

*Allen Simmer Consulting*  
*Financial Industry Software, Systems & Consulting*

*Developers and Providers of  
Software, Systems and Consulting  
for the  
Financial Services Industry*

*Xlate*<sup>TM</sup>

*A Pershing Interface  
for  
CDS by E-Z Data, Inc.*

# *Xlate*

Xlate for CDS converts data from **Pershing** to a data format that can be used by E-Z Data, Inc.'s **CDS** and Smart Office Online Investment Tracking systems.

Pershing is a correspondent clearing firm that executes stock, bond, mutual fund and other types of transactions on behalf of its correspondent clients. A great deal of data is generated in this process, much of which is made available and is very useful to the Broker/Dealer correspondent client's of Pershing, and their Registered Representatives.

Making effective use of that very valuable and voluminous data can be a daunting task. One of the ways that the process of managing that data can be aided is through the use of programs that take data in one format and convert it to the format of a software product that you can use to help manage your client information.

Xlate is such a product, and performs just that task. It helps you to automate what would otherwise be a complicated, time consuming and costly manual process of reviewing paper or electronic trade confirmations, client statements and Broker/Dealer reports and typing that data into the proper **CDS** data entry screens.

Xlate can process hundreds or thousands of transactions in a very short time, and put that data in a format that **CDS** can then import into its databases.

You can greatly reduce or eliminate entirely the manual data entry process for this type of data, saving a great deal of time and money, and helping to prevent the kinds of mistakes that the manual data entry process can introduce into your client records.

If you obtain or are provided with Pershing data on a daily basis, you can run Xlate every day, importing the results into **CDS** and maintaining a current client database of securities transactions.

If you are provided with data on a weekly or occasional basis, or if you store your daily or weekly Pershing data for future use, you may run Xlate and process it whenever you need to.

Xlate not only processes your data into these discrete files that can be used by **CDS**, but provides you with a log file for each step that can be reviewed for any exceptions that may occur and for statistics on total records processed for each type of data input file. These log files provide you with a means of evaluating what action you may wish to take, if any, for such things as trade corrections and cancellations.

Xlate also performs many functions automatically for the user that would otherwise consume a great deal of time and energy, such as eliminating many types of miscellaneous Pershing journal transactions, and calculating prices for securities where complicated pricing formulas and factors must be used.

In addition, Xlate evaluates the integrity of each data file that it processes for such things as sequencing errors (record groupings that are not provided in the correct order), partial records or incomplete or missing critical data on a given record or in a given record grouping, and for incomplete files, and reports these errors to you so that you have an opportunity to request new data from your provider in a timely manner *before you input or import the data and risk corrupting your client database.*

Also, although you may process many days worth of data in a single Xlate session, Xlate will not let the user mistakenly process different day's data into the same output data file, protecting you from updating your investment databases in the wrong order.

Xlate also automatically removes files it has processed from the active "import" directory and archives them for you, allowing you repeat access to your data should you need it and preventing you from processing the same files multiple times.

Further, Xlate identifies which files you processed in your previous and current Xlate sessions, allowing you to proceed to process data from where you last stopped without having to rely on your memory or notes.

Xlate is as simple and effective to use as is possible, employing an easy to use point and click Graphical User Interface. Once set up, you should never have to do more to run Xlate than click on the appropriate file, tab or button.

## What Do you Need to Run *Xlate*?

Before you can run Xlate, you will need a source of Pershing data, either directly from Pershing or from your Broker/Dealer. The staff at **ASC** can assist you and/or your Broker/Dealer in obtaining the data files you need from Pershing. You also must have a valid copy of E-Z Data, Inc.'s CDS software and their Transaction Download Module (TDM) with the Pershing Interface or access to Smart Office.

## What Does *Xlate* Cost and How do I Purchase It?

The price for Xlate is \$650. We have no additional annual maintenance program. Rather, when necessary, we create new versions, which can be purchased at the then current price.

We will be pleased to ship you the software and manual on a thirty day trial basis. To order, please use the order form that follows, or use the contact information listed below.

### Contact Information

*Allen Simmer Consulting*  
P.O. Box 1639, Mar Vista, CA 90066

Phone: 310.398.0232 Fax: 310.398.8232 E-mail: [asc@brokersoft.com](mailto:asc@brokersoft.com)  
or visit  
[www.brokersoft.com](http://www.brokersoft.com)

## ADDITIONAL SOFTWARE and SERVICES

- SDR - Securities Data Repository / Data Parser (DST, DAZL, Pershing)  
*Store, Manage and Access Your Data Your Way...*
- Pershing2Excel – Load Pershing data to Directly Excel
- ViewPoint - Consolidated Client Statements
- Vista - Compliance + Sales + Marketing  
*Broker Dealer Home and Branch Office Reporting System*
- SDD - Securities Data Distributor  
*Distribute Your Data Your Way...*
- Branch Office and Broker Dealer Consulting Services  
*Software, Data Integration, Hardware, Management Consulting*  
*Get Industry Expertise without Adding Staff!*

In addition to Xlate, ASC markets off the shelf and custom software solutions that can assist the Branch or Home Office in managing and distributing Pershing, DST, DAZL and other data streams to their end user recipients. If you are a Branch or Home office and are currently subsidizing a number of users in obtaining this data, or expending resources or contemplating doing so, we may be able to substantially lower your costs per user. Please use the contact information provided above to give us an opportunity to find a cost-effective solution to your Securities industry data distribution needs!

