

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT FOR:

Intraday-GLOBAL CUSTOMER POSITION

GENERAL INFORMATION

File Frequency: Daily
Record Size: 750 characters
Form Name: GCUS (Intraday)

DESCRIPTION

The Intraday Global Customer Position file (GCUS) is created after the close of business each day. The file reflects account positions within your office range on an update and refresh basis. Records can be passed to your firm on an update or refresh basis and include security descriptions.

This file is replacing the original CUST file, which was created in 1991, and has some significant data enhancements. The three most important ones are:

- Foreign currency is also displayed on this file as a position and identified with a Currency/Security Position Indicator of C.
- Foreign currency is assigned a user CUSIP® beginning with the currency code (such as GBR999997 for British pounds).
- US currency is also displayed on this file as a position with a user CUSIP of USD999997.

US dollar currency amounts and balances will continue to be displayed on the Global Moneyline (GMON) file.

Note: This file contains information on Security positions only. Money Fund positions are shown separately on our FUND file and Annuity holdings are shown separately on our ASPS file.

Intraday messages are sent between 5:30 A.M. and 8:30 P.M. Monday through Friday. Intraday messages are sent from 5:30 A.M. to 5:30 P.M. on Saturday. Messages are not sent on Sunday.

PERSHING STANDARD FILE LAYOUTS

FILE LAYOUT SPECIFICATIONS

HEADER RECORD

POSITION	PICTURE	TYPE	DESCRIPTION
001-004	X(04)	AN	FORM ID
005-007	X(03)	AN	INTRODUCING BROKER DEALER (IBD) NUMBER
008-010	X(03)	AN	DESTINATION ID
011-018	X(08)	AN	DATE OF DATA = "CCYYMMDD"
019-024	X(06)	AN	TIME = "HHMMSS"
025-030	X(06)	AN	SUB-SECONDS
031-034	X(04)	AN	Not Used - LITERAL "0001"
035-069	X(35)	AN	Not Used
070-077	X(08)	AN	DATAMART TRANSACTION ID
078-085	X(08)	AN	Not Used
086-093	X(08)	AN	SOURCE PROGRAM OR TRANSACTION
094-167	X(74)	AN	Not Used

DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "GC"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "A"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1); TYPE (1); values for TYPE include: "0" = Cash on Delivery "1" = Cash "2" = Margin "3" = Short "8" = Precious Metals "9" = Interest Adjustment
022-030	X(09)	AN	CUSIP® NUMBER
031-034	X(04)	AN	Not Used
035-043	X(09)	AN	UNDERLYING CUSIP NUMBER
044-047	X(04)	AN	Not Used
048-050	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD NUMBER
051-053	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
054-054	X(01)	AN	CURRENCY/SECURITY POSITION INDICATOR; values include: (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“C” = Currency Position “S” = Security Position
055-057	X(03)	AN	ISSUE CURRENCY; see Appendix N, “Currency Codes”
058-065	9(08)	N	DATE STAMP/TRADE DATE = “CCYYMMDD”; the date the TRADE DATE quantity was last updated
066-073	9(08)	N	DATE STAMP/SETTLEMENT DATE = “CCYYMMDD”; the date the SETTLEMENT DATE quantity was last updated
074-091	9(13)v9(05)	N	TRADE DATE QUANTITY; number of shares traded, but not yet settled
092-092	X(01)	AN	TRADE DATE QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
093-110	9(13)v9(05)	N	SETTLEMENT DATE QUANTITY; the books and records position (for instance, the position shown on your clients’ brokerage statements); it reflects all securities that are received or delivered and all settled trades; it does not include pending trades
111-111	X(01)	AN	SETTLEMENT DATE QUANTITY SIGN: values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
112-129	9(13)v9(05)	N	SEG QUANTITY (MEMO); the securities held in street name
130-130	X(01)	AN	SEG QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
131-148	9(13)v9(05)	N	SAFEKEEPING QUANTITY (MEMO); number of shares registered in the customer’s name
149-149	X(01)	AN	SAFEKEEPING QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
150-167	9(13)v9(05)	N	TRANSFER QUANTITY (MEMO); number of shares in the process of being registered in the customer’s name
168-168	X(01)	AN	TRANSFER QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
			(cont.)
169-186	9(13)v9(05)	N	PENDING TRANSFER QUANTITY; the number of shares currently pending the transfer process
187-187	X(01)	AN	PENDING TRANSFER QUANTITY SIGN; acceptable
			values include: (cont.)

