

# PERSHING STANDARD FILE LAYOUTS

## APPENDIX Q: GEOGRAPHICAL CODES, ACCOUNT HOLDER ROLES, REGISTRATION TYPES and FATCA CODES

This appendix contains the following information:

- Country Codes (sorted by ISO Country Code) (pages 2-8)
- Country Codes (sorted by Country Name) (pages 9-15)
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# PERSHING STANDARD FILE LAYOUTS

## COUNTRY CODES (Sorted by ISO Country Code)

ALPHA ISO CODES USED IN THE FOLLOWING STANDARD FILES: ACCT/ACCF, FATC and ISCA

NUMERIC CODES USED IN THE FOLLOWING STANDARD FILES: GTDE/GSDE, GTOE, CAPS/CAPT, NADD/NCHG/NAFL (information moved from Appendix G)

### **Please note: ISO Code Adherence for Countries**

All fields containing country codes will now adhere to the International Organization for Standardization (ISO) codes to ensure the delivery of consistent and accurate records. As a result of these changes, some countries (and associated country codes) are discontinued and new countries (and associated country codes) have been added.

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
AD	Andorra	AD	360
AE	United Arab Emirates (the)	AE	920
AF	Afghanistan	AF	151
AG	Antigua and Barbuda	AG	931
AI	Anguilla	AI	929
AL	Albania	AL	152
AM	Armenia	AM	345
AO	Angola	AO	154
AQ	Antarctica	AQ	940
AR	Argentina	AR	175
AS	American Samoa	AS	081
AT	Austria	AT	205
AU	Australia	AU	200
AW	Aruba	AW	269
AX	Åland Islands		949
AZ	Azerbaijan	AZ	365
BA	Bosnia and Herzegovina	BA	405
BB	Barbados	BB	932
BD	Bangladesh	BD	155
BE	Belgium	BE	225
BF	Burkina Faso	BF	381
BG	Bulgaria	BG	161
BH	Bahrain	BH	210
BI	Burundi	BI	163
BJ	Benin	BJ	157
BL	Saint Barthélemy	BL	941
BM	Bermuda	BM	250
BN	Brunei Darussalam	BN	160
BO	Bolivia (Plurinational State of)	BO	280

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
BQ	Bonaire, Sint Eustatius & Saba		950
BR	Brazil	BR	725
BS	Bahamas (the)	BS	700
BT	Bhutan	BT	158
BV	Bouvet Island	BV	303
BW	Botswana	BW	159
BY	Belarus	BY	395
BZ	Belize	BZ	156
CA	Canada	CA	101
CC	Cocos (Keeling) Islands (the)	CC	536
CD	Congo, Dem. Republic of the	CD	263
CF	Central African Republic (the)	CF	166
CG	Congo (the)	CG	170
CH	Switzerland	CH	625
CI	Ivory Coast (Côte d'Ivoire)	CI	197
CK	Cook Islands (the)	CK	171
CL	Chile	CL	275
CM	Cameroon	CM	164
CN	China	CN	300
CO	Colombia	CO	310
CR	Costa Rica	CR	745
CU	Cuba	CU	172
CV	Cabo Verde	CV	165
CW	Curaçao (CW - New; XC - Discontinued)	XC	942
CX	Christmas Island	CX	532
CY	Cyprus	CY	173
CZ	Czech Republic (the)	CZ	174
DE	Germany	DE	375
DJ	Djibouti	DJ	176
DK	Denmark	DK	905
DM	Dominica	DM	933
DO	Dominican Republic (the)	DO	177
DZ	Algeria	DZ	153
EC	Ecuador	EC	750
EE	Estonia	EE	276
EG	Egypt	EG	320
EH	Western Sahara	EH	297
ER	Eritrea	ER	301
ES	Spain	ES	600
ET	Ethiopia	ET	179

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
FI	Finland	FI	330
FJ	Fiji	FJ	182
FK	Falkland Islands (the)[Malvinas]	FK	181
FM	Micronesia (Federated States of)	FM	085
FO	Faroe Islands (the)	FO	180
FR	France	FR	350
GA	Gabon	GA	185
GB	United Kingdom of Great Britain and Northern Ireland (the)	GB	780
GD	Grenada	GD	934
GE	Georgia	GE	565
GF	French Guiana	GF	183
GG	Guernsey	GG	420
GH	Ghana	GH	380
GI	Gibraltar	GI	187
GL	Greenland	GL	188
GM	Gambia (the)	GM	186
GN	Guinea	GN	190
GP	Guadeloupe	GP	189
GQ	Equatorial Guinea	GQ	178
GR	Greece	GR	400
GS	South Georgia and the South Sandwich Islands	GS	302
GT	Guatemala	GT	410
GU	Guam	GU	510
GW	Guinea-Bissau	GW	191
GY	Guyana [Cooperative Republic]	GY	192
HK	Hong Kong	HK	415
HM	Heard Island and McDonald Islands	HM	943
HN	Honduras	HN	412
HT	Haiti	HT	193
HU	Hungary	HU	194
ID	Indonesia	ID	690
IE	Ireland	IE	455
IL	Israel	IL	440
IM	Isle of Man	IM	470
IN	India	IN	615
IO	British Indian Ocean Territory (the)	IO	304
IQ	Iraq	IQ	196
IR	Iran (Islamic Republic of)	IR	445
IS	Iceland	IS	195

