

PERSHING STANDARD FILE LAYOUTS INTRADAY

FILE LAYOUT FOR: PONA SUPPLMENTAL

GENERAL INFORMATION

File Frequency: Intraday
Record Size: 700 characters
Form Name: SUPA/SUPC

DESCRIPTION

Intraday PONA Supplemental Add (SUPA) and Intraday PONA Supplemental Change (SUPC) messages are modeled after the batch SUPA and SUPC files. The SUPA/SUPC messages are generated from Pershing's daily PONA process. The information found in the PONA Supplemental messages are the basis for an extensive client profile. Information is maintained regarding the client's documents (for instance, new account form, W-9, W-8, margin agreement), in addition to information about interested parties, IRA/'SEP/KEOGH, and beneficiary records.

Add messages are new accounts and change messages are accounts where revisions have been made.

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.

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	Not Used
031-034	X(04)	AN	Not Used - LITERAL "0001"
035-082	X(48)	AN	Not Used
083-085	X(03)	AN	RECORD TYPE = "777"
086-167	X(82)	AN	Not Used

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DETAIL RECORD A

POSITION	PICTURE	TYPE	DESCRIPTION
168-169	X(02)	A	RECORD TYPE INDICATOR = "PS"
170-170	X(01)	AN	RECORD SEQUENCE IDENTIFIER= "A"
171-176	9(06)	N	ZEROES
177-185	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE NUMBER (3); BASE ACCOUNT NUMBER (6)
186-188	X(03)	AN	RECORD TYPE = "777"
189-196	X(08)	AN	USER ID OF INDIVIDUAL WHO MADE ENTRY
197-205	X(09)	AN	Not Used
206-207	X(02)	AN	401K PLAN TYPE; see Appendix D, Plan Types
208-217	X(10)	AN	PLAN NUMBER
218-232	X(15)	AN	USER DEFINED INFO 1
233-247	X(15)	AN	USER DEFINED INFO 2
248-262	X(15)	AN	USER DEFINED INFO 3
263-266	X(04)	AN	PRODUCT CODE (user specific)
267-270	X(04)	AN	CUSTOMER TYPE (user specific)
271-274	X(04)	AN	ACCOUNT TYPE (user specific)
275-278	X(04)	AN	PROMOTIONAL TYPE (user specific)
279-280	X(02)	AN	Not Used
281-288	X(08)	AN	DATE = "CCYYMMDD"; on Add will be add date, on Change will be change date, on Full Refresh will be presented date
289-291	X(03)	AN	Pershing Internal Use Only
292-298	X(09)	AN	Not Used
299-299	X(01)	A	Literally "X"; indicates the end of the detail record

DETAIL RECORD B

POSITION	PICTURE	TYPE	DESCRIPTION
300-301	X(02)	A	RECORD TYPE INDICATOR = "PS"
302-302	X(01)	AN	RECORD SEQUENCE IDENTIFIER= "B"
303-308	9(06)	N	ZEROES
309-317	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE (3); BASE ACCOUNT NUMBER (6)
318-320	X(03)	AN	RECORD TYPE = "777"
321-323	X(01)	AN	MANAGED ACCOUNT; acceptable values include: "N" = No (Default Value) "Y" = Yes
322-323	X(02)	AN	MANAGED ACCOUNT TYPE; field is populated if value in the MANAGED ACCOUNT field (Record B, position 321) = "Y", else field will be spaces; acceptable values include: (cont)

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POSITION	PICTURE	TYPE	DESCRIPTION
			"P1" = Peak 1 "P2" = Peak 2 "PP" = Peak Plus "M B " = MAP "C B " = CIMS
324-324	X(01)	AN	FEE BASED; acceptable values include: "N" = No (Default Value) "Y" = Yes
325-326	X(02)	AN	FEE BASED ACCT TYPE: field is populated if value in the FEE BASED field (Record B, Position 324) = "Y", else field will be spaces; acceptable values include: "FC" = Flat Commission "NC" = No Commission
327-346	X(20)	AN	OLD ACCOUNT NUMBER
347-354	X(08)	AN	ORIGINAL OPEN DATE = "CCYYMMDD"
355-355	X(01)	AN	REFERRAL CODE (user defined value)
356-364	X(09)	AN	REFERRAL IDENTIFICATION NUMBER
365-396	X(32)	AN	EDUCATION/IRA CONTRIBUTOR NAME
397-428	X(32)	AN	POWER OF ATTORNEY NAME
429-430	X(02)	AN	Not Used
431-431	X(01)	A	Literally "X"; indicates the end of the detail record

DETAIL RECORD C

POSITION	PICTURE	TYPE	DESCRIPTION
432-433	X(02)	A	RECORD TYPE INDICATOR = "PS"
434-434	X(01)	AN	RECORD SEQUENCE IDENTIFIER= "C"
435-440	9(06)	N	ZEROES
441-449	X(09)	AN	ACCOUNT NUMBER INCLUDING OFFICE NUMBER (3); BASE ACCOUNT NUMBER (6)
450-452	X(03)	AN	RECORD TYPE = "777"
453-461	X(09)	AN	SECOND SOCIAL SECURITY NUMBER for joint account use
462-463	X(02)	AN	EMPLOYEE INDICATOR; acceptable values include: "B B " = Employee of the Broker Dealer "C B " = Corporate Employee "E B " = Brokerage Employee "L B " = Licensed Employee "R B " = Employee Related
464-468	X(05)	AN	INTERNAL PROFIT CENTER NUMBER

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POSITION	PICTURE	TYPE	DESCRIPTION
469-469	X(01)	AN	DISCOUNT INDICATOR (user defined)
470-470	X(01)	AN	NON-DOLLAR ACCOUNT
471-471	X(01)	AN	BLOCK 12B1 FEES
472-473	X(02)	AN	OPT OUT (user defined values)
474-475	X(02)	AN	SOLICITATION (user defined values)
476-535	X(60)	AN	E-MAIL ADDRESS
536-543	X(08)	AN	Not Used
544-562	X(19)	AN	Not Used
563-563	X(01)	A	Literally "X"; indicates the end of the detail record
564-700	X(137)	AN	Not Used