

April 12, 2021

## First Quarter 2021 Standard File Update

We are constantly adding data to help our clients manage their businesses more efficiently. Our latest additions are listed here.

This quarter we are covering the following topics for you:

- [Discontinuing Standard Files](#)
- [Standard File Delivery times and System Availability](#)
- [Standard File Support](#)
- [System Freeze Schedule](#)
- [New Standard Files/Standard File Updates General Information](#)
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- [Recent and Upcoming Standard File Updates](#)
- [Ops Forum](#)
- [Service Provider Quarterly Forum](#)
- [2021 Holiday Processing Schedule](#)
- [Additional Information](#)

For more information, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com) or [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com).

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

## Discontinuing Standard Files

Due to regulations surrounding data privacy, we will be terminating retired data files. These terminated files will not be subject to remediation. These files will continue to be transmitted to current recipients until termination, however, they will not be added to any additional remote destination IDs.

Files listed below will stop transmitting any time after the termination date shown below.

Discontinuing Form Name	Discontinuing File Name	Earliest Possible Termination Date <i>Penalty Charges may be incurred by destinations receiving the file after this date.</i>	Replacement Form Name(s) <i>Some form's data is found in multiple replacement files. Field level migration documents are available upon request</i>	Replacement File Name
GTOE	Global Trade Orders	April 30, 2022	GTOL	Global Trade Orders
OELG	Order/Execution Log Books & Records	April 30, 2022	O EGL	Order/Execution Log Books & Records
OORD	Open Order Books & Records	April 30, 2022	OORL	Open Order Books & Records
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity (Update/Initial)
RDM1/2	Receive and Deliver Master	February 1, 2022	RD01-23	Global Clearance Settlement Status (hourly files)



## System Freeze Schedule

We periodically place holds on production updates including the addition of new SFTP and InfoDirect user ids.

April 27 through May 1

May 9 through May 17

May 27 through June 1

June 27 through July 1

July 27 through August 1

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## Verification Process for Configurations

We enable 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 us 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](mailto:datadelivery@pershing.com).

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## Unused Destination IDs

To help you manage your file feeds, we now conduct periodic reviews of any destination id with "No Extract Criteria". Any ids that have not been configured for four months or more may be deleted. Please contact your Pershing Account Manager if you have any questions.

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## Best Practices

All Pershing Standard Files include header and trailer records. These records include file name, business and create date as well as the Remote/Destination ID. The trailer record also includes the total number of detail records. We recommend using this information to ensure all records are processed or accounted for.

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## Standard File Delivery times and System Availability

Our Secure File Transfer Protocol (SFTP) and InfoDirect systems are unavailable weekly from midnight on Sunday until 8:00 a.m. (ET) on Monday, during scheduled server maintenance.

General file delivery target times are documented in the Pershing System and File Availability Schedule located in Reference Documents in NetX360®.

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## Standard File Support

We provide around the clock support for our clients.

- Urgent production issues should be called into the Pershing Technology Help Desk at (888) 878-3142 where Associates are available 24 hours a day, seven days a week. Please be prepared to provide your three-character Destination/Remote ID, file name(s) and business date, as well as any relevant examples of the issue.

Please contact [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) for any questions related to file structure, scheduling or any other non-critical inquiries.

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## New Standard Files/Standard File Updates General Information

Users may review the Standard File layout for existing files, new files and updated files on our firm's website at <https://standardfiles.pershing.com>.

Each layout shows the date it was last updated. 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

Form Name	File Name	Description
RD01-23	Global Clearance Settlement Status Files (hourly)	The new Global Clearance Settlement Status files (RD01-RD23), are created hourly providing more up to date account status. Customers can choose to receive Active items (A record only), or both Active and Inactive-Clean or Cancelled items (records A and B). Record A is mandatory. Record B is optional and must be requested. Please see the file layout for complete details. <i>There is no RD02 file, due to system maintenance timing.</i>
IAC2	Investment Allocation Classification	This new file shares a layout with the IAC1 file, but can now reflect any client input on asset classification, allowing for greater flexibility. Please contact your Pershing Account Manager regarding this functionality. The additional input means IAC2 runs at the end of our batch cycle while IAC1 runs at the beginning of it. Recipients may opt to receive only one of these two files. Please see the file layout for additional details.

