



April 21, 2022

## First Quarter 2022 Standard File Update

We frequently add data to help you manage your business more efficiently. This quarter, we are covering the following standard file topics for you:

- [Discontinuing Standard Files](#)
- [Verification Process for Configuration](#)
- [Unused Destination IDs](#)
- [Best Practices](#)
- [Standard File Delivery Times and System Availability](#)
- [Standard File Support](#)
- [Service Center Requests](#)
- [Standard File Updates: General Information](#)
- [New Standard Files](#)
- [Recent Standard File Updates](#)
- [Ops Forum](#)
- [Service Provider Quarterly Forum](#)
- [2022 Holiday Processing Schedule](#)
- [Additional Information](#)

## 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 and while these files will continue to be transmitted to current recipients until termination, they will not be added to any additional remote destination IDs.

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

| Discontinuing Form Name | Discontinuing File Name             | Earliest Possible Termination Date<br><i>Penalty charges may be incurred by destinations receiving the file after this date.</i> | Replacement Form Name(s)<br><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                 | December 30, 2022  | GTOL  | Global Trade Orders                               |
| OELG                    | Order/Execution Log Books & Records | December 30, 2022  | OEGL  | Order/Execution Log Books & Records               |
| OORD                    | Open Order Books & Records          | December 30, 2022  | OORL  | Open Order Books & Records                        |
| NTBK                    | Notebook                            | April 30, 2020   | CRMA/ICRM   | CRM Activity (Update/Initial)                     |
| RDM1/2                  | Receive and Deliver Master          | August 1, 2022   | RD01-23   | Global Clearance Settlement Status (hourly files) |

In addition to the above files, the Easy to Borrow (EZBR) file will also be retired effective April 2023. In lieu of this file, we encourage you to leverage our more robust options such as the locate tool within NetX360® as well as an API, both of which provide you with real-time share availability. Please note that penalty charges may be incurred by destinations receiving this file after April 2023.



---

## 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 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 Advent 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).

---

## Standard File Support

To provide you with a greater quality of service, we are very pleased to announce that our Data Delivery Group and Standard File Product Manager have merged into one group, Standard Files Operations. Please email [StandardFileOps@bnymellon.com](mailto:StandardFileOps@bnymellon.com) with any questions regarding configurations, file availability or file content. Our Technology Help Desk will continue to provide 24/7 support. For urgent issues, please contact the team on (888) 878-3142. 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.

---

## 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 Account Manager if you have any questions.

---

## Best Practices

We furnish record counts in the trailer record of each standard file. As a best practice, we recommend you reconcile the number of records you process to the record count in the trailer to ensure you are using all the records you receive.

Account Inclusion—Zero balance accounts will only be shown in the refreshed Customer Information (ACCF) file.

---

## 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 within NetX360.

---

## Service Center Requests

Netx360 Service Center provides a secure request channel into the Standard Files Support Team. Requests are normally completed within one business day of submission.

File requests are located under Administrative Services > Standard Files. The following Service Center Request categories are available:

- Add IBD to existing site (when appropriate)
- Add files to existing site—for SFTP and InfoDirect sites (Note: Network Data Mover clients should contact their Account Manager)
- Create new InfoDirect site
- Delete site
- Delete files from existing site
- Destination update form
- Swift messages



## 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 [standardfiles.pershing.com](http://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.

Please 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 to “*Not Used*” fields and new values are not subject to pre-announcement. Updates may also impact the number of records you receive.

## New Standard Files

| Form Name | File Name             | Description   |
|-----------|-----------------------|---|
| HLDR/U    | Holder Information    | This new file provides an enhanced holder and account participant information. This includes any non-U.S. tax ID number (TIN). Holder information is available as a weekly or monthly refresh and a daily update, change file. You may request this file through Service Center in NetX360. |
| LACD      | Last Account Activity | This new file helps you identify inactive accounts to simplify compliance with individual states’ abandoned property regulations. This file is available weekly on Friday evenings. You may request this file through Service Center in NetX360.  |

## Recent Standard File Updates

| Form Name              | File Name                           | Description  |
|------------------------|-------------------------------------|--|
| ACCF/T                 | Customer Information                | Email addresses are now for retirement beneficiaries, both primary and contingent. Please see the file layout for complete details. We have also updated the UGMA/UTMA Manner of Gift Indicator, position 262, to separate transfer by Fiduciary or Obligor into two separate values. Please see the layout for details.   |
| ASAT                   | Account Services Audit Trail        | Scheduled for March 2022, additional account updates will be captured in this file. The layout of the file is not changing; you will simply see additional accounts not previously captured.   |
| BPFD/F                 | Business Party                      | Several updates have been made to this file. A statement distribution indicator for institutional clients is now in Record A position 540, in the space previously defined as filler. The Prior firm Central Registration Depository (CRD) number has been added to Record A position 520. Lastly, Country of Incorporation or organization has been added to optional Record J position 393. All changes were made to space previously defined as filler. |
| GTDE/GSDE<br>GTOE/GTOL | Global Trade/Global Trade Order     | The error account for cancels and corrects has been added to Record A position 1149.   |
| MFTD                   | Mutual Fund Trade Date              | The error account for cancels and corrects has been added to Record C position 190.  |
| OEGL                   | Order/Execution Log Books & Records | A manual entry indicator has been added to Record B. Please see the file layout for full details.  |



## Upcoming Standard File Updates

| Form Name | File Name                           | Description   |
|-----------|-------------------------------------|---|
| POTL/PTLD | Open Tax Lots/Tax Lot Dispositions  | As announced in a recent Ops Update, the Cost Basis application is being updated. This update will cause both files to be late on the conversion weekend - date to be announced. Delivery times for both files may also be later than normal for a week following the conversion.   |
| GSDE/GTDE | Global Trades Intraday              | In order to bring the intraday trade message in line with the overnight files, we will be adding a step-in/step-out indicator.  |
| MASF      | Managed Account Billing Information | Now scheduled for Q2 2022, we will be updating this file to better support the institutional advisory business. The effect of this update will be to increase the number of C records. Some clients will experience a five-fold increase in the amount of data on this file.  |
| SETD/F    | Settlement Instructions             | We are adding a new mandatory record to support STEP, Execution Plus accounts. Currently planned for Q2 2022, Record G will provide settlement instructions for STEP accounts. Once the change is in production, the record will be included automatically for all clients with STEP accounts. 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 27, we will host a conference call for third-party service providers that aggregate data on behalf of our clients. The agenda, moderated by our 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.

## 2022 Holiday Processing Schedule

We follow the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the following dates in 2022:

|                        |          |   |
|------------------------|----------|---|
| May 30                 | Monday   | Memorial Day ( <i>*Exchange only holiday</i> )  |
| June 20 (Observed)     | Monday   | Juneteenth National Independence Day            |
| July 4                 | Monday   | Independence Day                                |
| September 5            | Monday   | Labor Day                                       |
| November 24            | Thursday | Thanksgiving Day                                |
| December 26 (Observed) | Monday   | Christmas Day ( <i>*Exchange only holiday</i> ) |

\*There are some exceptions, please see Standard File Processing on our [website](#).

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, configurations or standard file content, please email Standard Files Operations at [StandardFileOps@bnymellon.com](mailto:StandardFileOps@bnymellon.com). For urgent, after hours' 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 available on the [standard file layouts website](#).