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POSITION	PICTURE	TYPE	DESCRIPTION
			“+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
188-205	9(13)v9(05)	N	LEGAL TRANSFER QUANTITY; the number of shares awaiting clearance at the transfer agent
206-206	X(01)	AN	LEGAL TRANSFER QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
207-224	9(13)v9(05)	N	TENDERED (REORG) QUANTITY (MEMO); number of shares submitted with instructions to participate in a corporate reorganization (e.g., exchange, tender, redemption, etc.)
225-225	X(01)	AN	TENDERED QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
226-243	9(13)v9(05)	N	PENDING PAPERS (MEMO); number of shares pending the receipt of documents to make them negotiable
244-244	X(01)	AN	PENDING PAPERS SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
245-262	9(13)v9(05)	N	SHORT AGAINST THE BOX QUANTITY (MEMO)
263-263	X(01)	AN	SHORT AGAINST THE BOX QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
264-281	9(13)v9(05)	N	Not Available Intraday
282-282	X(01)	AN	Not Available Intraday
283-300	9(13)v9(05)	N	PENDING SPLIT QUANTITY (MEMO); quantity of the security that is subject to a pending stock distribution
301-301	X(01)	AN	PENDING SPLIT QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity (cont.)
			“ B ” = Not Applicable
302-319	9(13)v9(05)	N	QUANTITY COVERING OPTIONS or COVERED QUANTITY
320-320	X(01)	AN	QUANTITY COVERING OPTIONS or COVERED QUANTITY SIGN; values include: “+” = Long Quantity “-” = Short Quantity

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POSITION	PICTURE	TYPE	DESCRIPTION
			“ B ” = Not Applicable
321-338	9(13)v9(05)	N	TRADE DATE QUANTITY BOUGHT
339-339	X(01)	AN	TRADE DATE QUANTITY BOUGHT SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
340-357	9(13)v9(05)	N	TRADE DATE QUANTITY SOLD
358-358	X(01)	AN	TRADE DATE QUANTITY SOLD SIGN; values include: “+” = Long Quantity “-” = Short Quantity “ B ” = Not Applicable
359-376	9(16)v9(02)	N	Not Available Intraday
377-377	X(01)	AN	Not Available Intraday
378-395	9(16)v9(02)	N	Not Available Intraday
396-396	X(01)	AN	Not Available Intraday
397-414	9(16)v9(02)	N	Not Available Intraday
415-415	X(01)	AN	Not Available Intraday:
416-433	9(16)v9(02)	N	Not Available Intraday:
434-434	X(01)	AN	Not Available Intraday:
SELECTED SECURITY INFORMATION			
435-443	X(09)	AN	SECURITY SYMBOL
444-444	X(01)	AN	SECURITY TYPE; see Appendix B, “Security Code Matrix”
445-445	X(01)		SECURITY MOD; see Appendix B, “Security Code Matrix”
446-446	X(01)	AN	SECURITY CALC; see Appendix B, “Security Code Matrix”
447-449	X(03)	AN	MINOR PRODUCT CODE; See Appendix B, “Minor Product Codes”
450-450	X(01)	AN	Not Available Intraday:
451-468	9(09)v9(09)	N	Not Available Intraday:
469-469	X(01)	AN	Not Available Intraday:
470-477	9(08)	N	Not Available Intraday:
478-495	9(13)v9(05)	N	Not Available Intraday:
496-513	9(09)v9(09)	N	Not Available Intraday:
SELECTED CUSTOMER ACCOUNT INFORMATION (for positions 514-529)			
514-523	X(10)	AN	Not Available Intraday
524-526	X(03)	AN	Not Available Intraday
527-529	X(03)	AN	COUNTRY CODE
530-533	X(04)	AN	For Pershing Internal Use (maxxprodline)
534-537	9(04)	N	NUMBER OF DESCRIPTION LINES
538-557	X(20)	AN	DESCRIPTION LINE 1
558-577	X(20)	AN	DESCRIPTION LINE 2
578-597	X(20)	AN	DESCRIPTION LINE 3

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POSITION	PICTURE	TYPE	DESCRIPTION
598-617	X(20)	AN	DESCRIPTION LINE 4
618-637	X(20)	AN	DESCRIPTION LINE 5
638-657	X(20)	AN	DESCRIPTION LINE 6
658-658	X(01)	AN	DIVIDEND OPTION; values include: “C” = Cash “R” = Reinvest “ B ” = Not Applicable
659-659	X(01)	AN	Not Available Intraday
660-660	X(01)	AN	Not Available Intraday
661-661	X(01)	AN	Not Available Intraday
662-664	X(03)	AN	POSITION CURRENCY
665-682	9(15)v9(03)	AN	TRADE DATE LIQUIDATING VALUE
683-683	X(01)	AN	TRADE DATE LIQUIDATING VALUE SIGN; values include: “+” = Long Market Value “-” = Short Market Value “ B ” = Not Applicable
684-693	9(02)v9(08)	AN	POOL FACTOR
694-694	X(01)	AN	POOL FACTOR SIGN; values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
695-712	9(08)v9(10)	AN	EXCHANGE RATE
713-713	X(01)	AN	EXCHANGE RATE SIGN; values include: “+” = Positive Amount “-” = Negative Amount “ B ” = Not Applicable
714-731	9(15)v9(03)	N	SETTLEMENT DATE LIQUIDATING VALUE
732-732	X(01)	AN	SETTLEMENT DATE LIQUIDATING VALUE SIGN; values include: “+” = Long Market Value “-” = Short Market Value “ B ” = Not Applicable
733-735	X(03)	AN	For Internal Pershing Use (Display Currency)
736-736	X(01)	AN	ALTERNATE SECURITY ID TYPE, acceptable value includes: “I” = ISIN
737-748	X(12)	AN	ALTERNATE SECURITY ID
749-749	X(01)	AN	Not Used
750-750	X(01)	AN	END OF RECORD DELIMITER “X”

