pro via NetX360
S	Mutual Fund Order (MIPS) entered via Rules Engine without SOI value
T	Enterprise Allocation System (EAS) / TCMS
U	POPS Routing Override
W	GLOSS
X	Currency Foreign Exchange, manual entry deals

PERSHING STANDARD FILE LAYOUTS

CODE	INPUT METHOD DESCRIPTION
Y	NetX Pro via TCMS
Z	NetX360 via Home Office
@	Mutual Fund via MFNL
#	Open Orders converting into Pershing
\$	Mutual Fund Company order
+	Routed to SONIC™