



December 26, 2019

## Fourth Quarter 2019 Standard File Update

This communication provides standard file information on these topics:

- Discontinuing Standard Files
- Standard File Website
- New File Delivery System Update
- Standard File Support
- New Standard Files
- Recent Standard File Updates
- Upcoming Standard File Enhancements
- Ops Forum
- Service Provider Quarterly Forum
- Year-end Processing
- Holiday Processing Schedule
- Additional Information

For more information, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com) or [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com).

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

## Discontinuing Standard Files

Due to stricter regulations surrounding data privacy, we are aggressively terminating retired data files. Discontinuing files are not subject to remediation. Although they will continue to be transmitted to those who currently receive them until termination, they will not be added to any additional remote destination IDs.

These files may stop transmitting any time after the termination date listed below.

| Discontinuing Form Name | Discontinuing Form File Name | Earliest Possible Termination Date<br><i>(Penalty Charges may be incurred by destinations receiving the file after this date.)</i> | Replacement Form Name | Replacement File Name           |
|-------------------------|------------------------------|--|-----------------------|---------------------------------|
| NTBK                    | Notebook                     | April 30, 2020   | CRMA/ICRM             | CRM Activity                    |
| RPFS                    | Retirement Plan Fee System   | August 1, 2019   | RPFC                  | Retirement Plan Fee Charge      |
|                         |                              |  | RPFI                  | Retirement Plan Fee Invoice     |
|                         |                              |  | RPFP                  | Retirement Plan Fee Preliminary |

- Required Minimum Distribution – The RMIN file containing final 2019 information will be sent on January 2, 2020. The RMIN file will not be delivered on January 3 through January 6, 2020. The first file containing only 2020 data will be delivered on January 7, 2020.

## Standard File Website

The Pershing Standard file layout website has moved. Please bookmark our new URL, <https://standardfiles.pershing.com>.

Like our old site, this page is independent and not accessible from other areas of Pershing.com.

Please 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.

## Standard File Website (continued)

Updates to Not Used fields and new values are not subject to pre-announcement.

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## New File Delivery System Update

Our file transfer protocol (FTP) platform migration continues to progress. The largest third-party service providers are migrated. Individual clients and vendors will be contacted by our migration team over the next several months to arrange each migration. Click [here](#) for technical details.

**As part of this change, we will no longer support uncompressed files on any FTP Destination.**

The InfoDirect FTP migration is also in progress. The Data Delivery Group at Pershing is actively arranging migration dates for all users through their home offices. Home office File Transfer Liaisons may contact us at [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) to finalize migration dates for you users. InfoDirect files will remain uncompressed. More information is available on the InfoDirect [website](#).

Network Data Mover clients will not be affected.

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## Standard File Support

Pershing provides a number of support options for our clients.

- Urgent production issues should be called into the Pershing Customer Technology Desk at (888) 878-3142. Associates are available 24 hours a day, 7 days a week. Please be prepared to provide your three character destination site ID, file name(s), and business date, as well as any relevant examples of the issue.
  - Please contact Data Delivery via email for any questions related to file structure, scheduling or any other non-critical inquiries.
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## 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.

New standard files may be requested via NetX360® Service Center. The path is Administrative Services > Standard Files > Add files to Existing Destination.

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## New Standard Files

Pershing has created three new books and records standard files, designed for greater ease of use. They are now available in the test regions.

- GTOL replaces GTOE
- OEGL replaces OELG
- OORL replaces OORD

All three files may be requested via Service Center and may run in parallel with the legacy versions. Migration guides are available upon request.

A retirement date for the legacy files has not yet been set.

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## Recent Standard File Updates

| Form Name              | File Name              | Description  |
|------------------------|------------------------|--|
| <a href="#">ACCF/T</a> | Customer Information   | Pershing has reordered records in our Account Services files for users receiving the Business Party record N, so they will be listed alphabetically, following the holder records (G, H, X, M, 7) and/or custom field records (I, J, K,) but before the settlement record (P) and/or retirement account records (R, S, T, U, V).   |
| <a href="#">CKFF</a>   | Check Fed Funds        | Four new optional records, O, P, Q, and R, detailing non-USD incoming wires have been added. Please see the file layout for complete details. These records may be requested through Service Center.   |
| <a href="#">ISCA</a>   | Security Descriptions  | REVENUE STREAM for Municipal Securities has been added to record I in position 123.<br>RESTRICTED MARIJUANA INDICATOR added to record I in position 126. All updates were made in space previously designate Not Used.   |
| <a href="#">SRSI</a>   | Scheduled Instructions | Pershing now offers mutual fund rebalancing and reallocations via standing instructions. Accordingly two new fields have been added to record A to support mutual fund allocations, MINIMUM AUTO INVESTMENT AMOUNT in position 759 and MAXIMUM AUTO INVESTMENT AMOUNT in position 777. Also, a new value "MF" has been added to the list of acceptable values for INSTRUCTION TYPE in position 30. |

## Upcoming Standard File Enhancements

| Form Name            | File Name                     | Description  |
|----------------------|-------------------------------|--|
| <a href="#">SEC6</a> | Routing Disclosure Statistics | <p><b>Targeting April 2020</b></p> <p>An upcoming regulatory change mandates updates to this file. This industry-wide change is tentatively scheduled for May, affecting the layout of the SEC6 standard file starting with its April 2020 delivery.</p> <p>In addition to its updated layout posted on our website, please contact <a href="mailto:DataDelivery@Pershing.com">DataDelivery@Pershing.com</a> to obtain a migration guide to aid you with re-mapping for these updates.</p> <p><b><i>Target date is subject to industry postponement. Information will be provided as it becomes available.</i></b></p> |

## Ops Forum

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

## Service Provider Quarterly Forum

On Wednesday, January 29, 2020, we 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 this quarterly update. Invitations will be sent to service providers soon.



