

OPERATIONS Update

December 20, 2012

Fourth Quarter 2012 Standard File Update

This communication announces new standard files, revisions to existing files and related information. Use any of the links below to go to specific sections of the update.

- [New Files and Recent Standard File Updates](#)
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- [Retiring Standard Files](#)
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Standard file layouts can be downloaded at pershing.com/standard_files/layouts.html, a secured area of Pershing’s website. The page cannot be accessed from the Pershing.com home page or other areas of the site.

NOTE: Fields marked “Not Used” in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Though we may not be able to provide information in advance, we will announce changes as soon as possible.

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New GTOE file ([Page 1](#))

No new destination requests late December through early January ([Page 3](#))

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New Files and Recent Standard File Updates

Please see the standard file layouts via pershing.com/standard_files/layouts.html 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	A new field, Canadian Revenue Agency (CRA) Documentation, was added to Record M, position 295-314.
		<p>The following changes under the Financial Account Tax Compliance Act (FATCA) were added on December 10, 2012.</p> <ul style="list-style-type: none"> ▪ New, mandatory value types will begin to populate the existing Tax ID Type fields in Record B, position 041; Record G, position 600; and Record T, position 68. ▪ New fields were also added to filler in Record G, position 529-593; Record T, position 051-052; and Record X, position 717-749. <p>Please see the file layout for details.</p>
GTOE	Global Trades – Orders	This new file combines the Global Trade (records A and B) and Order/Execution Log for Books and Records (record C) files. It contains all trade-date trades that were processed (executed or cleared) through Pershing’s batch systems as of the previous business day, along with associated order data. The file accommodates both domestic and non-domestic transactions.

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New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION								
OELG	Order/Execution Log for Books and Records	Leaves Quantity for Partial Execution fields were added to Record C for equities/options (position 328-346), fixed income (position 292-310) and unit investment trusts (UITs) (position 316-334).								
POTL	Portfolio Open Tax Lots	<p>The following new fields were added on November 16, 2012, to Not Used space in Record A:</p> <ul style="list-style-type: none"> ▪ Security type, modifier and calculation codes (position 106-108) ▪ Average noncovered subtotal (position 137-154) ▪ Average covered subtotal (position 156-173) ▪ CUSIP[®] Level Default Disposition Method from Disposition Method Maintenance (position 175-176) <p>The following were added to Record B:</p> <ul style="list-style-type: none"> ▪ Original Quantity (position 335-352) ▪ Expanded Average Unit Cost (position 354-371) <p>NOTE: When the fields are added, the Not Used space format will change to numeric if it is currently alphanumeric; or alphanumeric if it is currently numeric.</p> <p>The following names were changed to more accurately describe each field's data.</p> <table border="0" style="width: 100%;"> <thead> <tr> <th style="text-align: left;"><u>Current Field Name</u></th> <th style="text-align: left;"><u>New Field Name</u></th> </tr> </thead> <tbody> <tr> <td>Cost Basis of Total Position</td> <td>Current Total Cost on Position Level</td> </tr> <tr> <td>Cost Basis of Individual Tax Lot</td> <td>Current Total Cost on Lot Level*</td> </tr> <tr> <td>Amortization Amount</td> <td>Original Adjusted Cost</td> </tr> </tbody> </table> <p>* The Current Total Cost on Lot Level field will display the current lot average cost, rather than the original cost for average cost positions. The original cost is found in the Original Cost field in Record B, position 311.</p> <p>Please review these changes in our test region to confirm whether you will continue with your current processing.</p>	<u>Current Field Name</u>	<u>New Field Name</u>	Cost Basis of Total Position	Current Total Cost on Position Level	Cost Basis of Individual Tax Lot	Current Total Cost on Lot Level*	Amortization Amount	Original Adjusted Cost
<u>Current Field Name</u>	<u>New Field Name</u>									
Cost Basis of Total Position	Current Total Cost on Position Level									
Cost Basis of Individual Tax Lot	Current Total Cost on Lot Level*									
Amortization Amount	Original Adjusted Cost									

IMPORTANT: The Pershing Account Closed Tax Lots (PACT) and Pershing Portfolio Evaluation System (PPES) standard files have been considered retired since the release of the POTL and Portfolio Tax Lot Disposition (PTLD) standard files in March 2011. (See [Retiring Standard Files](#) below.) With the above enhancements, Pershing is planning to turn off the PACT and PPES files at any time. If you have not yet migrated to the new files, please migrate immediately. Please contact Data Delivery for migration documents.

