



April 5, 2018

First Quarter 2018 Standard File Update

This communication provides standard file information on these topics:

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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.

Verification Process for Configurations

BNY Mellon's Pershing enables you to manage standard files data using the Standard File Delivery Infrastructure (SFDI) system. Accessible via the Admin tab in NetX360[®], the SFDI Destination Extract Criteria simplifies the setup and maintenance necessary for Pershing to deliver standard files to you and your data vendors.

We recommend that you regularly perform a validation check of 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 also 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 it of your data change and include the Advent copy number that refers to it. If you have questions regarding SFDI, contact Pershing's Data Delivery Group at datadelivery@pershing.com.

Destination Extract Criteria Upgrade

We are pleased to announce an enhancement to SFDI Destination Extract Criteria in NetX360. So you can better administer the files delivered to your users, we have added the file descriptions along with the four character acronym. We have also added a link to the Standard File Website so you can easily obtain details about the data provided in each standard file. This enhancement is already in production.

Also, to aid in your standard file configurations, the Designation Extract Criteria system will generate messages advising you if you attempt to configure a standard file at a level the file does not accommodate.

For example, if you configure a file for a single account, but that file is designed to produce data only at the office level, upon submit, the SFDI system will generate a message stating "File(s) <name> cannot be configured at the Account Level." You can still process the change, but you should consider revising the configuration to ensure you do not receive more or less data than you require.



Standard File Website

Standard file layouts can be downloaded via http://files.pershing.com/standard_files/layouts.html. The page cannot be accessed from any area of Pershing.com. Note that fields marked “Not Used” in the layouts are not necessarily empty fields. **We reserve the right to use these fields at any time.** Updates are not always provided in advance, but will be announced as soon as possible.

We are constantly striving to improve our products and processes. We welcome comments and suggestions, which may be sent to datadelivery@pershing.com. As always, we appreciate your support.

New File Delivery System

We have started migrating third party service providers to our new file delivery system. Once the service provider migration has been completed, we will begin migrating individual FTP clients. InfoDirect users should watch for updates on the InfoDirect website. Network Data Mover clients will not be affected. Click [here](#) for technical details.

As part of this change, we will no longer support uncompressed files. FTP files will be zipped. InfoDirect files will not be compressed. As this migration progresses, individual firms will be contacted directly. The new infoDirect website is now available [here](#). More information on the migration schedule will be provided in the near future.

New Files

You can request files via Service Center path: *Administrative Services > Standard Files > Add Files to Existing Site.*

Form Name	File Name	Description
SETD/SETF	Settlement Instructions	The Security Settlement files to display all Security Settlement Instruction options for accounts.

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 target dates.

Form Name	File Name	Description
ACCF/ACCT	Customer Information	New fields will be added to Record A and Record H in support of the Specified Adult FINRA regulation. Trusted Contact Status will be added to record A, position 696. Specified Adult, formerly Vulnerable Adult Indicator, has been added to record H, position 747. The availability date of these new fields has not been determined.
AMSI	Asset Movement Standing Instructions	Record H has been added as an option to provide Bank Send & Receive (BSR) instructions for BankLink clients. This record only applies to Pershing BankLink clients. Records will not be generated for non-BankLink clients.
ASPC/ASPF/ASPO	Subscription Products	On March 29, the DTCC made regular updates to its layouts that are embedded in our annuity standard files. DTCC records enable insurance carriers to send details regarding the beneficiaries on the contract or policy.
GTOE	Global Trades-Orders	Order Capacity Principal Agency Code is being added in Record C position 1051 in space formally defined as filler.



Upcoming Standard File Enhancements

Form Name	File Name	Description
GTDE/GSDE /GTOE /ORDS	Global Trade Settlement/ Global Trades-Orders/ Open Orders	To support new MIFID and CAT requirements, order and execution times are being expanded to include milliseconds. This change is using space previously designated as filler and is anticipated to be in production later this year.

New Appendices

Two new appendices have been added. They are Appendix 7—Par and MAXX Key Codes and Appendix 8—Source Codes. See our website for complete details.

Ops Forum

Standard file updates will be a discussion topic in an upcoming Ops Forum call. Watch your email for an invitation.

Service Provider Quarterly Forum

On Wednesday, April 25, we will host a conference call for third-party service providers who aggregate data on behalf of our 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 soon. A brief survey will be sent after the meeting.

2018 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 2018:

May 28	Monday	Memorial Day
July 4	Wednesday	Independence Day
September 3	Monday	Labor Day
November 22	Thursday	Thanksgiving Day
December 25	Tuesday	Christmas Day

Standard files, aside from those in the Exceptions Table below, will not run on any of the above dates or be delivered on those evenings or following mornings.



2018 Holiday Processing (continued)

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:

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

Bank-only Holidays

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

October 8	Monday	Columbus Day
November 12	Monday	Veterans' Day (observed)

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

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 Fund Balance Files will go out on these dates with the same data from their previous batch run.

Form Name	Description
FUNB, FUND, FUNO	Fund Balance Files
GMN1	Global MoneyLine—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 such days. Settlement transactions will occur on the next regular banking business day.



Exception Table

Note the run date in the header of these files as the date of data may not change on NYSE® holidays.

Form Name	Description	Exception
CRMA	CRM Daily Activity	Runs 365 days per year.
HHLD	House Hold Group	No change for holidays. Runs on its normal schedule even on holidays.
MFPF	Mutual Fund Prospectus File	Runs on exchange-only holidays (i.e., Good Friday).
MTEN/RTEN	Net Exchange User Report	No change for holidays. Runs on its normal schedule even on holidays.
NSAT	Audit Trail Report	Runs 365 days per year.
OATS	OATS Audit Trail Reporting	No change for holidays. Runs on its normal schedule even 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 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.

Share the above information with the service providers that process standard files on your behalf. Service providers should contact our 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, email datadelivery@pershing.com. Regarding content, contact Standard Files Project Management at standard.files.pms.@bnymellon.com or call 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](#).