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
IT	Italy	IT	450
JE	Jersey	JE	645
JM	Jamaica	JM	465
JO	Jordan	JO	198
JP	Japan	JP	475
KE	Kenya	KE	199
KG	Kyrgyzstan	KG	705
KH	Cambodia	KH	273
KI	Kiribati	KI	542
KM	Comoros (the)	KM	169
KN	St. Kitts and Nevis	KN	936
KP	Korea, (the Democratic People's Republic of)	KP	731
KR	Korea (the Republic of)	KR	730
KW	Kuwait	KW	610
KY	Cayman Islands (the)	KY	930
KZ	Kazakhstan	KA	665
LA	Lao People's Democratic Republic (the)	LA	201
LB	Lebanon	LB	775
LC	St. Lucia	LC	937
LI	Liechtenstein	LI	483
LK	Sri Lanka	LK	243
LR	Liberia	LR	203
LS	Lesotho	LS	202
LT	Lithuania	LT	281
LU	Luxembourg	LU	485
LV	Latvia	LV	279
LY	Libya	LY	204
MA	Morocco	MA	216
MC	Monaco	MC	520
MD	Moldova (the Republic of)	MD	740
ME	Montenegro	ME	765
MF	Saint Martin (French part)	MF	928
MG	Madagascar	MG	207
MH	Marshall Islands (the)	MH	087
MK	Macedonia (the former Yugoslav republic of)	MK	710
ML	Mali	ML	211
MM	Myanmar	MM	162
MN	Mongolia	MN	215
MO	Macao	MO	206
MP	Northern Mariana Islands (the)	MP	088

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
MQ	Martinique	MQ	213
MR	Mauritania	MR	214
MS	Montserrat	MS	935
MT	Malta	MT	212
MU	Mauritius	MU	282
MV	Maldives	MV	209
MW	Malawi	MW	208
MX	Mexico	MX	500
MY	Malaysia	MY	875
MZ	Mozambique	MZ	217
NA	Namibia	NA	218
NC	New Caledonia	NC	221
NE	Niger	NE	223
NF	Norfolk Island	NF	790
NG	Nigeria	NG	695
NI	Nicaragua	NI	222
NL	Netherlands (the)	NL	525
NO	Norway	NO	900
NP	Nepal	NP	220
NR	Nauru	NR	219
NU	Niue	NU	224
NZ	New Zealand	NZ	910
OM	Oman	OM	226
PA	Panama	PA	540
PE	Peru	PE	760
PF	French Polynesia	PF	184
PG	Papua New Guinea	PG	228
PH	Philippines (the)	PH	530
PK	Pakistan	PK	620
PL	Poland	PL	231
PM	Saint Pierre and Miquelon	PM	235
PN	Pitcairn Island	PN	230
PR	Puerto Rico	PR	080
PS	Palestine, State of	PS	944
PT	Portugal	PT	590
PW	Palau	PW	541
PY	Paraguay	PY	229
QA	Qatar	QA	560
RE	Réunion	RE	482
RO	Romania	RO	232

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
RS	Serbia	RS	820
RU	Russian Federation (the)	RU	292
RW	Rwanda	RW	233
SA	Saudi Arabia	SA	480
SB	Solomon Islands	SB	241
SC	Seychelles	SC	239
SD	Sudan (the)	SD	244
SE	Sweden	SE	850
SG	Singapore	SG	655
SH	St. Helena, Ascension and Tristan de Cunha	SH	234
SI	Slovenia	SI	830
SJ	Svalbard and Jan Mayen	SJ	407
SK	Slovakia	SK	265
SL	Sierra Leone	SL	240
SM	San Marino	SM	236
SN	Senegal	SN	238
SO	Somalia	SO	242
SR	Suriname	SR	245
SS	South Sudan		951
ST	Sao Tome and Principe	ST	237
SV	El Salvador	SV	811
SX	Sint Maarten (Dutch part)	SX	945
SY	Syrian Arab Republic	SY	247
SZ	Swaziland	SZ	246
TC	Turks and Caicos Islands (the)	TC	254
TD	Chad	TD	167
TF	French Southern Territories (the)	TF	946
TG	Togo	TG	249
TH	Thailand	TH	640
TJ	Tajikistan	TJ	845
TK	Tokelau	TK	251
TL	Timor-Leste	TL	274
TM	Turkmenistan	TM	870
TN	Tunisia	TN	253
TO	Tonga	TO	252
TR	Turkey	TR	630
TT	Trinidad and Tobago	TT	939
TV	Tuvalu	TV	533
TW	Taiwan (Province of China)	TW	305
TZ	Tanzania, United Republic of	TZ	248

