

March 27, 2014

## First Quarter 2014 Standard File Update

This communication announces new standard files, revisions to existing files and other standard file related information.

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Standard file layouts can be downloaded via [pershing.com/standardfiles/layouts.html](http://pershing.com/standardfiles/layouts.html), which links to a secured area of Pershing's website. The page cannot be accessed from any area of Pershing.com nor found through an Internet search.

**NOTE:** Fields marked "Not Used" in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Though we may not be able to provide information in advance, we will announce changes as soon as possible.

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*If you have questions, please send an e-mail to [datadelivery@pershing.com](mailto:datadelivery@pershing.com).*

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

## New Files and Recent Standard File Updates

Please see the standard file layouts for details about the following changes. Each layout shows the date of its last update. New and impending changes are added as soon as they are known, and projected changes include effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	To comply with new industry regulations, the return mail information in Record C was updated on January 18, 2014.  In addition, Record C now includes Bond Election request for cost basis reporting. Information on other investments has been added to Record 4 of both files. Please see the file layout for full details about these changes.
ACTV	ACAM Activity	IBD Number has been added to filler space. Please see the file layout for details.
ASPC, ASPF, ASPO, ASPS	Subscription Products	On March 21, 2014, the DTCC made regular updates to its layouts embedded in these annuity standard files. DTCC records enable insurance carriers to send back details regarding the beneficiaries on the contract or policy. You may contact Data Delivery at <a href="mailto:datadelivery@pershing.com">datadelivery@pershing.com</a> for the updated DTCC record information.
BPFD/F	Business Party Information Files	NEW  The BPFF file, a daily refresh file, is now available as a daily update (BPFD) file. <b>Pershing will update all clients currently receiving BPFF to BPFD. After April 30, 2014, BPFF will be delivered on Friday evenings.</b> The file contains party role identities and can be used in conjunction with the "N" and "O" records in the ACCF/T files. Please see the file layout for details.

## New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
FUND	ACAM Fund Balances	Pershing has added the IBD number to filler space. Please see the file layout for details.
GACT  GCUS  GTDE/GSDE	Global Bookkeeping Activity  Global Customer Position File  Global Trade and Settlement Files	Pershing has added a non-U.S. dollar (USD) symbol to these files in space formerly defined as filler. Please see the file layouts for details.
GTOE	Global Trades—Orders	Record C has been updated to include the following in filler space: <ul style="list-style-type: none"> <li>▪ Pershing System Order Approval Date</li> <li>▪ Pershing System Order Approval Time</li> <li>▪ Pershing System Order Approval USERID</li> <li>▪ Order Execution Status</li> </ul> Please see the file layout for full details.
ISCA	Security Descriptions	Effective January 17, 2014, a taxable indicator was added to Record C. Please see the file layout for details.

## Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCT	Customer Account Information	Targeted for release in the second quarter, Pershing will change which record groups are included in your ACCT file. Once the change is in production, Pershing will send ALL records you are set up to receive for each updated account, not just those record groups in which the update occurred. This update is likely to cause an increase in the average size of your ACCT file.
GACT  GTDE	Global Bookkeeping Activity File  Global Trade Date File	<b>PROCESSING CHANGE</b>  Anticipated for late June 2014, Pershing will change the way cross-currency foreign exchange (FX) transactions are reflected in these files. Currently, there is a buy or sell in USD, followed by an FX transaction, followed by a buy or sell in the desired currency. The new standard will be a buy or sell in the current currency, followed by a buy or sell in the desired currency. There will be no changes to the file layouts.
GACT  GSDE	Global Bookkeeping Activity File  Global Trade Settlement File	<b>PROCESSING CHANGE</b>  Beginning in June, all securities with U.S. dollar equivalent (USDE) will use the exchange rate as of trade date through settlement. This change will align transaction data with cost basis data. There will be no changes to the file layouts.

## Upcoming Standard File Enhancements (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ISCA	Security Descriptions	Effective May 30, 2014, all new file delivery sites requesting this file will receive all records, mandatory and optional, by default.
NSAT	Client User ID Audit	We are adding the client's First Name and Last Name during ID creation for NetXInvestor™ client IDs. To align with the new fields, we are including the First Name and Last Name data to the NSAT file to track any changes. Please see the file layout for details.

## Service Provider Quarterly Forum

On Wednesday, April 16, Pershing will host a conference call for third-party service providers who aggregate data on behalf of Pershing clients. The agenda, moderated by Pershing file delivery and subject matter experts, will include a review of the quarterly update. Invitations will be sent to all eligible providers shortly.

