

December 17, 2015

Fourth Quarter 2015 Standard File Update

This communication announces standard file information on the below topics:

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For more information, please email datadelivery@pershing.com or standard.files.pms@bnymellon.com.

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

Standard Files Website

Standard file layouts can be downloaded [here](#), which is a secured area of Pershing's website. The page cannot be accessed from any area of pershing.com. Note that 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.

We recently made improvements to this site. Files are now indexed alphabetically. Reference documents, such as file appendices, now have their own tab, as do intraday files. Comments and feedback regarding the site enhancements may be sent to datadelivery@pershing.com.

We have also enhanced this quarterly update, with links to the individual files. Simply click on the file name to access the file layout. We hope you enjoy the added convenience.

New Files

These files may be requested through this Service Center path: *Administrative Services > Standard Files > Add Files to Existing Site.*

Managed Investments

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
MAAT	Managed Account Automated Turnover	The Managed Account Automated Turnover file (MAAT) contains information regarding account turnover details of managed accounts that are processed within the Managed Investments (MI) platform's Automated Turnover function. A full file is sent nightly.

Brokerage

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
SRSI	Scheduled Instructions	Contains the systematic instruction detail for accounts that have scheduled buys, sells or exchanges. The file contains the instructions including, but not limited to, account, CUSIP®, quantity, transaction amount, applicable dates and more. A full file is created nightly.

Recent Standard File Updates

Refer to 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 immediately and projected changes include effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Due to regulatory changes, Position 696 in Record C "Treat All Interest as Original Issue Discount" (OID) is no longer valid and is reverting to filler.
CKFF	Check and Federal Fund Details	Two new optional records have been added, M and N, which address NON USD wires coming from Asset Movement. Each M record will have a corresponding N record.
GOTX/GTOE/OELG	Global Open Order and Execution/Global Trades—Orders/Order/Execution Log for Books and Records	Record C has been updated to allow for unit investment trust 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 unit investment trust products.
ISCA	Security Description	A new optional record has been added. Record L provides information on primary and secondary market status.

Upcoming Standard File Updates

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
AMSI	Asset Movement Standing Instructions	Scheduled for release in 2016, two optional records are being added to this file. New values will also be added.
OORD	Open Orders—Books and Records	<p>Scheduled for production in first quarter 2016, Pershing is updating this file to include orders entered in:</p> <ul style="list-style-type: none"> ▪ ATOMS ▪ GLTrade ▪ Liquid Point ▪ Neovest ▪ RealTick ▪ TCMS ▪ UTF ▪ FOMS ▪ Cape Logic <p>Previously, this file only contained orders entered through ATOMS. Position 22 will have additional values to reflect these new source systems. Record C has been expanded to support additional products such as fixed income, alternative investments and other products. Each product will have a different Record C.</p>
ISCA	Security Description	<p>The Market Status Code will be removed from Record C Position 17 and this will revert to filler. See the file layout for full details. Request Record L if you wish to continue receiving this information.</p> <p>Many clients currently receive a daily update and weekly refresh of this file. Beginning Tuesday, March 1, 2016, everyone will get the full file daily. Once the transition is complete, your ISCA may be slightly larger on a daily basis and you will no longer see the word Update in the header and trailer. Instead, you will see the word Refreshed. If you don't wish this change to be implemented, please inform Pershing before March 1, 2016.</p>

Upcoming Standard File Updates (Continued)

NSAT	Client User ID Audit File	Effective Sunday February 7, 2016, Sunday morning delivery schedule will change to be delivered at approximately 8:30 a.m. (ET) instead of the current time of approximately midnight (ET). This affects Sunday morning deliveries only; all other days will retain the current delivery time.
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Service Provider Quarterly Forum

On Wednesday, January 13, 2016, 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. A short survey will be distributed after the meeting.

Temporary Annual Freeze

New Network Data Mover (NDM) and File Transfer Protocol (FTP) standard file remote site requests may not be created starting Friday, December 18, 2015, through Friday, January 8, 2016. 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 extract criteria on all of your existing destinations.

Year-end Processing

The Required Minimum Distribution File (RMIN) will be re-sent at year's end. Therefore, the files from January 4 to January 6, 2016, will include data from December 31, 2015. On January 7, 2016, the file will contain data for 2016 only.

Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange[®] (NYSE[®]) and will not run batch processing on the upcoming holidays:

2015

- Christmas (Friday, December 25)

2016

- | | |
|---|---|
| <ul style="list-style-type: none"> ▪ New Year's Day (Friday, January 1) ▪ Martin Luther King Jr. Day (Monday, January 18) ▪ President's Day (Monday, February 15) ▪ Good Friday (Friday, March 25) ▪ Memorial Day (Monday, May 30) | <ul style="list-style-type: none"> ▪ Independence Day (Monday, July 4) ▪ Labor Day (Monday, September 5) ▪ Thanksgiving (Thursday, November 24) ▪ Christmas (Monday, December 26) |
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Standard files will not be processed on any of these evenings or the following mornings.¹

¹ Exceptions: The CRM Daily Activity (CRMA) and the Audit Trail Report (NSAT) files run 365 days per year, regardless of holidays. The House Hold Group (HHLG), Net Exchange User Report (MTEN) and OATS Audit Trail Reporting (OATS) files run on their particular schedule, regardless of holidays. The Mutual Fund Prospectus File (MFPF) will run on Exchange holidays.

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.

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 Holiday

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

Because Thursdays that precede Friday holidays are treated as Fridays, files that would normally deliver Friday data on Monday morning, will deliver their Thursday data on Monday morning. 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).

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).

Exchange Holiday

On Friday, March 25, banks will be open while the NYSE will be closed. Any bank activity that occurs on March 25 will appear in the files sent out with the batch run on March 28. This affects banking files such as the ACAM Fund Activity (ACTV), ACAM Fund Balances (FUND), Omnibus FUND Balances (FUNO) and Projection of Systematic Withdrawal (PSWF) standard files.

Bank Holiday

Banks will be closed while the NYSE remains open on the following holidays:

- Columbus Day (Monday, October 10)
- Veteran's Day (Wednesday, November 11)

Therefore, banking related files such as ACAM Fund Activity (ACTV), Subscription Products Commissions (ASPC), Bank Activity AM (BAAM) and Projection of Systematic Withdrawal (PSWF) will contain only headers and trailers for them. Please expect these file(s) to be empty and process them accordingly.

Additionally, the ACAM Fund Balances (FUND) and Omnibus FUND Balances (FUNO) files will go out on these dates with the same data from their previous batch run.

Note that trades do not settle on bank holidays. This can affect the size or content of many files, such as the daily Commission and Payout System (CAPS) file, the Settlement Date Trades (GSDE) file and other files that include settlement-date trade information.

Because there is no sweep, check deposit/disbursement, or federal fund wire processing on bank holidays, the Check and Federal Fund Detail (CKFF) file and other standard files that detail such activity will be smaller on these bank holidays.

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. Pershing offers migration documents upon request to assist in your programming. 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
GOTX	Global Open Order and Trade Execution	April 2015	April 30, 2016	April 30, 2016	GTOE	Global Trade and Order Details
RADM	Receive and Deliver Master	July 2013	July 2014	November 30, 2015	RDM1 and 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

Additional Information

Contact your home office or Account Manager to add or remove any recipients from future standard file updates. Consider replacing your individual email address with a group email 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](#) to request changes to their distribution lists.

If you have any questions regarding standard file delivery and configurations, contact Pershing’s [Data Delivery Group](#). Regarding content, contact [Standard Files Project Management](#) or call Pershing’s Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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