# PERSHING STANDARD FILE LAYOUTS

ISO CODE-CURRENT	COUNTRY	PRIOR CODE	NUMERIC CODE
UA	Ukraine	UA	885
UG	Uganda	UG	255
UM	U.S. Minor Outlying Islands (the)	UM	947
US	United States of America (the)	US	052
UY	Uruguay	UY	770
UZ	Uzbekistan	UZ	890
VA	Holy See (the)	VA	257
VC	Saint Vincent and the Grenadines	VC	938
VE	Venezuela (Bolivarian Republic of)	VE	650
VG	Virgin Islands (British)	VG	825
VI	Virgin Islands (U.S.)	VI	826
VN	Viet Nam	VN	258
VU	Vanuatu	VU	534
WF	Wallis and Futuna	WF	948
WS	Samoa	WS	259
YE	Yemen	YE	261
YT	Mayotte	YT	094
ZA	South Africa	ZA	550
ZM	Zambia	ZM	264
ZW	Zimbabwe	ZW	685



# PERSHING STANDARD FILE LAYOUTS

## COUNTRY CODES (Sorted by Country Name)

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Afghanistan	AF	AF	151
Åland Islands	AX		949
Albania	AL	AL	152
Algeria	DZ	DZ	153
American Samoa	AS	AS	081
Andorra	AD	AD	360
Angola	AO	AO	154
Anguilla	AI	AI	929
Antarctica	AQ	AQ	940
Antigua and Barbuda	AG	AG	931
Argentina	AR	AR	175
Armenia	AM	AM	345
Aruba	AW	AW	269
Australia	AU	AU	200
Austria	AT	AT	205
Azerbaijan	AZ	AZ	365
Bahamas (the)	BS	BS	700
Bahrain	BH	BH	210
Bangladesh	BD	BD	155
Barbados	BB	BB	932
Belarus	BY	BY	395
Belgium	BE	BE	225
Belize	BZ	BZ	156
Benin	BJ	BJ	157
Bermuda	BM	BM	250
Bhutan	BT	BT	158
Bolivia (Plurinational State of)	BO	BO	280
Bonaire, Sint Eustatius & Saba	BQ		950
Bosnia and Herzegovina	BA	BA	405
Botswana	BW	BW	159
Bouvet Island	BV	BV	303
Brazil	BR	BR	725
British Indian Ocean Territory (the)	IO	IO	304
Brunei Darussalam	BN	BN	160
Bulgaria	BG	BG	161
Burkina Faso	BF	BF	381
Burundi	BI	BI	163

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Cabo Verde	CV	CV	165
Cambodia	KH	KH	273
Cameroon	CM	CM	164
Canada	CA	CA	101
Cayman Islands (the)	KY	KY	930
Central African Republic (the)	CF	CF	166
Chad	TD	TD	167
Chile	CL	CL	275
China	CN	CN	300
Christmas Island	CX	CX	532
Cocos (Keeling) Islands (the)	CC	CC	536
Colombia	CO	CO	310
Comoros (the)	KM	KM	169
Congo (the)	CG	CG	170
Congo, Dem. Republic of the	CD	CD	263
Cook Islands (the)	CK	CK	171
Costa Rica	CR	CR	745
Cuba	CU	CU	172
Curaçao (CW - New; XC - Discontinued)	CW	XC	942
Cyprus	CY	CY	173
Czech Republic (the)	CZ	CZ	174
Denmark	DK	DK	905
Djibouti	DJ	DJ	176
Dominica	DM	DM	933
Dominican Republic (the)	DO	DO	177
Ecuador	EC	EC	750
Egypt	EG	EG	320
El Salvador	SV	SV	811
Equatorial Guinea	GQ	GQ	178
Eritrea	ER	ER	301
Estonia	EE	EE	276
Ethiopia	ET	ET	179
Falkland Islands (the)[Malvinas]	FK	FK	181
Faroe Islands (the)	FO	FO	180
Fiji	FJ	FJ	182
Finland	FI	FI	330
France	FR	FR	350
French Guiana	GF	GF	183
French Polynesia	PF	PF	184
French Southern Territories (the)	TF	TF	946