## Year-end Processing

A temporary freeze has been imposed on all new standard file destinations. No new standard file destinations, regardless of method of delivery, can be created until Saturday, January 6, 2020, during our year-end freeze period. Additionally, new files cannot be added to your NDM destinations during this period, although existing files may be deleted. However, you can add and delete files from your existing FTP and InfoDirect destinations during this time period, as well as update extract criteria on all of your existing destinations, including NDM. Please plan accordingly.

## Holiday Processing Schedule

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the following dates in 2020:

- |                     |           |   |
|---------------------|-----------|---|
| • January 1         | Wednesday | New Year's Day  |
| • January 20        | Monday    | Martin Luther King Jr. Day                              |
| • February 17       | Monday    | Presidents' Day   |
| • April 10*         | Friday    | Good Friday ( <i>Exchange only holiday; see below</i> ) |
| • May 25            | Monday    | Memorial Day  |
| • July 3 (observed) | Friday    | Independence Day  |
| • September 7       | Monday    | Labor Day   |
| • November 26       | Thursday  | Thanksgiving Day  |
| • December 25       | Friday    | Christmas Day   |

Standard files, aside from those in the Exception Table below, will not run on the above dates or be delivered on those evenings/following early mornings.

### Monday Holidays

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

| Form Name        | Description                      |
|------------------|----------------------------------|
| ACA2             | Transfers                        |
| ASPC, ASPO, ASPF | Subscription Product Files       |
| CBRO             | Cost Basis Reporting (Omnibus)   |
| IMSF             | Identification Management        |
| MFDA             | Mutual Fund Dealer Agreements    |
| RDM1 and RDM2    | Receive and Deliver Master Files |

*Other files for similar business tend to behave similarly.*

### Bank-Only Holidays

On the following days in 2020, banks will be closed while the NYSE® remains open:

- |             |           |               |
|-------------|-----------|---------------|
| October 12  | Monday    | Columbus Day  |
| November 11 | Wednesday | Veterans' Day |

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



## Holiday Processing Schedule (continued)

| Form Name  | Description                                 | Delivery Information |
|------------|---|----------------------|
| 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    |

*Other files for similar business tend to behave similarly.*

Additionally, the Fund and Bank Custody Balance files will go out on these dates with the same data from their previous batch run.

| Form Name        | Description                     |
|------------------|---------------------------------|
| FUNB, FUND, FUNO | Fund Balance Files              |
| GMN1             | Global Moneyline – Bank Custody |

*Other files for similar business tend to behave similarly.*

Also 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.

### Exception Processing

In the past, it was especially important to note the **RUN DATE** in the header of files that ran when the NYSE was closed since the **DATE OF DATA** was not updated in the file header/trailer nor reflected in the file name when the Pershing batch did not run. However, this year we have addressed this in most of our standard files, so even on days the NYSE is closed, they will:

- a. Display the correct **DATE OF DATA** in their header and trailer records, position 47.
- b. Use the Correct **DATE OF DATA** in cases “*date name*” convention is used.

This applies to files transmitted via:

- InfoDirectFTP
- infoDirect (new)
- FTP *ONLY* in cases that use the *date name* convention

### Exception Table:

| Form Name | Description                | EXCEPTION                                       |
|-----------|----------------------------|---|
| CRMA      | CRM Daily Activity         | Runs 365 days per year                          |
| HHLD      | House Hold Group           | Runs on its normal schedule, including holidays |
| MTEN/RTEN | NetExchange User Report    | Runs on its normal schedule, including holidays |
| NSAT      | Audit Trail Report         | Runs 365 days per year                          |
| OATS      | OATS Audit Trail Reporting | Runs on its normal schedule, including holidays |



## Holiday Processing Schedule (continued)

### Exception Table (continued):

| Form Name | Description                               | EXCEPTION   |
|-----------|---|---|
| OPTX      | Options Assignment and Exercise - Monthly | Runs monthly on the Saturday after the option ex date, regardless of holidays |

For more information, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com).

## Additional Information

Contact your home office or Pershing 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.**

Although we do our best to distribute this mailing to all known service providers receiving standard files, we ask that you please share the information in this mailing with those providers that process standard files on your behalf. Your service providers may contact [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) to request changes to their email distribution lists.

If you have any questions regarding standard file delivery or configurations, email [datadelivery@pershing.com](mailto:datadelivery@pershing.com). For inquiries regarding standard file content, contact Standard Files Project Management at [standard.files.pms.@bnymellon.com](mailto:standard.files.pms.@bnymellon.com) or contact our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4, with any issues.

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