## *Pershing InfoDirect or Broker-Dealer Supplied Pershing File Recommendations*

### ASC Recommendations for Xlate Users

The following table lists the files and options recommended for those users obtaining data directly from **Pershing** via their **InfoDirect** download software **or** from their **Broker Dealer**. When you contact your Broker/Dealer or your Broker/Dealer's Pershing Account Executive, please ask them to follow the guidelines listed below for files to receive, file download frequency, headers and other options when initially setting up your download. This will optimize your use of Pershing data and insure that your databases are current.

<u>File Name</u>	<u>Form</u>	<u>Frequency</u>	<u>Header</u>	<u>Other Options</u>
ACAM Activity	ACTV	Daily	Yes	
Bookkeeping	BKPG	Daily	Yes	
	BACT	Daily	Yes	
	GACT	Daily	Yes	
Customer Position	CUST	Daily	Yes	Security Description Lines: <b><u>No</u></b> Refresh: D, W, M, L, S
	GACT	Daily	Yes	
Security Description	DESC	Daily	Yes	Security Description Lines: <b><u>Yes</u></b> Refresh: D, W, M, L, S
Moneyline	GMON	Daily	Yes	
Fund Balances	FUND	Daily	Yes	
Name & Address ADD	NADD	Daily	Yes	
Name & Address CHANGE	NCHG	Daily	Yes	
Name & Address FULL	NAFL	Once	Yes	<i>Request at Start-Up</i>

Note that the Customer Position file (CUST) and the Securities Description file (DESC) both have an option for a user to receive Security Description Lines. The Security Description Lines contain the text that describes a particular holding. Users should request that the Security Description Lines be provided in the Security Description (DESC) file only, and not be duplicated in the Customer Position file.

Further, note that an option exists for a **Refresh** and **Refresh Frequency** for both of these files. A Refresh is a complete Customer Position or Security Description file, rather than the daily update. It is generally a good idea to request a refresh of these two files on a monthly basis. The letter designations above for Refresh Frequencies are abbreviations for:

- D = Daily
- W = Weekly
- M = Last Friday of the Month
- L = Last business day of the Month
- S = Mid-Month

We would recommend that you request a Refresh of both of these files on a monthly basis on the last business day of the month (refresh option L).

Also note that a complete Refresh of the Pershing Name and Address file is available on a one-time only basis. Request this file when you initiate your Pershing InfoDirect download service. All of your Pershing accounts will be converted by Xlate and imported into your investment software.

Product Order and Contact Form

To order or inquire about any of our products, email this page to [asc@brokersoft.com](mailto:asc@brokersoft.com) or fax this page to 310.398.8232.

Contact Name: \_\_\_\_\_ Title: \_\_\_\_\_

Company: \_\_\_\_\_ Broker/Dealer: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Shipping Address: \_\_\_\_\_  
\_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: \_\_\_\_\_ - \_\_\_\_\_ x \_\_\_\_\_ Fax: \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address for Updates and Notices: \_\_\_\_\_

Source of Pershing Data:  Broker/Dealer  Pershing  Other \_\_\_\_\_

Source of DST Data:  Broker/Dealer  Fan Mail  Other \_\_\_\_\_

Source of DAZL Data:  Broker/Dealer  DAZL  Other \_\_\_\_\_

I have an interest in:

- |  |  |
|--|--|
| <input type="checkbox"/> SDR - Securities Data Repository/Data Parser          | <input type="checkbox"/> Vista Compliance + Reporting System |
| <input type="checkbox"/> Pershing2Excel – Pershing to Excel Data Parser/Loader |  |
| <input type="checkbox"/> SDD - Securities Data Distributor                     | <input type="checkbox"/> Consulting Services                 |
| <input type="checkbox"/> ViewPoint - Consolidated Client Statements            | <input type="checkbox"/> Xlate - Pershing Conversion for CDS |
| <input type="checkbox"/> Imaging and Document Management                       | <input type="checkbox"/> Download and Other Services         |
| <input type="checkbox"/> Other _____   |  |

All initial fees are payable only by Check or Money Order. TELEPHONE SUPPORT beyond our warranty period is available at \$125.00 per incident.

All fees for software and / or services are payable to:

Allen Simmer  
P.O. Box 1639  
Mar Vista, CA 90066

We download via Internet or ship media and manuals via USPS Priority Mail. You should receive the product in 2 to 5 days from our receipt of the order.