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Gabon	GA	GA	185
Gambia (the)	GM	GM	186
Georgia	GE	GE	565
Germany	DE	DE	375
Ghana	GH	GH	380
Gibraltar	GI	GI	187
Greece	GR	GR	400
Greenland	GL	GL	188
Grenada	GD	GD	934
Guadeloupe	GP	GP	189
Guam	GU	GU	510
Guatemala	GT	GT	410
Guernsey	GG	GG	420
Guinea	GN	GN	190
Guinea-Bissau	GW	GW	191
Guyana [Cooperative Republic]	GY	GY	192
Haiti	HT	HT	193
Heard Island and McDonald Islands	HM	HM	943
Holy See (the)	VA	VA	257
Honduras	HN	HN	412
Hong Kong	HK	HK	415
Hungary	HU	HU	194
Iceland	IS	IS	195
India	IN	IN	615
Indonesia	ID	ID	690
Iran (Islamic Republic of)	IR	IR	445
Iraq	IQ	IQ	196
Ireland	IE	IE	455
Isle of Man	IM	IM	470
Israel	IL	IL	440
Italy	IT	IT	450
Ivory Coast (Côte d'Ivoire)	CI	CI	197
Jamaica	JM	JM	465
Japan	JP	JP	475
Jersey	JE	JE	645
Jordan	JO	JO	198
Kazakhstan	KZ	KA	665
Kenya	KE	KE	199
Kiribati	KI	KI	542
Korea (the Republic of)	KR	KR	730

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Korea, (the Democratic People's Republic of)	KP	KP	731
Kuwait	KW	KW	610
Kyrgyzstan	KG	KG	705
Lao People's Democratic Republic (the)	LA	LA	201
Latvia	LV	LV	279
Lebanon	LB	LB	775
Lesotho	LS	LS	202
Liberia	LR	LR	203
Libya	LY	LY	204
Liechtenstein	LI	LI	483
Lithuania	LT	LT	281
Luxembourg	LU	LU	485
Macao	MO	MO	206
Macedonia (the former Yugoslav republic of)	MK	MK	710
Madagascar	MG	MG	207
Malawi	MW	MW	208
Malaysia	MY	MY	875
Maldives	MV	MV	209
Mali	ML	ML	211
Malta	MT	MT	212
Marshall Islands (the)	MH	MH	087
Martinique	MQ	MQ	213
Mauritania	MR	MR	214
Mauritius	MU	MU	282
Mayotte	YT	YT	094
Mexico	MX	MX	500
Micronesia (Federated States of)	FM	FM	085
Moldova (the Republic of)	MD	MD	740
Monaco	MC	MC	520
Mongolia	MN	MN	215
Montenegro	ME	ME	765
Montserrat	MS	MS	935
Morocco	MA	MA	216
Mozambique	MZ	MZ	217
Myanmar	MM	MM	162
Namibia	NA	NA	218
Nauru	NR	NR	219
Nepal	NP	NP	220
Netherlands (the)	NL	NL	525
New Caledonia	NC	NC	221

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
New Zealand	NZ	NZ	910
Nicaragua	NI	NI	222
Niger	NE	NE	223
Nigeria	NG	NG	695
Niue	NU	NU	224
Norfolk Island	NF	NF	790
Northern Mariana Islands (the)	MP	MP	088
Norway	NO	NO	900
Oman	OM	OM	226
Pakistan	PK	PK	620
Palau	PW	PW	541
Palestine, State of	PS	PS	944
Panama	PA	PA	540
Papua New Guinea	PG	PG	228
Paraguay	PY	PY	229
Peru	PE	PE	760
Philippines (the)	PH	PH	530
Pitcairn Island	PN	PN	230
Poland	PL	PL	231
Portugal	PT	PT	590
Puerto Rico	PR	PR	080
Qatar	QA	QA	560
Réunion	RE	RE	482
Romania	RO	RO	232
Russian Federation (the)	RU	RU	292
Rwanda	RW	RW	233
Saint Barthélemy	BL	BL	941
Saint Martin (French part)	MF	MF	928
Saint Pierre and Miquelon	PM	PM	235
Saint Vincent and the Grenadines	VC	VC	938
Samoa	WS	WS	259
San Marino	SM	SM	236
Sao Tome and Principe	ST	ST	237
Saudi Arabia	SA	SA	480
Senegal	SN	SN	238
Serbia	RS	RS	820
Seychelles	SC	SC	239
Sierra Leone	SL	SL	240
Singapore	SG	SG	655
Sint Maarten (Dutch part)	SX	SX	945

