



December 6, 2018

Standard File Holiday Processing

Below outlines year-end freeze dates and holiday processing details for standard files.

For more information, please email datadelivery@pershing.com or standard.files.pms@bnymellon.com.

Pershing's Direct Brokerage Services (DBS) clients should contact their Account Manager.

Temporary Freeze on All New Standard File Destinations

No new standard file destinations, regardless of method of delivery, can be created between Friday, December 14, 2018, and Saturday, January 5, 2019, during our year-end freeze period. Additionally, new files cannot be added to your network data mover (NDM) destinations during this period, although existing files may be deleted. However, you can add and delete files from your existing file transfer protocol (FTP) and InfoDirect destinations during this time period, as well as update extract criteria on all of your existing destinations, including NDM.

Holiday Processing Schedule

BNY Mellon's Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the following dates:

- Thursday, November 22—Thanksgiving Day
- Tuesday, December 25—Christmas Day
- Tuesday, January 1—New Year's Day
- Monday, January 21—Martin Luther King Jr. Day
- Monday, February 18—Presidents' Day
- Friday, April 19—Good Friday
- Monday, May 27—Memorial Day
- Thursday, July 4—Independence Day
- Monday, September 2—Labor Day
- Thursday, November 28—Thanksgiving Day
- Wednesday, December 25—Christmas Day

Standard files, aside from those in the [Exception Table](#), will not run on the above dates or be delivered on those evenings/following early mornings.



Monday Holiday

On Monday holidays, files normally delivered on Friday night into Saturday morning will be delivered as normal. However, some files containing Friday data normally delivered on Monday morning will instead be sent on Tuesday morning including:

Form Name	Description
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
CBRO	Cost Basis Reporting (Omnibus)
EZBR	Easy to Borrow
IMSF	Identification Management
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

Friday Holiday

On Friday holidays, any files scheduled to run or refresh on Friday will be sent instead with the batch cycle that is run on the preceding Thursday.

Because Thursdays that precede holiday Fridays are treated as a Friday, files that would normally deliver Friday data on Monday morning, will deliver their Thursday data on Monday morning instead of Friday morning. This applies to:

Form Name	Description
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
CBRO	Cost Basis Reporting (Omnibus)
EZBR	Easy to Borrow
LADV	Loan Advance
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

Due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, certain standard files from Thursday's batch process will not be delivered until Saturday morning including:

Form Name	Description
BWTL	BondWorks Account Tax Lots
DVRE	Equity Dividend Reinvestment Election
PTD1, PTD2, PTD3, PTD6	PCAS Files
RMIN	Required Minimum Distribution



Bank-only Holidays

On the following days, the banks will be closed while the NYSE remains open. Therefore, banking-related files will contain only headers and trailers, or will not run on these days as noted.

- Monday, October 14—Columbus Day
- Monday, November 11—Veterans Day

Form Name	Description	Delivery Information
ACTB, ACTV	ACAM Activity Files	Header/Trailer only
ASPC	Subscription Products Commissions	Header/Trailer only
BAAM	Bank Activity AM	Header/Trailer only
GAC1	Global Bookkeeping Activity—Bank Custody	Header/Trailer only
POT1	Portfolio Open Tax Lots—Bank Custody	No file delivered
PSWF	Projection of Systematic Withdrawal	Header/Trailer only
PTL1	Portfolio Tax Lot Dispositions—Bank Custody	No file delivered

Additionally, the files below will be sent with balances, likely unchanged from their previous batch run.

Form Name	Description
FUNB, FUND, FUNO	Fund Balance Files
GMN1	Global Money Line—Bank Custody

Trades do not settle on bank holidays, and there are no sweeps, check deposits or disbursements, Federal Fund wire processing or other banking-related activities on these days. As a result, many standard files will be considerably smaller on these days. Settlement transactions will occur on the next regular banking business day.

Exchange-only Holidays

On Friday, April 19, 2019, the banks are open while the NYSE is closed. Any bank activity that occurs on April 19 will appear in the files sent out with the batch run on the following business day, April 22.

This affects banking files such as:

Form Name	Description
ACTB, ACTV	ACAM Activity Files
CKFF	Check and Federal Fund Wires
FUNB, FUND, FUNO	Fund Balance Files
PSWF	Projection of Systematic Withdrawal
SWFF	Swift Federal Funds Messages



Exceptions

Previously, it was important to note the run date in the header of files that ran when the NYSE was closed since the date of data was not updated in the file header or trailer, or used in the file name when the Pershing batch was not run on days the NYSE was closed. Beginning in 2019, we will address this in most files, so on days the NYSE is closed, they will:

- Display the correct date of data in their header and trailer records, position 47.
- Use the correct date of data in cases when the “date name” convention is used.
- This applies to files transmitted via:
 - InfoDirect FTP
 - InfoDirect (new)
 - FTP only in cases that use the date name convention

Form Name	Description	Exception	Expected Delivery Date
CRMA	CRM Daily Activity	Runs 365 days per year.	Saturday, January 12, 2019 and every day the NYSE is closed after that.
GAC1	Global Bookkeeping Activity–Bank Custody	Runs on Exchange-only holidays.	Good Friday and all Exchange-only holidays following.
GCS1	Global Customer Position–Bank Custody	Runs on Exchange-only holidays.	Good Friday and all Exchange-only holidays following.
GMN1	Global MoneyLine–Bank Custody	Runs on Exchange-only holidays.	Good Friday and all Exchange-only holidays following.
HHLD	Household Group	No change for holidays. Runs on its normal schedule even on holidays.	Martin Luther King Jr. Day and all subsequent NYSE holidays following.
MFPF	Mutual Fund Prospectus File	Runs on Exchange-only holidays.	This file has not been updated at this time. Be sure to review its run date on Good Friday. We will note any changes in future quarterly mailings.
MTEN/RTEN	Net Exchange User Report	No change for holidays. Runs on its normal schedule even on holidays.	Martin Luther King Jr. Day and all subsequent NYSE holidays following.
NSAT	Audit Trail Report	Runs 365 days per year.	Saturday, January 12, 2019 and every day the NYSE is closed after that.
OATS	OATS Audit Trail Reporting	No change for holidays. Runs on its normal schedule even on holidays.	Martin Luther King Jr. Day and all subsequent NYSE holidays following.
POT1	Portfolio Open Tax Lots–Bank Custody	Runs on Exchange-only holidays.	Good Friday and all Exchange-only holidays following.
PTL1	Portfolio Tax Lot Dispositions–Bank Custody	Runs on Exchange-only holidays.	Good Friday and all Exchange-only holidays following.



Additional Information

Contact your home office or Account Manager to add or remove any recipients from future standard file updates. **Consider replacing your individual email address with a group email address in your firm's distribution list at Pershing to ensure that key members of your department receive these updates.**

Though we do our best to distribute this mailing to all known Service Providers that receive standard files, we ask that you share the information in this mailing with the Service Providers that process standard files on your behalf. Your service providers may contact DataDelivery@Pershing.com to request changes to their email distribution lists.

If you have any questions regarding standard file delivery and configurations, email datadelivery@pershing.com. Regarding standard file content, contact Standard Files Project Management at standard.files.pms.@bnymellon.com or our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

To review previous quarterly updates, visit the [standard file layouts website](#).