## Recent and Upcoming Standard File Updates

Form Name	File Name	Description
ACCF/T	Customer Account Information	To support the Internal Revenue Service (IRS) - Individual Retirement Account (IRA) Escheatment Withholding Requirement - IRA - Escheatment Indicator to be added in ACCF/T in Record B, position 635. Also, Intermediary Account Indicator is now in Record A position 476. Please see file layout for complete details.
AMAF	Advisor Account Information	All numeric values in this file now default to zeros rather than spaces.
AMSI	Standing Instructions and Periodic Asset Movement Instructions	Our Asset Movement Processing System (AMPS) application allows clients to reduce or suspend scheduled RMD payments. Accordingly, an indicator field, Reduce or Suspend Scheduled RMD Payment(s), is now in Record J position 375. Please see file layout for complete details.
ASPC/ASPF/A SPO	Subscription Products	In March 2021, the DTCC did not make any updates to its layouts which are embedded in our annuity standard files.
BPDF/F	Business Party Information	To help you help Pershing clients comply with CAT regulation a Large Trader Effective Date for CAT entities, is now in Record A position 512. Please see file layout for complete details. Also, to support paper reduction the Account Mnemonic is now in Record J position 384.
EBSF	Enterprise Billing	We have enhanced our billing system to separate Pershing and client fees. Accordingly, two new fields, Pershing Fee Amount and Client Fee Amount, have been added to Record B from position 191 through 228. Please see file layout for complete details.



FT10/FT20	Firm Trading	Asset type, sub type and sub sub type have been added to both files starting in position 476. Please see file layout for complete details.
GACT/GAC1	Global Booking File	As a best practice, we strongly recommend using the Global Trade file for all trade information. The trade file contains much more information about a trade than the bookkeeping file. The bookkeeping file should be used for non-trade transactions such as sweeps, dividends etc.  We are making an enhancement to improve tax reporting and offer more consistent processing of all corporate actions. This enhancement will alter how fractional shares are processed and presented in standard files. Currently scheduled for production on June 4, 2021, the transaction/source code LEU will include cash amounts in the Net Amount field, and fractional shares in the quantity field. Consequently LEU will use PAR Key Code 10 in place of code 39.
GTOE GTOL	Global Trades Orders	We have added the Pershing Internal Trade Reference Number to both the legacy and new Global Trade Order files in Record B, position 1229. This will make it easier to follow the trade from order to execution. Please see file layouts for complete details.
GTDE/GSDE/G TOE/GTOL	Global Trade Global Trades Orders	We have added the internal version number in Record B, position 126. Please see file layouts for complete details.
ISCA	Security Description	Federal Marginable Indicator is now in Record A position 121. Please see file layout for complete details.
MIAM	Advisor Model	Sleeve Code, which applies only to UMA models, is now in Record D position 361. Please see file layout for complete details.
LSHD/LSHF	Lost Securities Holder	A new field, Return Mail Suppression Indicator, has been added to Record B position 126. Please see the file layout for complete details.

## Ops Forum

These Standard File updates will be a discussion topic in an upcoming Ops Forum call. An invitation for this event will be sent via email to IBD Operation Managers and File Transfer Liaisons. Be on the lookout for your invite.

## Service Provider Quarterly Forum

On April 28, 2021, 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.

Contact [datadelivery@pershing.com](mailto:datadelivery@pershing.com) to add contacts to this invite.