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Slovakia	SK	SK	265
Slovenia	SI	SI	830
Solomon Islands	SB	SB	241
Somalia	SO	SO	242
South Africa	ZA	ZA	550
South Georgia and the South Sandwich Islands	GS	GS	302
South Sudan	SS		951
Spain	ES	ES	600
Sri Lanka	LK	LK	243
St. Helena, Ascension and Tristan de Cunha	SH	SH	234
St. Kitts and Nevis	KN	KN	936
St. Lucia	LC	LC	937
Sudan (the)	SD	SD	244
Suriname	SR	SR	245
Svalbard and Jan Mayen	SJ	SJ	407
Swaziland	SZ	SZ	246
Sweden	SE	SE	850
Switzerland	CH	CH	625
Syrian Arab Republic	SY	SY	247
Taiwan (Province of China)	TW	TW	305
Tajikistan	TJ	TJ	845
Tanzania, United Republic of	TZ	TZ	248
Thailand	TH	TH	640
Timor-Leste	TL	TL	274
Togo	TG	TG	249
Tokelau	TK	TK	251
Tonga	TO	TO	252
Trinidad and Tobago	TT	TT	939
Tunisia	TN	TN	253
Turkey	TR	TR	630
Turkmenistan	TM	TM	870
Turks and Caicos Islands (the)	TC	TC	254
Tuvalu	TV	TV	533
U.S. Minor Outlying Islands (the)	UM	UM	947
Uganda	UG	UG	255
Ukraine	UA	UA	885
United Arab Emirates (the)	AE	AE	920
United Kingdom of Great Britain and Northern Ireland (the)	GB	GB	780
United States of America (the)	US	US	052

# PERSHING STANDARD FILE LAYOUTS

COUNTRY	ISO CODE-CURRENT	PRIOR CODE	NUMERIC CODE
Uruguay	UY	UY	770
Uzbekistan	UZ	UZ	890
Vanuatu	VU	VU	534
Venezuela (Bolivarian Republic of)	VE	VE	650
Viet Nam	VN	VN	258
Virgin Islands (British)	VG	VG	825
Virgin Islands (U.S.)	VI	VI	826
Wallis and Futuna	WF	WF	948
Western Sahara	EH	EH	297
Yemen	YE	YE	261
Zambia	ZM	ZM	264
Zimbabwe	ZW	ZW	685

# PERSHING STANDARD FILE LAYOUTS

## DISCONTINUED COUNTRY CODES (sorted by Country Name)

The following Country Codes have been Discontinued		
COUNTRY	CODES	
African Development Bank	ZD	267
African Regional Org	AX	268
Ashmore and Cartier Islands	AH	298
Baker Island	FQ	082
Bassas da India	DI	299
British Oceania	OB	271
British West Africa	WB	272
British West Indies	AB	628
Channel Islands	CJ	168
Clipperton Island	IP	535
Coral Sea Island Territory	XR	537
Croatia	HR	515
Curaçao	XC	315
Default Country	XX	
East Timor	TP	
England	EN	325
German Democratic Republic	DD	
Gilbert Ellice Islands	GZ	277
Guernsey	XG	420
Howland Island	HQ	092
Jan Mayen	JN	538
Johnston Atoll	JQ	083
Juan De Nova Island	JU	539
Kingman Reef	KQ	084
Midway Islands	QM	086
Miquelon	MI	283
Montenegro	CS	
Navassa Island	BQ	093
Netherlands Antilles	AN	680
New Guinea	NN	284
New Hebrides	NH	285
Northern Ireland	NK	925
Other Africa	OF	287
Other Asia	OA	286
Other Countries	OC	999
Other Europe	OE	288



# PERSHING STANDARD FILE LAYOUTS

COUNTRY	CODES	
Other Latin America and Caribbean	OZ	227
Palmyra Atoll	LQ	089
Panama Canal Zone	PZ	
Paracel Island	PI	296
People's Democratic Republic, Yemen	YM	481
Principe	PP	289
San Salvador	EL	810
Scotland	XK	575
Slovak Socialist Republic	LO	406
South Africa	ZS	580
Southwest Africa (Namibia)	NB	290
Spanish Sahara	SS	
Tromelin Island	TE	531
Trust Territory Pacific Islands	TS	090
United Kingdom (Pension Plan)	UK	781
Universal Postal Union	UO	293
Upper Volta	UV	256
Wake Island	WR	091
Wales	WL	835
Yugoslavia	YU	262

# PERSHING STANDARD FILE LAYOUTS

## 1BCANADIAN PROVINCE CODES (sorted by Province Code)

CODE	PROVINCE
AB	Alberta
BC	British Columbia
MB	Manitoba
NB	New Brunswick
NF	Newfoundland

CODE	PROVINCE
NS	Nova Scotia
NT	Northwest Territories
NU	Nunavut
ON	Ontario

CODE	PROVINCE
PE	Prince Edward Island
QC	Quebec
SK	Saskatchewan
YT	Yukon Territories

