



December 08, 2021

Standard File Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the dates below in 2022:

January 17	Monday	Martin Luther King Jr. Day
February 21	Monday	Presidents' Day
*April 15	Friday	Good Friday <i>Exchange only holiday; see below</i>
May 30	Monday	Memorial Day
*June 20(observed)	Monday	Juneteenth National Independence Day
July 4	Monday	Independence Day
September 5	Monday	Labor Day
November 24	Thursday	Thanksgiving Day
*December 26(observed)	Monday	Christmas Day <i>Exchange only holiday; see below</i>

Standard Files, aside from those discussed in the **Exceptions Processing** portion 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 Holiday

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 Holiday

For weeks when the 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, deliver their Thursday data on Monday morning. This applies to:



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.

Also, 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:

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

Friday, April 15, and Monday December 26 the banks are open while the NYSE is closed, so 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 following days, the banks will be closed while the NYSE remains open:

October 10	Monday	Columbus Day
November 11	Friday	Veterans Day

Therefore, banking related files will contain only headers and trailers or will not run on these days as noted. Please process accordingly.

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.

Also 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.

Exceptions 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 ONLY include data for <u>Bank Custody</u> clients. Brokerage Clients will receive ONLY headers and trailers. Their activity that occurs on the holiday will appear in 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 ONLY include data for <u>Bank Custody</u> clients. Brokerage Clients will receive ONLY headers and trailers. Their activity that occurs on the holiday will appear in 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.
LACD	Last Account Activity Dates	Runs on Good Friday as well as any market holiday falling on a Friday where banks are still open.
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 ONLY include data for <u>Bank Custody</u> clients. Brokerage Clients will receive ONLY headers and trailers. Their activity that occurs on the holiday will appear in 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.

May be a good idea to discuss the anticipated RMIN file behavior in this notification

It does not run the first several days of the New Year.

For more information, please email datadelivery@pershing.com.