

December 24, 2013

## Fourth Quarter 2013 Standard File Update

This communication announces new standard files, revisions to existing files and other standard file related information.

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Standard file layouts can be downloaded via [pershing.com/standard\\_files/layouts.html](http://pershing.com/standard_files/layouts.html), which links to a secured area of Pershing’s website. The page cannot be accessed from any area of Pershing.com nor found through an Internet search.

**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.

**In this issue:**

- ACCF/T updates and new BPF file for business party data (page 1)
- Year-end freeze (page 4)
- Holiday schedule (pages 4–5)

*If you have questions, please send an e-mail to [datadelivery@pershing.com](mailto:datadelivery@pershing.com).*

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

## New Files and Recent Standard File Updates

Please 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 effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Optional records “N” and “O” containing business party information were added December 7, 2013. The records may be requested through Service Center.  Record C will include Bond Election request for cost basis reporting please see the file layout for details.
BPF/D/F	Business Party Information Files	NEW The file contains party role identities and can be used in conjunction with the “N” and “O” records in the ACCF/T files. Please see the file layout for details.
CHIL	DTCC Chilled File	Pershing has added International Securities Identification Number (ISIN) (when available) to space previously defined as filler.
CMAR	Combined Margin Accounts	NEW This file is designed to display roll-up accounts and related accounts.
CRMA/ICRM	CRM Activity	NEW The CRMA file is created nightly and reflects any CRM data changes in an account. The ICRM file is sent with CRMA on the first night to establish a baseline.

## New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION										
F220	Firm Trading Cost of Carry	NEW The data version of the Daily Cost of Carry Report (FT220) file, this file is created on a nightly basis and reports daily income and expense associated with the maintenance (financing) of a settled position.										
F230	Firm Trading MTD Cost of Carry	NEW A month-to-date (MTD) version of the FT220 file, this file is created on a nightly basis and lists daily figures for each security.										
GTDE/GSDE	Global Trades	Bunched trade and confirm print indicator fields were added to filler in Record A.										
GTOE	Global Trades-Orders	This file is a combination of the GTDE file and Record C of the Order Execution Log for Books and Records (OELG) file. Both were updated with bunch trade and confirm print indicators, which were added to filler.  We also appended additional books and records information to Record C and a source system user ID.										
ISCA	Security Descriptions	For greater accuracy, assets were reclassified on September 1, 2013. Many minor product codes were updated; please see Appendix B for more information.										
MFPF	Mutual Fund Prospectus Fulfillment File	Pershing has made enhancements to this file to fully reflect prospectus fulfillment.										
M12B	Monthly 12B1	A new source code, "/52," has been added to designate 529 accounts.										
OATS	Order Audit Trail System Reporting File	NEW This file details reporting sent to the FINRA® Order Audit Trail System (OATS™).										
OPTX	Option Exercise and Assignment Monthly	As <a href="#">previously communicated</a> , to accommodate a <a href="#">schedule change</a> for processing expired options, this file will be made available on and will be dated the Saturday, rather than the Sunday, of the expiration weekend.										
ORDS	Open Orders	An External Client ID field was added to existing filler in Record D.										
PTLD	Portfolio Tax Lot Dispositions	New fields, Original Prorated Cost and its sign (i.e., field containing values "+," "-", and "N/A or zero"), and Return of Capital Adjustment Amount and its sign were added in what was previously unused space. Two other fields, Additional Amount and its sign, were replaced by Original Quantity and its sign.  The following fields have been renamed to better clarify their usage:  <table border="0"> <thead> <tr> <th><u>Original Name</u></th> <th><u>New Name</u></th> </tr> </thead> <tbody> <tr> <td>Net Amount</td> <td>Realized Gain/Loss (position 108–125)</td> </tr> <tr> <td>Gross Amount</td> <td>Proceeds of the Closing Transaction (position 127–144)</td> </tr> <tr> <td>Original Cost</td> <td>Original Total Cost (position 436–453)</td> </tr> <tr> <td>Cost of Acquisition</td> <td>Current Cost (position 527–544)</td> </tr> </tbody> </table>	<u>Original Name</u>	<u>New Name</u>	Net Amount	Realized Gain/Loss (position 108–125)	Gross Amount	Proceeds of the Closing Transaction (position 127–144)	Original Cost	Original Total Cost (position 436–453)	Cost of Acquisition	Current Cost (position 527–544)
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## New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
RDM1/RDM2	Receive and Deliver Master	<p>NEW</p> <p>The Receive and Deliver (Version 2) standard file (RDM1 and RDM2) is created in batch and contains clearance open items: institutional and street side trades, asset transfers (ACATs) and retail instructions in U.S. or non-U.S. dollars. Data in this file relate to DTC, Federal Reserve or international settlements. It also includes DTC ID status, delivery reclaim comments and exposure.</p> <p>RDM1 is sent before PDQ (Pre-Determined Order Quantity), at approximately 2 a.m. (ET), and RDM2 is sent following PDQ, after 3 a.m. (ET).</p> <p>Record A is for active items, and Record B represents all clean or cancelled items. RDM1 uses only record A, while RDM2 uses both A and B records. No records are optional.</p>
SELI	SelectLink <sup>®</sup>	The file has been expanded to accommodate the growth of SelectLink, a service that consolidates household accounts that share the same mailing address. This may result in a slightly later delivery time each month.

