

# PERSHING STANDARD FILE LAYOUTS

## APPENDIX T: ASSET & TRANSFER STATUS CODES

**Asset & Transfer Status Codes (all are asset statuses; transfer status indicated in the Transfer Status Column)**

USED IN THE FOLLOWING STANDARD FILE: ACA2

CODE	DEFINITION	TRANSFER STATUS (Y/N)
ACU	Already Cleaned Up	N
APR	Approved	N
ARC	Already Reclaimed	N
ARD	Awaiting Release Date	Y
ARJ	Automatic Reject	Y
ARV	Already Reversed	N
CLN	Complete Transfer of Assets	N
CLS	Processed	Y
CNC	Cancelled	Y
FRV	Asset Reversed	N
FWD	Forwarded	Y
GCL	Asset Send to GCLR	N
MCL	Multiple Close	Y
MEM	Pending Memo	Y
MFC	Asset Cleaned Up	N
MGN	Intraday Margin Check Fail	Y
MLT	Multiple	Y
MMT	Mismatch	N
MNL	Manual	N
MPD	Multiple Pending	Y
MRV	Multiple Review	Y
NEW	New	Y
NRL	Not Released	Y
PAE	Post Approval Exception	Y
PAP	Pending Reject	Y
PDR	Pending Reconciliation	N
PER	Pershing Purged	Y
PND	Pending Trade	Y
POC	Pending OFAC Scan	Y
POF	COB Partial or Full	Y
POM	COB Closed	Y
PPW	Pending Paperwork	Y
PRG	Purged	Y
RAP	Request Adjust Past	Y
RCL	Reclaimed	N
REJ	Rejected	Y
REL	Released	Y
REQ	Request	Y
RER	Review Error	Y
REV	Review	Y

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CODE	DEFINITION	TRANSFER STATUS (Y/N)
RNC	Reconciled	N
ROV	Violation Accepted by Margin	Y
RQA	Request Adjust	Y
RQP	Request Past	Y
RQR	Request Reject	Y
RVA	Review Adjust	Y
RVX	Review Accelerated	Y
SBD	Same Broker Dealer	Y
SEA	Settlement Exception Approve	N
SER	Settlement Exception Reject	N
SET	Settling	Y
TEJ	Requested Rejected	Y
VAL	Validated	Y
VIO	Margin Violation	Y

## NSCC Account Type:

CODE	DEFINITION
4B	403B Plan
4K	401k Plan
5P	529 Plan
7B	457 Plan
AG	Agent
BC	Bank Collateral Account
BI	Beneficiary
BR	Beneficiary Roth IRA
CO	Corporation
CT	Co-Trustee
CU	Custodian
DR	Direct Rollover
EI	Educational IRA
ES	Estate
HS	Health Savings Account
IR	IRA
JT	Joint
MS	Medical Savings
OT	Other
QP	Qualified Plan/Profit Sharing/Pension
RI	Roth IRA
SI	Simple IRA
SN	Individual
TR	Trust

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## NSCC Status:

CODE	DEFINITION
CLS	Closed (completed)
PRG	Purge
RAP	Request Adjust Past
REJ	Rejected
RER	Review Error
REQ	Request
REV	Review
RQA	Request Adjust
RQP	Request Past
RQR	Request Reject
RVA	Request Adjust
RVX	Review Accelerate
SET	Settle Prep

## Reason Code for Reject (for NSCC Transactions Record A, pos 254-255; Records C and E, pos 233-234; Record D, pos 254-255)

CODE	DEFINITION
01	Social Security Number/Tax ID mismatch
02	Account title mismatch
03	Documentation needed
04	Account flat
05	Invalid account number
06	Duplicate
07	Account in distribution or transfer
08	Client rescinded
09	Missing authorization signature
21	Violates receivers credit policy
22	Reject of a residual credit
23	Reject of a partial transfer
24	Reject of a fail reversal
25	Reject of a reclaim
26	Reject of a custody redelivery
27	Mutual Fund cleanup reject
<b>b</b>	Not Rejected

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## Reject Codes for Non-NSCC transactions (Records B and E, pos 353-354)

CODE	DEFINITION
01	Clients most recent statement is missing and required
02	Delivering firm account number is missing
03	Name/address of current custodian is missing
04	Delivering firm account is flat
05	Delivering firm account number is invalid
06	Provide name/address of delivering firm
08	Specification of clarification of disposition of assets needed; only one box may be checked
09	Client should liquidate any assets and this transfer should be sent via ACATS
10	Client signature missing
11	Joint account; both signatures required
12	Successor custodian acceptance signature must be provided
13	Photocopies cannot be used when transferring from this institution; original signatures required
14	Certificates held by client
15	Invalid transfer form
16	Client must contact delivering firm, instruct them to liquidate desired positions, and submit this form for cash amount desired
17	CD transfers are not accepted for processing prior to 30 days from the date of maturity; resubmit 30 days prior to maturity
18	Indicate if CD should be liquidated immediately regardless of penalties or at maturity
19	These assets cannot be held on Pershing's books; therefore they cannot be transferred in kind
20	Other (please contact Pershing's Non-ACAT Department)
21	Submit list of assets that are to transfer to Pershing
22	Additional paperwork required

# PERSHING STANDARD FILE LAYOUTS

## NSCC Method of Delivery Code for Asset Records

CODE	DEFINITION
CNS <sup>b</sup>	Continuous Net Settlement Delivery
BOOK	Bookkeeping
PTC <sup>b</sup>	Participant Trust Company
GSCC	Government Securities Clearing Corporation
DTC <sup>b</sup>	Depository Trust Company
NDEL	Non-Delivery
EXPO	Expiring Option
OPT <sup>b</sup>	Option
USEC	Underlying Security
CASH	Cash
RSEC	Restricted Security
SFK <sup>b</sup>	Safekeeping
XCNS	Extended
NSET	System Derived Outside CNS, DTC, Fund/SERV
FCUR	Foreign Currency
DDEL	Delayed Delivery
IPS <sup>b</sup>	Insurance Processing Service
UNKN	Unknown