## UNITED STATES CODES (sorted by Alpha State Code)

Alpha Code	STATE	Numeric Code
AK	Alaska	002
AL	Alabama	001
AR	Arkansas	003
AZ	Arizona	004
CA	California	005
CO	Colorado	006
CT	Connecticut	007
DE	Delaware	008
FL	Florida	009
GA	Georgia	010
HI	Hawaii	011
IA	Iowa	015
ID	Idaho	012
IL	Illinois	013
IN	Indiana	014
KS	Kansas	016
KY	Kentucky	017
LA	Louisiana	018
MA	Massachusetts	020
MD	Maryland	024
ME	Maine	019
MI	Michigan	021
MN	Minnesota	022
MO	Missouri	025
MS	Mississippi	023
MT	Montana	026
NC	North Carolina	027
ND	North Dakota	028
NE	Nebraska	029
NV	Nevada	030

Alpha Code	STATE	Numeric Code
NH	New Hampshire	031
NJ	New Jersey	032
NM	New Mexico	033
NY	New York	034
OH	Ohio	035
OK	Oklahoma	036
OR	Oregon	037
PA	Pennsylvania	038
RI	Rhode Island	039
SC	South Carolina	040
SD	South Dakota	041
TN	Tennessee	042
TX	Texas	043
UT	Utah	044
VA	Virginia	045
VT	Vermont	046
WA	Washington	047
WI	Wisconsin	048
WV	West Virginia	049
WY	Wyoming	050
DISTRICTS and TERRITORIES		
DC	District of Columbia	051
PR	Puerto Rico	080
GU	Guam	
VI	Virgin Islands, US	826
MILITARY ADDRESS CODES		
AA	Armed Forces Americas except Canada	
AE	Armed Forces Europe, Canada, Africa, Middle East	
AP	Armed Forces Pacific	

# PERSHING STANDARD FILE LAYOUTS

## 4BACCOUNT HOLDER/PARTICIPANT ROLES

The following codes signify Account Holder/Participant Roles for the Account Holder/Participant Role fields in Records G, H, X, M & 7, Account Holder/Participant Information.

CODE	DESCRIPTION
ACNT	Accountant
ADMN	Administrator
AGNT	Agent
ASGN	Authorized Signatory
ATNY	Attorney
AUTH	Authorized Party
BANK	Bank
BENF	Beneficiary
BEOW	Beneficial Owner
BIND	Beneficiary Individual
BORW	Borrower
BRPT	Books & Records Participant
CHRT	Charity
CINS	Captive Insurance
CLUB	Investment Club
CONS	Conservator
CORP	Corporation
CPER	Controlling Person
CUST	Custodian
DECD	Decedent (Deceased)
DPTR	Depositor
DRTR	Director
EBSY	Embassy
EST <sup>B</sup>	Estate Name
EXCH	Exchange House
EXEC	Executor
EXMP	Exempt Organization Name
EXRX	Executrix
FBEN	Foreign Beneficial Owner
FEFU	Feeder Fund
FINL	Financial Institution Name
FODO	Founder/Donor
FUAD	Fund Administrator
FUSP	Fund Sponsor
GAME	Casino/Game Name
GOIC	Government or Int'l Corporation

CODE	DESCRIPTION
GOVT	Government Entity/Agency Name
GPMM	General Partner/Managing Member
GRDN	Guardian
GRNT	Grantor
GRTR	Guarantor
HEDG	Hedge Fund Name
IBEN	Identifiable Beneficiary
IENT	Individual or Entity
IMGR	Investment Manager
IN3P	Income Third Party
INBD	Introducing Broker
INDV	Account Holder Name
INSC	Insurance Company
IPTY	Interested Party
JNTO	Joint Owner
KUSB	KUST Owner
LHLD	Lien Holder
LLCP	Limited Liability Corporation Name
LPAR	Limited Partner
MFCO	Mutual Fund Company
MINR	Minor
MMBR	Member
MNGR	Manager
MNSB	Money Service Business
MNTR	Money Transmitter/Remitter
NAME	Account Holder Name
NPRO	Non-Profit Organization Name
OFCR	Officer
OMLT	OMGEO Large Trader
OPER	Operating Company
PAIN	Private Arrangement Intermediary
PART	Partnership Name
PATN	Power of Attorney
PFND	Pooled Fund Entity
PHCO	Personal Holder Company
PHLD	Primary Account Holder
PLAD	Plan Administrator