PERSHING STANDARD FILE LAYOUTS

DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
001-002	X(02)	AN	TRANSACTION CODE = "GC"
003-003	X(01)	AN	RECORD INDICATOR VALUE = "B"
004-011	9(08)	N	RECORD ID SEQUENCE NUMBER BEGINNING WITH "00000001"
012-021	X(10)	AN	ACCOUNT NUMBER INCLUDING OFFICE(3); BASE ACCOUNT NUMBER (5); CHECK DIGIT (1); TYPE (1); (see Record A, 012-021, for values for TYPE)
022-030	X(09)	AN	CUSIP NUMBER
031-034	X(04)	AN	Not Used
035-043	X(09)	AN	UNDERLYING CUSIP NUMBER
044-047	X(04)	AN	Not Used
048-050	X(03)	AN	INVESTMENT PROFESSIONAL OF RECORD NUMBER
051-053	X(03)	AN	INTRODUCING BROKER DEALER NUMBER (IBD)
054-071	9(13)v9(05)	N	FULLY PAID LENDING QUANTITY
072-072	X(01)	AN	FULLY PAID LENDING QUANTITY SIGN; values include: "+" = Long Quantity "- " = Short Quantity
073-090	9(15)v9(03)	N	FULLY PAID LENDING QUANTITY COLLATERAL AMOUNT
091-091	X(01)	AN	FULLY PAID LENDING QUANTITY COLLATERAL AMOUNT SIGN; values include: "+" = Positive Amount "- " = Negative Amount
OCC DATA SET – The following four fields comprise the OCC DATA SET to be used in lieu of the OPRA Symbol. They apply only to Options Products.			
092-097	X(06)	AN	OPTION ROOT ID
098-103	9(06)	N	EXPIRATION DATE, in YYMMDD format
104-104	X(01)	AN	CALL/PUT Indicator, values include: "B" = Bank Pledge (Call) "C" = Call "D" = Bank Pledge (Put) "E" = Escrow Receipt "L" = Letter of Credit (Call) "M" = Letter of Credit (Put) "P" = Put
105-112	9(05)v9(03)	N	STRIKE PRICE
113-130	9(13)V9(05)	N	Not Available Intraday
1131-131	X(01)	AN	Not Available Intraday
132-149	9(13)V9(05)	N	Not Available Intraday

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POSITION	PICTURE	TYPE	DESCRIPTION
150-150	X(01)	AN	Not Available Intraday
151-168	9(13)V9(05)	N	Not Available Intraday
169-169	X(01)	AN	Not Available Intraday
170-187	9(13)V9(05)	N	Not Available Intraday
188-188	X(01)	AN	Not Available Intraday
189-206	9(13)V9(05)	N	Not Available Intraday
207-207	X(01)	AN	Not Available Intraday
208-225	9(13)V9(05)	N	Not Available Intraday
226-226	X(01)	N	Not Available Intraday
227-244	9(15)V9(03)	N	Not Available Intraday
245-245	X(01)	AN	Not Available Intraday
246-263	9(15)V9(03)	N	Not Available Intraday
264-264	X(01)	AN	Not Available Intraday
265-282	9(15)V9(03)	N	Not Available Intraday
283-283	X(01)	AN	Not Available Intraday
284-301	9(15)V9(03)	N	Not Available Intraday
302-302	X(01)	AN	Not Available Intraday
303-320	9(15)V9(03)	N	Not Available Intraday
321-321	X(01)	AN	Not Available Intraday
322-339	9(15)V9(05)	N	Not Available Intraday
340-340	X(01)	AN	Not Available Intraday
341-358	9(15)V9(03)	N	Not Available Intraday
359-359	X(01)	AN	Not Available Intraday
360-377	9(15)V9(03)	N	Not Available Intraday
378-378	X(01)	AN	Not Available Intraday
379-396	9(15)V9(03)	N	Not Available Intraday
397-397	X(01)	AN	Not Available Intraday
398-415	9(15)V9(03)	N	Not Available Intraday
416-416	X(01)	AN	Not Available Intraday
417-434	9(15)V9(03)	N	Not Available Intraday
435-435	X(01)	AN	Not Available Intraday
436-453	9(15)V9(03)	N	Not Available Intraday
454-749	X(296)	AN	Not Used
750-750	X(01)	AN	END OF RECORD DELIMITER "X"