## Retiring Standard Files

Due to stricter data privacy regulations, we are aggressively terminating retired files containing personal data. The files will not be subject to remediation or updates and will not be added to any new destinations. We recommend that you migrate to the replacement file within one year of a file's retirement date. **Failure to do so may result in additional standard file-related charges to your firm. Retired files can stop transmitting and penalty charges may apply any time after the dates indicated.**

RETIRING FORM	RETIRING FILE	RETIREMENT ANNOUNCED	PENALTY CHARGES MAY APPLY	TERMINATION DATE	REPLACEMENT FORM	REPLACEMENT FILE
DESC	Security Description— Domestic	December 2008	March 31, 2013	January 31, 2012	ISCA	Security Description— International and Domestic
IADF	IBD Available Download	October 6, 2011	To be determined	To be determined	MASF	Account Billing
MAFB	Managed Account Fee Billing	October 6, 2011	October 6, 2015	October 6, 2014	MASF	Account Billing
RADM	Receive and Deliver Master	July 2013	July 2014	To be determined	RDM1 and RDM2	Receive and Deliver
TRDE	Trade Date Trades— Domestic	2007	March 31, 2013	March 31, 2014	GTDE	Global Trade Date Trades
TRDS	Settlement Date Trades— Domestic	March 2013	April 1, 2014	March 31, 2014	GSDE	Global Settlement Date Trades

## Verification Process for Standard File Configurations

Pershing enables your firm to directly manage your standard files data using the Standard File Delivery Infrastructure (SFDI) system. Accessible via the Admin tab in NetX360®, the SFDI Destination Extract Criteria option simplifies the setup and maintenance necessary for Pershing to deliver standard files to your firm and your data vendors.

We recommend that you regularly perform a validation check of all your standard file configurations to ensure that they remain clean and accurate. Your firm is fully responsible for the accuracy of its standard file configurations. We also recommend that you verify the accuracy of the data that Advent sends on your behalf to destinations that represent Advent copy (client account) numbers. If you need to edit the extract criteria in SFDI that you send to Advent, you must notify Advent of your data change and include the Advent copy number that refers to it. If you have questions regarding SFDI, please contact Pershing's Data Delivery Group at [datadelivery@pershing.com](mailto:datadelivery@pershing.com).

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## Standard File Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and, with some exceptions, **will not run batch processing on the evenings or the following mornings of these 2014 dates:**

- Good Friday (April 18)
- Memorial Day (May 25)
- Independence Day (July 4)
- Labor Day (September 1)
- Thanksgiving (November 27)
- Christmas (December 25)

**Exceptions.** Please note the run date in file headers, as the date of the data does not change on holidays.

- The Audit Trail Report (NSAT) runs 365 days per year, regardless of holidays.
- The Household Group (HHLD) runs Monday-Friday, regardless of holidays.
- The Mutual Fund Prospectus (MFPF) and the NetExchange User Report (MTEN) files will run on NYSE holidays.

**On Friday, April 18,** the banks are open while the NYSE is closed, so any bank activity that occurs on April 18 will appear in the files sent out with the batch run on the following business day, April 21. This affects the ACAM Fund Activity (ACTV), ACAM Fund Balances (FUND) and Projection of Systematic Withdrawal (PSWF) standard files.

**Monday holidays.** Any weekly files scheduled to run on a Monday will be sent with the batch cycle run on Tuesday morning. This includes the Identification Management (IMSF) file. Further, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the Transfers (ACA2), Annuity and Insurance Commission Data (ASPC), Subscription Products Financial Activity (ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR) and Mutual Fund Dealer Agreements (MFDA) files.

**Friday holidays.** If the holiday falls on a Friday, any files scheduled to run or refresh on Fridays will be sent with the batch cycle run on the preceding Thursday. Because Thursdays preceding a Friday holiday are treated as a Friday, files that would normally deliver Friday data on Monday morning, will deliver Thursday data on Monday morning. This applies to such files as Account Transfers (ACA2) and Easy to Borrow (EZBR). Also, due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the following standard files will not be delivered until Saturday morning: Equity Dividend Reinvestment Election (DVRE), The PCAS Files (PTD1, PTD2, PTD3 and PTD6) and Receive and Deliver Master (RDM1 and RDM2).

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## Additional Information

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

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Please share the above with the service providers that process standard files on your behalf. Service providers should contact Pershing's Data Delivery Group at [datadelivery@pershing.com](mailto:datadelivery@pershing.com) to request changes to their distribution lists.

If you have any questions regarding standard file delivery and configurations, send an e-mail to [datadelivery@pershing.com](mailto:datadelivery@pershing.com). Regarding content, contact Standard Files Project Management at [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com) or call Pershing's Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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