



January 11, 2018

Fourth Quarter 2017 Standard File Update

This communication provides standard file information on these 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.

Destination Extract Criteria Upgrade

BNY Mellon's Pershing is pleased to announce a major enhancement to Standard File Delivery Infrastructure (SFDI) Destination Extract Criteria in NetX360[®]. So you can better administer the files delivered to your users, we have added the file descriptions in addition to the four-character acronym. We have also added a link to the standard file website so you can easily obtain details on the data provided in each standard file.

Scheduled for production in early 2018, the Destination Extract Criteria system will generate notifications if you attempt to configure a standard file at a level the file does not accommodate.

For example, if you configure a file for a single account, but the file can only produce data at the office level, the SFDI system will generate a message stating "File(s) cannot be configured at the Account Level." Note that you may still be able to process the change, but you should consider revising the configuration to ensure you do not receive more or less data than you require. Contact datadelivery@pershing.com with any questions.

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.

New File Delivery System

In the coming months, we will migrate to a new file delivery system. This will affect all Sterling File Transfer Protocol (FTP) clients and InfoDirect FTP users. Network Data Mover clients will not be affected. Click [here](#) for technical details. As part of this change Pershing will no longer support uncompressed files. FTP files will be zipped. InfoDirect files will not be compressed. As this migration progresses individual firms will be contacted directly.



New Files

You can request files via Service Center path: *Administrative Services > Standard Files > Add Files to Existing Site.*

Form Name	File Name	Description
SETD/SETL	Security Settlement Instructions	The Security Settlement files display all Security Settlement Instruction options for accounts.
RTEN	Enrollments	RTEN is a full file, which contains only records B, C, D and E, and runs on Monday mornings, on request. It is recommended that RTEN be received at the outset, one time, to establish a baseline of information.

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
ISCA	Security Information File	Two optional records, M and N, have been added. These new records provide upcoming call date and coupon interest rate schedules. A Variable Rate Category Code has been added to position 127, Record J. A new field, Option Exercise Pricing Model Code, has been added to Record I, position 89, in space previously defined as filler.

Upcoming Standard File Enhancements

Form Name	File Name	Description
ACCF/ACCT	Customer Information File	New fields will be added to Record A and Record H in support of the Vulnerable Adult FINRA regulation. Trusted Contact Status will be added to record A, position 696, and Vulnerable Adult Indicator will be added to record H, position 747. The availability date of these new fields has not been determined.
GTOE	Global Trades/ Order File	Order Capacity Principal Agency Code is being added in Record C, position 1051, in space previously defined as filler.
GTDE/GSDE /GTOE /ORDS	Global Trade Settlement/ Global Trade/ Orders/ Open	To support new MIFID and CAT requirements, order and execution times are being expanded to include milliseconds. This change is using space previously defined as filler and will be in production soon.

New Appendices

Two new appendices have been added. They are Appendix 7 Par and MAXX Key Codes and Appendix 8 Source Codes. See our website for complete details.

Ops Forum

Standard file updates will be a discussion topic in an upcoming Ops Forum call. Watch for an email invitation.



Service Provider Quarterly Forum

On January 31, Pershing will host a conference call for third-party service providers who aggregate data on behalf of our 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 soon. A brief survey will be sent after the meeting.

2018 Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the dates below in 2018:

- Monday, January 15—Martin Luther King Jr. Day
- Monday, February 19—Presidents’ Day
- Friday, March 30—Good Friday ([Exchange-only holiday](#))
- Monday, May 28—Memorial Day
- Wednesday, July 4—Independence Day
- Monday, September 3—Labor Day
- Thursday, November 22—Thanksgiving Day
- Tuesday, December 25—Christmas Day

Standard files, aside from those in the [Exceptions Table](#), will **not** run on the above dates or be delivered on those evenings/following mornings. Note that files similar to the ones listed below will behave in the same manner.

Monday Holidays

On Monday holidays, files normally delivered Friday night into Saturday morning for Friday business will be delivered as usual. However, some files containing Friday data normally delivered on Monday morning will instead be sent on Tuesday morning including:

FILE FORM NAME	FILE DESCRIPTIVE NAME
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
CBRO	Cost Basis Reporting (Omnibus)
EZBR	Easy to Borrow
IMSF	Identification Management
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files



Friday Holidays

On Friday holidays, files scheduled to run or refresh on Friday 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, not Friday morning. This applies to:

FILE FORM NAME	FILE DESCRIPTIVE NAME
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
CBRO	Cost Basis Reporting (Omnibus)
EZBR	Easy to Borrow
LADV	Loan Advance
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

Due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, certain standard files from Thursday's batch process will not be delivered until Saturday morning including:

FILE FORM NAME	FILE DESCRIPTIVE NAME
BWTL	Bondworks Account Tax Lots
DVRE	Equity Dividend Reinvestment Election
PTD1, PTD2, PTD3, PTD6	PCAS Files
RMIN	Required Minimum Distribution

Exchange-only Holidays

On Friday, March 30, banks are open while the NYSE is closed. Some banking-related files are under review and we will provide an update on when the files will be run once this review is complete.

This affects banking-related files such as:

FILE FORM NAME	FILE DESCRIPTIVE NAME
ACTV	ACAM Activity Files
FUND, FUNO	Fund Balance Files
PSWF	Projection of Systematic Withdrawal

Bank-only Holidays

On the following days, banks will be closed while the NYSE remains open:

- Monday, October 8—Columbus Day
- Monday, November 12—Veterans' Day (observed)



Bank-only Holidays (continued)

Therefore, banking-related files will contain only headers and trailers, or will not run on these days as noted.

FILE FORM NAME	FILE DESCRIPTIVE NAME	FILE STATUS
ACTB, ACTV	ACAM Activity Files	Header/Trailer only
ASPC	Subscription Products Commissions	Header/Trailer only
BAAM	Bank Activity AM	Header/Trailer only
GAC1	Global Bookkeeping Activity–Bank Custody	Header/Trailer only
POT1	Portfolio Open Tax Lots–Bank Custody	No file delivered
PSWF	Projection of Systematic Withdrawal	Header/Trailer only
PTL1	Portfolio Tax Lot Dispositions–Bank Custody	No file delivered

Additionally, the Fund Balance files will be sent on these dates with the same data from their previous batch run.

FILE FORM NAME	FILE DESCRIPTIVE NAME
FUNB, FUND, FUNO	Fund Balance Files
GMN1	Global Moneyline–Bank Custody

Note that trades do not settle on bank holidays and there are no sweeps, check deposits or disbursements, Federal Fund wires processing or other banking-related activities on these days. As a result, many standard files will be considerably smaller on such days.

Settlement transactions will occur on the next regular banking business day.

Exceptions Table

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

FILE FORM NAME	FILE DESCRIPTIVE NAME	EXCEPTION
CRMA	CRM Daily Activity	Runs 365 days per year
HHLD	House Hold Group	No change for holidays
MFPF	Mutual Fund Prospectus File	Runs on exchange-only holidays (i.e., Good Friday)
MTEN/RTEN	Net Exchange User Report	No change for holidays
NSAT	Audit Trail Report	Runs 365 days per year
OATS	OATS Audit Trail Reporting	No change for holidays

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.

Please share the above information 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.