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New Remote Site Requests Temporarily Suspended

New requests for Network Data Mover (NDM) and FTP standard file remote sites may not be created from December 21, 2012 (11:59 p.m. [ET]/4:59 p.m. [GMT]), through January 4, 2013 (6 p.m. [ET]/11 p.m. [GMT]). Requests for new InfoDirect sites will continue to be executed. New files may not be added to your NDM destinations during this period, although existing files may be deleted. We will continue to honor requests to both add and delete files from your existing FTP and InfoDirect FTP destinations. You may also continue to update extract criteria on all of your existing destinations.

Retiring Standard Files

To comply with stricter regulations surrounding data privacy, we are aggressively terminating retired files that contain personal data. Retiring 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 retired file's announced retirement date. **Retired files can STOP transmitting ANY time after the termination date.**

RETIRING FORM NAME	RETIRING FILE NAME	RETIREMENT ANNOUNCED	TERMINATION DATE (anytime after)	REPLACEMENT FORM NAME	REPLACEMENT FILE NAME
DESC	Security Description – Domestic	December 2008	January 31, 2012	ISCA	Security Description – International and Domestic
IADF	IBD Available Download	October 6, 2011	To be determined	MASF	Account Billing
MAFB	Managed Account Fee Billing	October 6, 2011	To be determined	MASF	Account Billing
PPES	Portfolio Activity	June 24, 2011	November 30, 2012	POTL	Portfolio Open Tax Lots
PACT	Portfolio Holdings	June 24, 2011	November 30, 2012	PTLD	Portfolio Tax Lots Disposition
TRDE	Trade File	2007	To be determined	GTDE	Global Trade

Standard File Holiday Processing

Pershing follows the New York Stock Exchange[®] (NYSE[®]) holiday schedule and will not run batch processing Tuesday, December 25, 2012 (Christmas Day), and the following 2013 dates:

- Tuesday, January 1 New Year's Day
- Monday, January 21 Martin Luther King Day
- Monday, February 18 President Day
- Friday, March 29 Good Friday

With some exceptions (below), files will not be processed on any of these evenings or the following mornings.

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Standard File Holiday Processing (continued)

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.

Files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the Transfers (ACA2), Annuity and Insurance Commission Data (ASPC), Subscription Products Financial Activity (ASPF), Cost Basis Reporting Service (CBRO), EZBR and Mutual Fund Dealer Agreements (MFDA) standard files.

Friday Holidays

For a Friday holiday, any files scheduled to run or refresh on Fridays will be sent instead with the batch cycle that is run on the preceding Thursday.

Due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the following will not be delivered until Saturday morning: Equity Dividend Reinvestment Election (DVRE), the Pershing Custody Administrative System (PCAS) files (PTD1, PTD2, PTD3 and PTD6) and Receive and Deliver Master (RADM).

Exception Notes

It is especially important to note the run date in file headers, as the date of the data does not change on holidays.

- The Audit Trail Report (NSAT) runs 365 days per year.
- The Household Group (HHLD) runs Monday-Friday, regardless of holidays.
- The Mutual Fund Prospectus (MFPF) and the NetExchange User Report (MTEN) files will run on NYSE holidays.

Additional Information

Contact your home office or Pershing Account Manager to add or remove any individual from the distribution of future standard file updates. Please consider replacing your individual e-mail address with a group e-mail address in your firm's distribution list at Pershing to ensure that these updates will not be missed by key members of your department.

Please share the above information 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 questions, please contact Pershing's Technology Help Desk at (888) 878-3142, option 4, or (732) 622-2150 from outside the United States.

Copies of this update and recent updates are posted on the [standard file layouts website](#) and can also be accessed below.

- [Third Quarter 2012 Update](#)
- [Second Quarter 2012 Update](#)
- [First Quarter 2012 Update](#)