

December 15, 2016

Fourth Quarter 2016 Standard File Update

This communication provides standard file information on the below topics.

- [Retiring Standard Files](#)
- [Recent Standard File Updates](#)
- [Upcoming Standard File Enhancements](#)
- [Year-end Processing](#)
- [Real Time Stock Locate API](#)
- [NetX360® Alerts](#)
- [Service Provider Quarterly Forum](#)
- [Holiday Processing](#)
- [Additional Information](#)

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.

Of particular importance in this issue are the Department of Labor (DOL) Conflict of Interest rule compliance files and updates, the new Movement of Market Status Code field in ISCA, a new Optional Record in the SPAT file, and an update to the MTEN file header and trailer.

Standard File Website

Standard file layouts can be downloaded via http://files.pershing.com/standard_files/layouts.html. 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. **We reserve the right to use these fields at any time.** Updates are not always provided in advance, but 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 may be sent to datadelivery@pershing.com.

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. Migration documents are available upon request to assist in your programming.

We are actively stopping the transmission of these files and penalty charges may apply if you do not migrate to the replacement file within one year of its retirement date.

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
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

Recent Standard File Updates

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 target dates.

Form Name	File Name	Description
ASPC ASPF ASPO	Subscription Products	Effective September 22, 2016, the DTCC made regular updates to its layouts that are embedded in our listed annuity standard files. DTCC records enable insurance carriers to send details regarding the beneficiaries on the contract or policy. Contact Data Delivery for the updated DTCC record information.
EBSF	Enterprise Billing Standard File	The following fields were added to existing filler: <ul style="list-style-type: none"> ▪ Record B, 172-189: Amount Contributed ▪ Record B 190-190: Amount Contributed Sign; values include: “+” = Positive amount “-” = Negative amount “” = Not Applicable
FATC	Foreign Account Tax Compliance	The definition of the field in position 1,888 was expanded to include the following: 16/42 - GIIN NUMBER OF SPONSORING ENTITY, in either Part IV, 16 or Part XXVIII, 42
GTOE	Global Trades-Orders File	The Pershing Internal Trade Reference Number was added to Record C, position 1026-1045 in space previously designated as filler. This matches the value in Record A, position 063-082.
ISCA	Security Description	The Market Status Code was removed from Record C, position 17, and reverted to filler. Please request Record L if you wish to continue receiving this information. New values for Dividend Reinvestment will be added to Record B, position 79.
MFPF	Mutual Fund Prospectus File	A new optional record, Record B, containing additional physical and email address information is available for your request via Service Center.
OELG	Orders and Executions	A field for the breakpoint that is applied to an execution will be added to the UIT section.
OORD	Open Orders File	This file has been updated to include orders entered in: <ul style="list-style-type: none"> ▪ ATOMS ▪ GL Trade ▪ LiquidPoint ▪ Neovest ▪ RealTick ▪ TCMS ▪ UTF ▪ FOMS ▪ CapeLogic Previously, this file only contained orders entered through ATOMS. Position 22 will have additional values to reflect these new source systems. Additionally, Record C has been expanded to support additional products such as fixed income, alternative investment and other products. Each product has a different C Record.
SBAC	Subscriber Cross-Reference	A new field, Account Nickname, was added to filler in Record A.
SPAT	Security Profiles File	A new optional record, Record S, containing information on the last time a user ID was used is available for your request via Service Center.

Upcoming Standard File Enhancements

Form Name	File Name	Description
ACCF/T	Account Services	Two new fields, Self-directed Indicator and Digital Advice Indicator have been added to Record B, position 360.
AMSI	Asset Movement Standing Instructions	Scheduled for release this year, two optional records are being added to this file. Once they become available, they may be requested through Service Center. Additionally, new field values are being added to this file.
DOLF/DOLD	Department of Labor Information	Two new files, a weekly full and a daily update, addressing the DOL Conflict of Interest rule, are expected in Q1 2017. The files will provide records for the accounts using the Best Interest Contract Exemption indicators.
MTEN	Subscriber Enrollment Information Activity	We will remove the word “refresh” from both the header and trailer of this file, as the file is an activity file that does not fit into the Refresh category.

Year-end Processing

Temporary NDM and FTP Freeze

New Network Data Mover (NDM) and File Transfer Protocol (FTP) standard file remote site requests cannot be created from Friday, December 16, 2016, through Friday, January 6, 2017, based on time zone. 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.

RMIN File

The Required Minimum Distribution File (RMIN) containing the final 2016 information will be sent on January 3, 2017. It will not be delivered on January 4 or January 5. The file containing 2017 data only will start being delivered on January 6.

Real Time Stock Locate API

This is an alternative to the EZBR file that offers several enhancements. Using the web-based Locate API, you can generate locate requests for easy- and hard-to-borrow securities and receive approvals in real time. This function can be integrated directly with your E/OMS, bringing the process of locating and executing a short into one platform. Contact the Securities Lending team at StockLoanLocates@pershing.com for more information.

NetX360 Alerts

NetX360 now includes Standard Files Alerts to notify users if file transmissions will be delayed. The below entitlements are available for these alerts. Alerts can be received via email or text message. Review the *Subscribe Users to Standard File Alerts* Task Reference on NetX360's Resources page for instructions about how to set up alert subscriptions.

BFE Number	Catalog Type	Category	BFE Name	Access Level	BFE Description
16922	Functional	Tools	Alert—Standard file	Add and Update	Allows a user to set up standard file alerts for users that should be notified of standard file delays.
16923	Functional	Tools	Alert—Standard file	Browse	Allows a user to receive standard file alerts as set up by the standard file alerts administrator (BFE 16922).

Service Provider Quarterly Forum

On Wednesday, January 18, 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 this quarterly update, including a discussion of the DOL Conflict of Interest rule. Invitations will be sent to all eligible providers shortly. A short survey will be distributed after the meeting.

Holiday Processing

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

2016

- Christmas Day Observance (Monday, December 26)

2017

- New Year's Day Observance (Monday, January 2)
- Martin Luther King Jr. Day (Monday, January 16)
- Monday, Presidents' Day (Monday, February 20)
- Friday, Good Friday (Friday, April 14)
- Memorial Day (Monday, May 29)
- Independence Day (Tuesday, July 4)
- Labor Day (Monday, September 4)
- Thanksgiving Day (Thursday, November 23)
- Christmas Day (Monday, December 25)

Standard files will not be processed on any of these evenings or the following mornings.¹

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 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 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).

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)

Exchange Holidays

On Friday, April 14, banks are open while the NYSE is closed, so any bank activity that occurs on that day will appear in the files sent out with the batch run on the following business day, April 17. This affects banking files such as the ACAM Fund Activity (ACTV), ACAM Fund Balances (FUND), Omnibus FUND Balances (FUNO), Global Customer Position Bank Custody (GCS1) and Projection of Systematic Withdrawal (PSWF) standard files.

Bank Holidays

Banks will be closed while the NYSE remains open on Columbus Day, Monday, October 9. 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.

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 days.

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 our 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 email to datadelivery@pershing.com. Regarding content, contact Standard Files Project Management at standard.files.pms@bnymellon.com or call our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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