

PERSHING STANDARD FILE LAYOUTS

APPENDIX X: PORTFOLIO TRANSACTION CODES

USED IN THE FOLLOWING STANDARD FILE: POTL

CODE	DESCRIPTION
BKR ^{B B}	Security Receive
BUY ^{B B}	Buy
CAB ^{B B}	Customer Adjustment – Receive
CAT ^{B B}	Customer Authorized Transfer
CCB ^{B B}	Consolidate Firm Balances – Receive
CLEUS	Sale of Short Fractional Shares
CLX ^{B B}	Mutual Fund Share Class Exchange
CNA ^{B B}	Conversion Adjustment
CNV ^{B B}	Conversion Receive
CVT ^{B B}	Security Converted
CXT ^{B B}	Class Exchange
DPST ^B	Deposit
DVR ^{B B}	Dividend Reinvestment
DWR ^{B B}	Received from Transfer Agent via DWAC
FBUY ^B	Foreign Currency Buy used for Internal Reporting Purposes only
HAF ^{B B}	Mutual Fund Delivered to Fund
LPA ^{B B}	Limited Partnership Receive Adjustment
LPS ^{B B}	Private Purchase
LRD ^{B B}	Beneficiary Transfer
MATS ^B	Short Maturity
MEFG ^B	Merger Adjustment
MEFGS	Merger Adjustment for short position
MEFS ^B	Merger for short position
MET ^{B B}	Merger
MTT ^{B B}	Taxable Merger
NCFS ^B	Name Change for Short Position
NCT ^{B B}	Name Change
OSD ^{B B}	Taxable Stock Dividend
RAT ^{B B}	Retirement Account Transfer – Receive
RSSF	Reverse Stock Split for Short Position
RSST ^B	Reverse Stock Split
SDPCD	Initial Deposit
SKA ^{B B}	Safekeeping Adjustment
SON ^{B B}	Non-Taxable Spinoff
SOT ^{B B}	Taxable Spinoff
SOTGS	Taxable Spinoff for Short Position

PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
SOW B B	Security Received into Your Account
T/D B B	Trade Date Balance Position Adjustment
TND B B	Security Tendered
TOA B B	Your Asset Transferred
TRFI B	Wash Sale Adjusted Tax Lot
XOPTS	Short Option Expiration
ZMECS	Cash Merger for Short Position