## Upcoming Standard File Enhancements

Please see the standard file layouts for details.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	<p>To comply with new industry regulations, Pershing is making changes to the return mail information in Record C on January 18, 2014.</p> <p>Projected for delivery in March 2014, change records for updates to existing accounts will reflect all records for the account, not only the records that were updated.</p>
ISCA	Security Descriptions	Effective January 17, 2014 a taxable indicator will be added to Record C.

## Service Provider Quarterly Forum

On Wednesday, January 15, 2014, Pershing will host a conference call for third-party service providers who aggregate data on behalf of Pershing 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 shortly.

## File Encryption Changes

As previously announced, to better secure nonpublic private information transmitted through standard files, Pershing has ceased accepting new transmission requests for unencrypted FTP, and unencrypted FTP with PGP, over Port 21. As of September 2, 2013, the following options are now available:

- SFTP (SSH) or FTPS (SSL/TLS)
- SFTP (SSH) with PGP, or FTPS (SSL/TLS) with PGP, for Internet
- Router Encryption for VPN and Dedicated Circuit transmissions

## 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 22, 2013 (11:59 p.m. [ET]), through January 10, 2014 (6 p.m. [ET]). 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

Due to stricter data privacy regulations, we are aggressively terminating retired files containing personal data. The 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 file's retirement date. **Failure to do so may result in additional standard file-related charges to your firm. Retired files can stop transmitting and penalty charges may apply any time after the dates indicated.**

RETIRING FORM	RETIRING FILE	RETIREMENT ANNOUNCED	PENALTY CHARGES MAY APPLY	TERMINATION DATE	REPLACEMENT FORM	REPLACEMENT FILE
DESC	Security Description—Domestic	December 2008	March 31, 2013	January 31, 2012	ISCA	Security Description—International and Domestic
IADF	IBD Available Download	October 6, 2011	To be determined	To be determined	MASF	Account Billing
MAFB	Managed Account Fee Billing	October 6, 2011	October 6, 2014	October 6, 2014	MASF	Account Billing
RADM	Receive and Deliver Master	July 2013	July 2014	To be determined	RDM1 and RDM2	Receive and Deliver
TRDE	Trade Date Trades—Domestic	2007	March 31, 2013	March 31, 2014	GTDE	Global Trade Date Trades
TRDS	Settlement Date Trades—Domestic	March 2013	April 1, 2014	March 31, 2014	GSDE	Global Settlement Date Trades

## Standard File Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and, with some exceptions, **will not run batch processing the evening of or the morning after the following dates:**

- Christmas Day (December 25, 2013)
- New Year's Day (January 1, 2014)
- Martin Luther King, Jr. Day (January 20, 2014)
- Presidents Day (February 17, 2014)

## Standard File Holiday Processing (continued)

**Exceptions.** Please 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, regardless of holidays.
- The Household Group (HHLG) runs Monday-Friday, regardless of holidays.
- The Mutual Fund Prospectus (MFPF) and the NetExchange User Report (MTEN) files will run on NYSE holidays.

**Monday holidays.** Any weekly files scheduled to run on a Monday will be sent with the batch cycle run on Tuesday morning. This includes the Identification Management (IMSF) file. Further, any 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), Easy to Borrow (EZBR) and Mutual Fund Dealer Agreements (MFDA) files.

**Friday holidays.** If the holiday falls on a Friday, any files scheduled to run or refresh on Fridays will be sent with the batch cycle run on the preceding Thursday. Because Thursdays preceding a Friday holiday are treated as a Friday, files that would normally deliver Friday data on Monday morning, will deliver Thursday data on Monday morning. This applies to such files as Account Transfers (ACA2) and Easy to Borrow (EZBR).

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## Additional Information

Contact your home office or Account Manager to add or remove any recipients from 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 key members of your department receive these updates.

Please share the above with the service providers that process standard files on your behalf. Service providers should contact Pershing's Data Delivery Group at [datadelivery@pershing.com](mailto:datadelivery@pershing.com) to request changes to their distribution lists.

If you have any questions regarding standard file delivery and configurations, send an e-mail to [datadelivery@pershing.com](mailto:datadelivery@pershing.com). Regarding content, contact Standard Files Project Management at [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com) or call Pershing's Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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