# PERSHING STANDARD FILE LAYOUTS

CODE	DESCRIPTION
PLAN	Plan Name
PR3P	Principal Third Party
PREP	Personal Representative
PRM <sup>1</sup>	Primary Account Holder
PROF	Provider of Funds
PROT	Protector
PTNR	Partner
PTNW	Partnership other than Withholding Foreign Partnership
PTWH	Withholding Foreign Partnership
PVTF	Private Foundation
QINT	Qualified Intermediary
QIWP	Qualified Intermediary WH Pool
RGEN	Regarded Entity
RIND	Responsible Individual
SADM	Special Administrator
SCSR	Successor
SCTE	Successor Trustee
SEC <sup>1</sup>	Secondary Account Holder Name
SHLR	Shareholder/Beneficial Owner
SMLC	Single Member LLC
SOLE	Proprietorship Name
SOPR	Sole Proprietorship, Individual
SPSE	Spouse
SPSR	Sponsor
SPVE	Special Purpose Vehicle
STLR	Settlor
SUSO	Substantial US Owner (NFFE)
T501	Tax-Exempt Org. (IRC Sec. 501(A))
TADM	Temporary Administrator
TCON	Trusted Contact
TPRO	Trust Protector
TRST	Trust Name
TSTE	Trustee
UINV	Underlying Investor
UNKR	Unknown Recipient
UNWR	Underwriter
USBP	US Branch Treated as US Person
WARD	Ward Name

# PERSHING STANDARD FILE LAYOUTS

## REGISTRATION TYPES

Registration type codes are used in Account Services only. Each Account Type has specific acceptable values as shown in the following table.

REGISTRATION TYPES	DESCRIPTION
529B	529 Plan (US Series E/Series I Transferred in)
529C	529 Plan (UGMA/UTMA Transferred into 529 Plan)
529I	529 Plan (IRA Transfer)
529J	529 Plan (Joint Owner)
529N	529 Plan (529 Plan Transferred into new 529 Plan)
529P	529 Plan (Individual)
529T	529 Plan (Trust)
AGNT	Agent
BANK	Bank
BKCL	Bank Collateral Account
CCAC	Custody Customer Corporation
CCAI	Custody Customer Individual
CCAJ	Custody Customer Joint
CCAT	Custody Customer Trust
CINS	Captive Insurance
CLUB	Investment Club
COD	Receive/Deliver vs. Payment
CONS	Conservatorship
CORN	Non-Corporate Account
CORP	Corporation
CPPS	Corporate Pension and Profit Sharing Plan
CRUN	Credit Union
CUST	Custodian
DCOR	Discretionary Corporation
DDVP	Discretionary DVP
DISC	Discretionary Custodian
DISF	Discretionary Foundation
DISI	Discretionary Individual
DISJ	Discretionary Joint
DISP	Discretionary Partnership

# PERSHING STANDARD FILE LAYOUTS

REGISTRATION TYPES	DESCRIPTION
DIST	Discretionary Trust
DLJC	Pershing LLC Retirement Account Simple
DLJI	Pershing LLC Retirement Account
DLJP	Pershing LLC SEP Prototype or SARSEP
DLJQ	Pershing LLC Qualified Retirement Plan (QRP)
DLJS	Pershing LLC Retirement Account SEP
EBSY	Embassy
EDUC	Educational Organization
ESTT	Estate
EXCH	Exchange House
EXMP	Exempt Organizations
FINL	Financial Institution
GAME	Casino/Gaming
GOVT	Government Entity/Agency
GRDN	Guardian
HEDG	Hedge Fund
HSAC	Health Savings Account *
IACP	Investment Advisor/Corporation
IACS	Investment Advisor/Conservator
IACT	Investment Advisor/Contract
IACU	Investment Advisor/Custodian
IAES	Investment Advisor/Estate
IAGU	Investment Advisor/Guardian
IAGV	Investment Advisor/Government Agency
IAIN	Investment Advisor/Individual
IAJT	Investment Advisor/Joint
IANP	Investment Advisor/Nonprofit Organization
IAPA	Investment Advisor/Partnership
IAPP	Investment Advisor/Corporate Pension/ Profit Sharing
IAPW	Investment Advisor/Power of Attorney
IART	Investment Advisor/Retirement Account
IASP	Investment Advisor/Sole Proprietor
IATI	Investment Advisor/Transfer on Death Individual
IATJ	Investment Advisor/Transfer on Death Joint
IATR	Investment Advisor/Trust

# PERSHING STANDARD FILE LAYOUTS

REGISTRATION TYPES	DESCRIPTION
INBD	Introducing Broker Dealer
INDV	Individual
INSC	Insurance Company
INVA	Investment Advisor/Managed Account
JNTN	Joint
KUST	Customer Profile
LLCP	Limited Liability Corporation
LPAR	Limited Partnership
MFCO	Mutual Fund Company
MISC	Miscellaneous (Default Category)
MNSB	Money Service Business
MNTR	Facilitation Account
N457	Non-Qualified Deferred Compensation Plan
N529	State Sponsored Higher Education Plan
NPLC	Loan Advance Corporation
NPLI	Loan Advance Individual
NPLJ	Loan Advance Joint
NPLP	Loan Advance Partnership
NPLT	Loan Advance Trust
NPRO	Non-Profit Organization
NUBK	Non-US Bank
OCIF	Outside Custodian * IRA/403B
OCQP	Outside Custodian * Qualified Plan
OPER	Operating Company
PART	Partnership
PBIA	Prime Brokerage Investment Advisor
PFND	Pooled Fund
PHCO	Personal Holding Company
PRMC	Prime Brokerage Corporation
PRMI	Prime Brokerage Individual
PRMJ	Prime Brokerage Joint
PRMT	Prime Brokerage Trust
PWRA	Power of Attorney
RELG	Religious Organization
RETC	Self-Directed 401k ** or Third Party Custodian * Simple IRA

