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December 11, 2014

Fourth Quarter 2014 Standard File Update

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

- New Files and Recent Standard File Updates
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Standard file layouts can be downloaded via pershing.com/standardfiles/layouts.html, which links to a secured area of Pershing's website. The page cannot be accessed from any area of Pershing.com.

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New Alternative Investment Record

ISCA New SEDOL Record

Annual Freeze

If you have questions, please send an e-mail to datadelivery@pershing.com or standard.files.pms@bnymellon.com

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

NOTE: Fields marked "Not Used" in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Not all updates are provided in advance, but all will be announced as soon as possible.

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	New data on proprietary accounts has been added to Record W in position 178 in space formerly designated "Not Used." Securitization information has been added to Record 4 starting in position 557 in space formerly designated "Not Used." See file layout for full details.
ASPC, ASPF, ASPO	Subscription Products	On September 26, 2014, the DTCC made regular updates to its layouts that are embedded in our listed annuity standard files. DTCC records enable insurance carriers to send back details regarding the beneficiaries on the contract or policy. Contact Data Delivery at datadelivery@pershing.com for the updated DTCC record information.
BPFD/F	Business Party Information	Pershing added Alternative Related Rep Code to Record F and a VIP indicator to Record I. See file layout for full details.
CKFF	Check and Federal Funds Detail	Pershing is no longer updating the sequence number scheme in this file as described in a previous mailing. We apologize for any confusion.
GOTX, GTOE, OELG	Global Open Order and Execution, Global Trades-Orders Order/Execution Log Files	Record C has been updated to allow for alternative investment orders. See the individual file layout(s) for specifics on this updated record. Note that this record will only be included when there are orders for alternative investment products.

New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
GTDE/GSDE	Global Trades Files	Several new fields have been added. ▪ Discretion Exercised has been added to position 358 in Record A. ▪ FX forward information has been added to position 360 in Record A. ▪ Trade Area ID has been added to position 193 of Record A. ▪ CMTA indicator to position 1078 of Record A. All new data points have been added to space previously designated “Not Used.” See file layout for full details.
GTOE	Global Trades—Orders	A new field, Investment Professional (IP) of Record, has been added to Record C position 1246. A new field, Trade Area ID, has been added to position 193 of Record A. Both new fields are in space previously designated “Not Used.” See file layout for complete details.
ISCA	Security Descriptions	On October 24, 2014, Pershing changed the layout of the Factor Multiplier to 9(06)v9(12) to prevent truncation. Pershing has created a new optional Record K, which provides information on SEDOL numbers. This record is available in test and production and may be requested through Service Center > Administrative Services > Standard Files > Add Files to Existing Site. A new field, Year Covered Under Cost Basis Rules, was added to Record F position 128 in space previously designated “Not Used.” See file layout for full details.
MFDS	Mutual Fund Description	Pershing has added a Retirement Plan Network Eligibility indicator in position 364. This space was previously designated as filler.
NSAT	Client User ID Audit	Pershing added the First and Last Name During ID Creation for NetXInvestor® Client IDs. To align with the new fields, First Name and Last Name data has been added to the NSAT file to aid in tracking additions, changes and deletes in this file. See the file layout for full details on these new fields. To aid processing, in July 2014, additional chronological sorting was added to records in this file, previously sorted only by account number.

Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Scheduled for release in 2015, external bank information fields will be added to Record M in space currently defined as “Not Used.” See the file layout for full details.
POTL/PTLD	Portfolio Open Tax Lots/ Portfolio Tax Lot Dispositions	The POTL and PTLD standard files have been enhanced to address cost basis reporting requirements. Please refer to this communication for details.

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Service Provider Quarterly Forum

On Wednesday, January 21, 2015, 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.

New Remote Site Requests Temporarily Suspended for Annual Freeze

New Network Data Mover (NDM) and File Transfer Protocol (FTP) standard file remote site requests may not be created starting Friday, December 19, 2014, through Friday, January 9, 2015. However, 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 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 <u>any time after</u> 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
MAFB	Managed Account Fee Billing	October 6, 2011	October 6, 2015	October 6, 2014	MASF	Account Billing
RADM	Receive and Deliver Master	July 2013	July 2014	To be determined	RDM1 or RDM2	Receive and Deliver
TRDE	Trade Date Trades—Domestic	December 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 on the evenings or the following mornings of these dates:**

<u>2014</u>

- Christmas (Thursday, December 25)

Standard File Holiday Processing (continued)

2015

- New Year's Day (Thursday, January 1)
- Martin Luther King (Monday, January 19)
- Presidents' Day (Monday, February 16)
- Good Friday (Friday, April 3)
- Independence Day (Friday, July 3)
- Labor Day (Monday, September 7)
- Thanksgiving Day (Thursday, November 26)
- Christmas (Friday, December 25)

Therefore, standard files, with the noted exceptions, will not be created or sent to you for any of these days.

Additionally, for the listed holidays that fall on a Monday, any weekly files scheduled to run on a Monday will be sent instead with the batch cycle that will be run on Tuesday. This includes the Identification Management (IMSF) file.

Furthermore, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the following active standard files: Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Mutual Fund Dealer Agreements (MFDA) and Receive and Deliver Master (RDM1 and RDM2).

Exception Notes: Note the run date in file headers, as the date of the data does not change on holidays.

- The CRM Daily Activity (CRMA) and the Audit Trail Report (NSAT) files do not follow holiday processes. They run 365 days per year.
- The House Hold Group (HHLD), Net Exchange User Report (MTEN) and the OATS Audit Trail Reporting (OATS) files do not follow holiday processes. They run on their schedule, regardless of whether it is a holiday.

It is important to note the run date in the header of these files as the date of data does not change on holidays.

Monday Holidays: Any weekly files scheduled to run on a Monday will be sent with the batch cycle to be run on Tuesday morning. This includes the Identification Management (IMSF) file.

Additionally, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the following active standard files: Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Mutual Fund Dealer Agreements (MFDA) and Receive and Deliver Master (RDM1 and RDM2).

Friday Holidays: Any files scheduled to run or refresh on Fridays will be sent instead with the batch cycle that is run on the preceding Thursday.

Because Thursdays that precede holiday Fridays are treated as a Friday, files that would normally deliver Friday data on Monday a.m., will deliver their Thursday data on Monday a.m., not Friday a.m. This applies to files such as Account Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Loan Advance (LADV), Mutual Fund Dealer Agreements (MFDA) and Receive and Deliver Master files (RDM1 and RDM2).

Also, due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the following standard files will not be delivered until Saturday morning: Bondworks Account Tax Lots (BWTL), Equity Dividend Reinvestment Election (DVRE), the PCAS Files (PTD1, PTD2, PTD3 and PTD6) and Required Minimum Distribution (RMIN).

Additional Information

Contact your home office or Account Manager to add or remove any recipients from future standard file updates. 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.

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 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. Regarding content, contact Standard Files Project Management at 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.