

April 9, 2020

First Quarter 2020 Standard File Update

This communication provides standard file information on these topics:

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- Standard File Website
- New File Delivery System Update
- Standard File Support
- New Standard Files
- Recent Standard File Updates
- Upcoming Standard File Enhancements
- Ops Forum
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- Year-end Processing
- Holiday Processing Schedule
- Additional Information

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.

Discontinuing Standard Files

Due to stricter regulations surrounding data privacy, we are aggressively terminating retired data files. Discontinuing files are not subject to remediation. Although they will continue to be transmitted to those who currently receive them until termination, they will not be added to any additional remote destination IDs.

These files may stop transmitting any time after the termination date listed below.

Discontinuing Form Name	Discontinuing Form File Name	Earliest Possible Termination Date <i>(Penalty Charges may be incurred by destinations receiving the file after this date.)</i>	Replacement Form Name	Replacement File Name
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity
RPFS	Retirement Plan Fee System	August 1, 2019	RPFC	Retirement Plan Fee Charge
			RPFI	Retirement Plan Fee Invoice
			RPFP	Retirement Plan Fee Preliminary

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.

Standard File Website

The Pershing Standard file layout website has moved. Please bookmark our new URL, <https://standardfiles.pershing.com>.

Like our old site, this page is independent and not accessible from other areas of Pershing.com.

Please note that fields marked "Not Used" in the layouts are not necessarily empty fields. Pershing reserves the right to use these fields at any time.

Updates to Not Used fields and new values are not subject to pre-announcement.

Standard File Support

Pershing provides a number of support options for our clients.

- Urgent production issues should be called into the Pershing Customer Technology Desk at (888) 878-3142. Associates are available 24 hours a day, 7 days a week. Please be prepared to provide your three character destination site ID, file name(s), and business date, as well as any relevant examples of the issue.
- Please contact Data Delivery via email for any questions related to file structure, scheduling or any other non-critical inquiries.

Consolidated Audit Trail (CAT) Additions

In support of the industry-wide CAT initiative Pershing has made updates to two standard files.

Form Name	File Name	Description
ACCF/T	Customer Information	A new optional record, Record 7, is now available and may be requested through Service Center. Full details on this new record are now available on the file layout.
BPFDF/F	Business Party Information	Several new fields have been added to mandatory Record A in space previously designated as filler. Please see the file layout for full details.

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.

New standard files may be requested via NetX360[®] Service Center. The path is Administrative Services > Standard Files > Add files to Existing Destination.

New Standard Files

Pershing has created three new books and records standard files, designed for greater ease of use. They are now available in the test regions.

- GTOL replaces GTOE
- OEGL replaces OELG
- OORL replaces OORD



New Standard Files (continued)

All three files may be requested via Service Center and may run in parallel with the legacy versions. Migration guides are available upon request.

A retirement date for the legacy files has not yet been set.

Recent Standard File Updates

Form Name	File Name	Description
OELG/OEGL	Open Orders Log	Optional Record H is now available and may be requested through Service Center. Please see file layout for complete details.
SEC6	Routing Disclosure Statistics	The regulatory change has gone into effect. The new layout is now on the website.
SRSI	Scheduled Instructions	Pershing now offers mutual fund rebalancing and reallocations via standing instructions. Accordingly, two new fields have been added to Record A to support mutual fund allocations, MINIMUM AUTO INVESTMENT AMOUNT in position 759 and MAXIMUM AUTO INVESTMENT AMOUNT in position 777. Also, a new value "MF" has been added to the list of acceptable values for INSTRUCTION TYPE in position 30.

Upcoming Standard File Enhancements

Form Name	File Name	Description
ACCF/ACCT	Customer Information	Targeting Q3 Three new fields associated with Reg BI will be added to Record 5; Retail Investor Indicator in pos 333, CRS (Client Relationship Summary) Generation Date in pos 334, and Firm CRS Generation Date in pos 342.

Ops Forum

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

Service Provider Quarterly Forum

On Wednesday, April 29, 2020, 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 this quarterly update. Invitations will be sent to service providers soon.



Holiday Processing Schedule

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the following dates in 2020:

- April 10* Friday Good Friday (*Exchange only holiday; see below*)
- May 25 Monday Memorial Day
- July 3 (observed) Friday Independence Day
- September 7 Monday Labor Day
- November 26 Thursday Thanksgiving Day
- December 25 Friday Christmas Day

Standard files, aside from those in the Exception Table below, will not run on the above dates or be delivered on those evenings/following early mornings.

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:

Form Name	Description
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
CBRO	Cost Basis Reporting (Omnibus)
IMSF	Identification Management
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

Other files for similar business tend to behave similarly.

Bank-Only Holidays

On the following days in 2020, banks will be closed while the NYSE® remains open:

- October 12 Monday Columbus Day
- November 11 Wednesday Veterans' Day

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

Other files for similar business tend to behave similarly.



Holiday Processing Schedule (continued)

Additionally, the Fund and Bank Custody 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

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.

Exception Processing

In the past, it was especially important to note the **RUN DATE** in the header of files that ran when the NYSE was closed since the **DATE OF DATA** was not updated in the file header/trailer nor reflected in the file name when the Pershing batch did not run. However, this year we have addressed this in most of our standard files, so even on days the NYSE is closed, they will:

- a. Display the correct **DATE OF DATA** in their header and trailer records, position 47.
- b. Use the Correct **DATE OF DATA** in cases “*date name*” convention is used.

This applies to files transmitted via:

- InfoDirectFTP
- infoDirect (new)
- FTP *ONLY* in cases that use the date name convention

Exception Table:

Form Name	Description	EXCEPTION
CRMA	CRM Daily Activity	Runs 365 days per year
HHLD	House Hold Group	Runs on its normal schedule, including holidays
MTEN/RTEN	NetExchange® User Report	Runs on its normal schedule, including holidays
NSAT	Audit Trail Report	Runs 365 days per year
OATS	OATS Audit Trail Reporting	Runs on its normal schedule, including holidays
OPTX	Options Assignment and Exercise - Monthly	Runs monthly on the Saturday after the option ex date, regardless of holidays

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



Additional Information

Contact your home office or Pershing 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.**

Although we do our best to distribute this mailing to all known service providers receiving standard files, we ask that you please share the information in this mailing with those providers that process standard files on your behalf. Your service providers may contact datadelivery@pershing.com to request changes to their email distribution lists.

If you have any questions regarding standard file delivery or configurations, email datadelivery@pershing.com. For inquiries regarding standard file content, contact Standard Files Project Management at standard.files.pms@bnymellon.com or contact our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4, with any issues.

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