# PERSHING STANDARD FILE LAYOUTS

REGISTRATION TYPES	DESCRIPTION
RETE	Self-Directed 401k ** or Third Party Custodian * ERISA Account
RETG	Third Party Custodian * IRA Guardian
RETH	Third Party Custodian 403(B) (7) *
RETI	Self-Directed 401k ** or Third Party Custodian * Retirement Account
RETN	Third Party Custodian * Roth IRA Guardian
RETP	Self-Directed 401k ** or Third Party Custodian * SEP/SAR SEP
REtQ	Self-Directed 401k ** or Third Party Custodian * QRP
RETR	Self-Directed 401k ** or Third Party Custodian * Roth IRA
RETS	Self-Directed 401k ** or Third Party Custodian * SEP
RETV	Third Party Custodian ** Education Savings Account
SCRp	S-Corporation
SMLC	Single Member LLC
SOLE	Sole Proprietorship
SPVE	Special Purpose Vehicle (SPV)
TODI	Transfer on Death Individual
TODJ	Transfer on Death Joint Account
TRST	Trust
UNKN	Unknown

\* This Registration type, plus Account Type of 3 (ACCT/F record A position 43) represents a Third Party Retail account

\*\* This Registration type, plus Account Type of 4 (ACCT/F record A position 43) represents a Self-Directed 401(k) account



# PERSHING STANDARD FILE LAYOUTS

## Exempt Payee Codes

CODE	DEFINITION
01	An Organization Exempt from Tax under Section 501(A, any IRA, or a Custodial Account under Section 403(b)(7), if the account satisfies the requirements of Section 401(f)(2)
02	The US or any of its Agencies or instrumentalities
03	A State, the District of Columbia, a possession of the US or any of their Political Subdivisions or Instrumentalities
04	A Foreign Government or any of its Political Subdivisions or Instrumentalities
05	A Corporation
06	A Dealer in Securities or Commodities required to Register in the US, the District of Columbia, or a Possession of the US
07	A Futures Commission Merchant Registered with the Commodity Futures Trading Commission
08	A Real Estate Investment Trust
09	An Entity Registered at all times during the Tax Year under the Investment Company Act of 1940
10	A Common Trust Fund Operated by a bank under Section 584(a)
11	A Financial Institution
12	A Middleman known in the Investment Community as a Nominee or Custodian
13	A Trust Exempt from Tax Under Section 664 or described in Section 4947
99	Exempt Status from Conversion
<b>BB</b>	Not applicable

## Exempt from FATCA Reporting Codes

CODE	DEFINITION
A	An Organization Exempt from Tax under Section 501(a) or any individual retirement plan as defined in Section 7701(a)(37)
B	The US or any of its Agencies/Instrumentalities
C	A State, the District of Columbia, a Possession of the US, or any of their Political Subdivisions or Instrumentalities
D	A Corporation, the Stock of which is Regularly traded on one or more established Securities Markets, as described in Reg. Section 1.1472(c)(1)(i)
E	A Corporation that is a Member of the same expanded affiliated group as a Corporation described in Reg. Section 1.1472(c)(1)(i)
F	A Dealer in Securities Commodities, or Derivative Financial Instruments (including notional Principal Contracts, Futures, Forwards, and Options) that is Registered as such under the Laws of the US or any State
G	A Real Estate Investment Trust
H	A Regulated Investment Company as defined in Section 851 or an Entity registered at all times during the Tax Year under the Investment Company Act of 1940
I	A Common Trust Fund as defined in Section 584(a)
J	A Bank as defined in Section 581
K	A Broker
L	A Trust Exempt from Tax under Section 664 or as described in Section 4947(a)(1)
M	A Tax Exempt Trust under a Section 403(b) Plan or Section 457(g) Plan
<b>B</b>	Not applicable

# PERSHING STANDARD FILE LAYOUTS

## Tax Filing Codes

CODE	DEFINITION
NR01	1099 premium maximum detail
NR02	1099 basic less detail
NR03	1041 Trust
NR04	5227 split interest trust
NR05	1042-S non-resident alien, retail
NR06	480.6 Puerto Rico
NR07	Default Reporting
NR08	1099 not filed with IRS
NR09	990 public foundation
NR10	990 private foundation
RT01	1099R/5498 IRAS
RT02	1042-S non-resident alien, retirement
<b>BBBB</b>	Unknown or not applicable