

April 9, 2015

First Quarter 2015 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, which links to a secured area of Pershing's website. The page cannot be accessed from any area of Pershing.com.

NOTE: Fields marked "Not Used" in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Not all updates are provided in advance, but all will be announced as soon as possible.

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If you have questions, please send an e-mail to datadelivery@pershing.com or standard.files.pms@bnymellon.com

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

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. You should 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.

New Files

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
LSHD/F	Lost Securities Holders File	<p>This file addresses the requirements of rule SEC17 including the following events:</p> <ul style="list-style-type: none"> ▪ Return Mail ▪ Account Holder Located ▪ First Search ▪ Second Search ▪ Abandoned Account <p>This file may be requested through Service Center. Specifications are available on the website.</p>

Recent Standard File Updates

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	<p>New data on proprietary accounts has been added to Record W in position 178 in space formerly designated "Not Used."</p> <p>Securitization information has been added to Record 4 starting in position 557 in space formerly designated "Not Used."</p> <p>See file layout for full details.</p>
CKFF	Check and Federal Funds Detail	Pershing is no longer updating the sequence number scheme in this file as described in a previous mailing. We apologize for any confusion.
FT10	Firm Trading Trade Date File	A Security Factor has been added in Record A position 308-325, which was previously designated as filler. A multicurrency exchange rate has been added to Record B position 58-75. See file layout for full details.
FT20	Firm Trading Settlement File	A Security Factor has been added in Record A position 327-344, which was previously designated as filler. A multicurrency exchange rate has been added to Record B position 58-75. See file layout for full details.
GOTX,GTOE, OELG	Global Open Order and Execution, Global Trades-Orders, Order/ Execution Log Files	Record C has been updated to allow for alternative investment orders. See the individual file layout(s) for specifics on this updated record. Note that this record will only be included when there are orders for alternative investment products.
GTDE/GSDE GTOE	Global Trades, Global Trades-Orders Files	<p>Several new fields have been added:</p> <ul style="list-style-type: none"> ▪ Trade Area ID has been added to position 193 of Record A. ▪ Discretion Exercised has also been added to position 358 in Record A. ▪ FX forward information has also been added to position 360 in Record A. ▪ CMTA indicator has been added to position 1078 of Record A. ▪ CMTA Broker Number has been added to position 1079 of Record A. <p>These new data points have been added to space previously designated "Not Used." See file layout for full details.</p>
GTOE	Global Trades-Orders	<p>A new field, Investment Professional (IP) of Record, has been added to Record C position 1246.</p> <p>This field is in space previously designated "Not Used." See file layout for full details.</p>

ISCA	Security Descriptions	A new field, Year Covered Under Cost Basis Rules, was added to Record F position 128 in space previously designated “Not Used.” A “Worthless Security” indicator has been added to Record I position 106. See file layout for full details.
MFDS	Mutual Fund Description	Pershing has added a Retirement Plan Network Eligibility indicator in position 364. This space was previously designated as filler.
POTL/PTLD	Portfolio Open Tax Lots/ Portfolio Tax Lot Dispositions	The POTL and PTLTD standard files have been enhanced to address cost basis reporting requirements. Please refer to this communication for details.

Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Scheduled for release in 2015, external bank information fields will be added to Record M in space currently defined as “Not Used.” See file layout for full details.
OORD	Open Orders File	Scheduled for production in July 2015, Pershing is updating this file to include orders entered in: <ul style="list-style-type: none"> ▪ ATOMS ▪ GLTrade ▪ Liquid Point ▪ Neovest ▪ RealTick ▪ TCMS ▪ UTF ▪ FOMS ▪ Cape Logic Previously, this file only contained orders entered through ATOMS. Various additional values have been added to the file. See file layout for full details.

Service Provider Quarterly Forum

On Wednesday, May 6, 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
GOTX	Global Open Order and Trade Execution	April 2015	April 30, 2016	April 30, 2016	GTOE	Global Trade and Order Details
RADM	Receive and Deliver Master	July 2013	July 2014	November 30, 2015	RDM1 and RDM2	Receive and Deliver
TRDE	Trade Date Trades—Domestic	December 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

Standard File Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the upcoming holidays:

- Memorial Day (Monday, May 25)
- Independence Day (Friday, July 3)
- Labor Day (Monday, September 7)
- Thanksgiving Day (Thursday, November 26)
- Christmas (Friday, December 25)

Standard files (see *Exception Notes* below) will not be processed on any of these evenings or the following mornings.

Monday Holiday

For a Monday holiday, any weekly files scheduled to run on a Monday will be sent instead with the batch cycle that will be run on Tuesday morning. This includes the Identification Management (IMSF) file.

Additionally, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the following active standard files: Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Mutual Fund Dealer Agreements (MFDA) and Receive and Deliver Master (RDM1 and RDM2).

Friday Holiday

If the holiday falls on a Friday, any files scheduled to run or refresh on Fridays 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, not Friday morning. This applies to files such as Account Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Loan Advance (LADV), Mutual Fund Dealer Agreements (MFDA) and Receive and Deliver Master files (RDM1 and RDM2).

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: Bondworks Account Tax Lots (BWTL), Equity Dividend Reinvestment Election (DVRE), the PCAS Files (PTD1, PTD2, PTD3 and PTD6) and Required Minimum Distribution (RMIN).

Exchange Holidays

On Friday, April 3, the banks were open while the NYSE was closed, so any bank activity that occurred on April 3 appeared in the files sent out with the batch run on April 6. This affects banking files such as the ACAM Fund Activity (ACTV), ACAM Fund Balances (FUND), Omnibus FUND Balances (FUNO) and Projection of Systematic Withdrawal (PSWF) standard files.

Bank Holidays

On the following two days, the banks will be closed while the NYSE remains open:

- Columbus Day (Monday, October 12)
- Veteran's Day (Wednesday, November 11)

Therefore, banking-related files such as ACAM Fund Activity (ACTV), Subscription Products Commissions (ASPC), Bank Activity AM (BAAM) and Projection of Systematic Withdrawal (PSWF) will contain only headers and trailers for them. Please expect these file(s) to be empty and process them accordingly.

Additionally, the ACAM Fund Balances (FUND) and Omnibus Fund Balances (FUNO) files will go out on these dates with the same data from their previous batch run.

Also note that trades do not settle on bank holidays, which can affect the size or content of many files, such as the daily Commission and Payout System (CAPS) file, the Settlement Date Trades (GSDE) file and other files that include settlement-date trade information.

Finally, because there is no sweep, check deposit or disbursement, or federal fund wire processing on bank holidays, the Check and Federal Fund Detail (CKFF) file and other standard files that detail such activity will be much smaller on these bank holidays.

Exception Notes

The CRM Daily Activity (CRMA) and the Audit Trail Report (NSAT) files do not follow holiday processes. They run 365 days per year.

The House Hold Group (HHL), Net Exchange User Report (MTEN) and the OATS Audit Trail Reporting files do not follow holiday processes. They run on their normal schedule.

The Mutual Fund Prospectus File (MFPF) will run on NYSE holidays.

It is especially important to note the run date in the header of these files as the date of data does not change on holidays.

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.

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 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. Regarding content, contact Standard Files Project Management at 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](#).