## 2021 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 2021:

- |                         |          |  |
|-------------------------|----------|--|
| *April 2                | Friday   | Good Friday <b>Exchange Only holiday; see below</b>      |
| May 31                  | Monday   | Memorial Day   |
| *July 5 (observed)      | Monday   | Independence Day <b>Exchange Only holiday; see below</b> |
| September 6             | Monday   | Labor Day  |
| November 25             | Thursday | Thanksgiving Day   |
| *December 24 (observed) | Friday   | Christmas Day <b>Exchange Only holiday; see below</b>    |



## 2021 Holiday Processing Schedule (continued)

With the exclusion of the standard files in the Exception Table below, all other standard files will not run on the above dates, nor be delivered on those evenings/following early mornings.

A complete holiday schedule is always available on The Pershing Standard File [website](#).

### Monday Holidays

On Monday holidays, files normally delivered Friday night into Saturday morning for Friday business will be delivered as normal. The files shown below which contain Friday data normally delivered on Monday morning, will instead be sent on Tuesday:

Form Name	File Names/Descriptions
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product files
IMSF	ID Management
MFDA	Mutual Fund Dealer Agreements
RD01-RD23	Global Clearance Settlement Status Files (hourly)

*Other files for similar business activity tend to behave similarly.*

### \*Exchange-Only Holidays

On **Friday, April 2, Monday, July 5, and Friday December 24**, while the banks will be open, the NYSE will be closed. Therefore any bank activity or updates that occur on these market holidays will appear in the files sent out with the batch run on the following business day. This affects the below banking files:

Form Name	File Names/Descriptions
ACTB, ACTV	ACAM Activity files
FUNB, FUND, FUNO	ACAM Fund Balance files
PSWF	Projection of Systematic Withdrawal

*Other files for similar business activity tend to behave similarly.*

### Friday Holidays

When Friday is a holiday, we run 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:

Form Name	File Names/Descriptions
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product files
MFDA	Mutual Fund Dealer Agreements
RD01-RD23	Global Clearance Settlement Status Files (hourly)

*Other files for similar business activity tend to behave similarly.*





## Holiday Processing Exceptions

### Exception Table

Form Name	File Names/Descriptions	Exception
AMSI	Standing Instructions and Periodic Asset Movement Instructions	Runs Exchange-Only Holidays ( <i>i.e. Good Friday</i> ), but will <b>ONLY</b> include data for Bank Custody clients. Brokerage Clients will receive <b>ONLY</b> headers and trailers. If any non-Bank Custody activity occurs on an Exchange holiday, it will appear in the file sent out for the next business day.  <b>NOTE:</b> Brokerage clients may see "REFRESHED" in the header record of files sent on Friday Exchange-Only holidays, but it is NOT a refresh file for them, it will not contain any detail records.
CKFF	Check and Federal Fund Detail	Runs Exchange-Only Holidays ( <i>i.e. Good Friday</i> ), but will <b>ONLY</b> include data for Bank Custody clients. Brokerage Clients will receive <b>ONLY</b> headers and trailers. If any non-Bank Custody activity occurs on an Exchange holiday, it will appear in the file sent out for the next business day.
CRMA	CRM Activity	Runs 365 days per year
HHL D	Householding	Runs on its normal schedule, Sunday to Thursday, including holidays
MTEN/RTEN	Enrollment (Update/Initial)	Runs on its normal schedule, including holidays
NSAT	Client User ID Audit	Runs 365 days per year
OATS	OATS Audit Trail Reporting	Runs on its normal schedule, Tuesday to Saturday, including holidays

For more information concerning Standard File holiday run schedules, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com).

## Additional Information

Contact your home office or your Account Manager to add or remove any recipients from future Standard File Update distributions.

Consider replacing your individual email address with group email addresses to ensure 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](mailto: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](mailto:datadelivery@pershing.com). For inquiries regarding standard file content, contact Standard Files Project Management at [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com). For urgent, off hour or other issues, please contact our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

Previous quarterly Standard File updates and other Standard File information is found on the [standard file layouts website](#).