



December 03, 2020

## Standard File Holiday Processing

BNY Mellon's Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the below dates in 2021:

January 1	Friday	New Year's Day
January 18	Monday	Martin Luther King Jr. Day
February 15	Monday	Presidents' Day
*April 2	Friday	Good Friday ( <i>See Exchange Only Holiday section below</i> )
May 31	Monday	Memorial Day
*July 5 (observed)	Monday	Independence Day ( <i>See Exchange Only Holiday section below</i> )
September 6	Monday	Labor Day
November 25	Thursday	Thanksgiving Day
*December 24(observed)	Friday	Christmas Day ( <i>See Exchange Only Holiday section below</i> )

Standard Files, aside from those discussed in the **Exceptions Processing** section of this notice, will not run on any of the above dates or be delivered on those evenings/following mornings.

This notification discusses Standard Files published on our website <https://standardfiles.pershing.com/home> at the time of this mailing.

## Monday Holidays

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

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
IMSF	Identification Management
MFDA	Mutual Fund Dealer Agreements
RDM1, RDM2	Receive and Deliver Master Files

*Other files for similar business tend to behave similarly.*

## Friday Holidays

For weeks when Friday is a holiday, Pershing runs Thursday batch as if it were a Friday. Therefore, any files scheduled to run or refresh on Friday are sent instead with the batch cycle run on the preceding Thursday.

Additionally, files that normally deliver Friday data Monday morning, instead deliver their Thursday data on Monday morning. This applies to the below:



## Friday Holiday (continued)

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
EZBR	Easy to Borrow –
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

*Other files for similar business tend to behave similarly.*

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

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME
DVRE	Equity Dividend Reinvestment Election
PTD1, PTD2, PTD3, PTD6	PCAS Files
RMIN	Required Minimum Distribution

*Other files for similar business tend to behave similarly.*

## \*Exchange-Only Holidays

On **Friday, April 2, Monday, July 5, and Friday December 24**, while the banks will be open, the NYSE will be closed, therefore any bank activity that occurs on these market holidays will appear in the files sent out with the batch run on the following business day. This affects banking files such as:

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME
ACTB, ACTV	ACAM Activity Files
FUNB, FUND, FUNO	Fund Balance Files
PSWF	Projection of Systematic Withdrawal

## Bank-Only Holidays

On the below days, the banks will be closed while the NYSE will remain open:

October 12	Monday	Columbus Day
November 11	Thursday	Veterans Day



## Bank-Only Holidays (continued)

The banking related files shown below will either not run or contain only headers and trailers, on the above bank-only holidays:

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME	DELIVERY TO EXPECT
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

*Other files for similar business tend to behave similarly.*

Additionally, the Fund and Bank Custody Balance files will go out on these dates with the same data from their previous batch run.

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME
FUNB, FUND, FUNO	Fund Balance Files
GCS1	Global Customer Positions Bank Custody
GMN1	Global Moneyline – Bank Custody

*Other files for similar business tend to behave similarly.*

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

## Exception Processing

### Exceptions Table

FILE(s) FORM NAME	FILE DESCRIPTIVE NAME	EXCEPTION
AMSI	Asset Movement Standing Instructions	Runs Exchange ONLY Holidays ( <i>i.e. Good Friday</i> ), but will <b>ONLY</b> include data for <u>Bank Custody</u> clients. Brokerage Clients will receive ONLY headers and trailers. Any activity that occurs on the holiday will appear in the file sent out for batch run on the next business day. Brokerage clients will see “REFRESHED” in the header record of the Friday file, but it will NOT contain any detail records.
CKFF	Check and Federal Fund Wires	Runs Exchange ONLY Holidays ( <i>i.e. Good Friday</i> ), but will <b>ONLY</b> include data for <u>Bank Custody</u> clients.



		Brokerage Clients will receive ONLY headers and trailers. Any activity that occurs on the holiday will appear in the file sent out for batch run on the next business day.
CRMA	CRM Daily Activity	Runs 365 days/year
GAC1	Global Bookkeeping Activity – Bank Custody	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>
GCS1	Global Customer Position – Bank Custody	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>
GMN1	Global Moneyline – Bank Custody	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>
HHLD	House Hold Group	Runs on its normal schedule; even on holidays.
MTEN/RTEN	Net Exchange User Report	Runs on its normal schedule; even on holidays.
NSAT	Audit Trail Report	Runs 365 Days per year.
OATS	OATS Audit Trail Reporting	Runs on its normal schedule; even on holidays.
OPTX	Options Assignment and Exercise - Monthly	Runs monthly on the Saturday after the option-ex date, regardless of holidays
POT1	Portfolio Open Tax Lots – Bank Custody	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>
PTL1	Portfolio Tax Lot Dispositions – Bank Custody	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>
SWFF	SWIFT Federal Funds Messages	Runs Exchange ONLY Holidays ( <i>i.e. Good Friday</i> ), but will <b>ONLY</b> include data for Bank Custody clients. Brokerage Clients will receive ONLY headers and trailers. Any activity that occurs on the holiday will appear in the file sent out for batch run on the next business day.
RD01-23	Global Clearance Settlement	Runs Exchange ONLY Holidays <i>i.e. Good Friday</i>

## Year End Processing

The RMIN Required Minimum Distribution File resets at the end of each year. Clients should expect to receive header and trailers only for the last few days of the year as well as for the first few days of next year. Specific dates will be provided in a future Quarterly Update. We recommend that you discuss the anticipated RMIN file behavior in this notification. For more information, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com).

If you have require further assistance please contact your Account Manager.