

# PERSHING STANDARD FILE LAYOUTS

## APPENDIX Z: MUTUAL FUND PROSPECTUS FULFILLMENT STATUS CODES

USED IN THE FOLLOWING STANDARD FILE: MFPP

STATUS CODE	DESCRIPTION
01	Pending information
02	Waiting material
03	Suppressed; duplicate trade *
04	Closed *
05	Mailed *
06	Other status
07	Purged *
08	Combined mail *
09	E-mailed prospectus *
10	E-mail did not work; paper prospectus sent *
11	E-mail failed; waiting
12	Email failed, no paper sent
16	Client providing
17	Undeliverable
18	Duplicate mail/closed *
19	Catalog suppression *
AR	Assistance required
BU, X0, X1	Book updating
CA	Client application closed *
CF	Closed end fund
CM, CR	Commercial paper
DD	Old dated date
IC	Invalid CUSIP
ND	Full description needed
NO	No statement
NU	Need underwriter
PP	Private placement
WS	Waiting addendum
IA	Issuer assistance
<b>EE</b>	Information not provided **

\* Asterisked Status Codes represent closed items and will be dropped from subsequent files.

\*\* Status data is provided by Broadridge and populated when available.