

January 14, 2021

Fourth Quarter 2020 Standard File Update

This communication provides standard file information on the below topics:

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- Standard File Delivery times and System Availability
- Standard File Support
- New Standard Files/Standard File Updates General Information
- New Books and Records Standard Files Available for Testing
- New Standard Files
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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.

Discontinuing Standard Files

Due to regulations surrounding data privacy, BNY Mellon's Pershing will be terminating retired data files. These terminated files will not be subject to remediation. These files will continue to be transmitted to current recipients until termination, however, they will not be added to any additional remote destination IDs.

Files listed below will stop transmitting any time after the termination date shown below.

Discontinuing Form Name	Discontinuing File Name	Earliest Possible Termination Date <i>Penalty Charges may be incurred by destinations receiving the file after this date.</i>	Replacement Form Name(s) <i>Some form's data is found in multiple replacement files. Field level migration documents are available upon request</i>	Replacement File Name
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity (Update/Initial)
RDM1/2	Receive and Deliver Master	February 1, 2022	RD01-23	Global Clearance Settlement Status (hourly files)
RPFS	Retirement Plan Fee System	August 1, 2019	RPFC	Retirement Plan Fee Charge
			RPFI	Retirement Plan Fee Invoice
			RPFP	Retirement Plan Fee Preliminary

Standard File Delivery times and System Availability

BNY Mellon Pershing's Secure File Transfer Protocol (SFTP) and InfoDirect systems are unavailable weekly from midnight on Sunday until 8:00 a.m. (ET) on Monday, during scheduled server maintenance.

General file delivery target times are documented in the Pershing System and File Availability Schedule located in Reference Documents in NetX360®.



Standard File Support

Pershing provides around the clock support for our clients.

- Urgent production issues should be called into the Pershing Technology Help Desk at (888) 878-3142 where Associates are available 24 hours a day, seven days a week. Please be prepared to provide your three-character Destination ID/Remote, file name(s) and business date, as well as any relevant examples of the issue.

Please contact DataDelivery@Pershing.com for any questions related to file structure, scheduling or any other non-critical inquiries.

New Standard Files/Standard File Updates General Information

Users may review the Standard File layout for existing files, new files and updated files on our firm’s website at <https://standardfiles.pershing.com>.

Each layout shows the date it was last updated. 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.

New Books and Records Standard Files Available for Testing

To provide greater ease of use, Pershing has created three new replacement books and records standard files as shown below. These new files are now available in our client test region, with GTOL and OEGL now available in production and may be received in parallel with the legacy files to facilitate your programming.

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

The above files may be requested via NetX360® Service Center. Migration guides are available upon request. Termination dates for the legacy files will be announced with other Discontinuing Standard Files at a later date.

New Standard Files

Form Name	File Name	Description
RD01-23	Global Clearance Settlement Status Files (hourly)	The Global Clearance Settlement Status files (RD01-RD23), are created hourly. Customers can choose to receive Active items (A record only), or both Active and Inactive-Clean or Cancelled items (records A and B). Record A is mandatory. Record B is optional and must be requested. Please see the file layout for complete details. <i>There is no RD02 file, due to system maintenance timing.</i>
IAC2	Investment Allocation Classification	This new file shares a layout with the IAC1 file, but can include client input on asset classification. Please contact your Pershing Account Manager regarding this functionality. The additional input means IAC2 runs at the end of our batch cycle while IAC1 runs at the beginning of it. Recipients may opt to receive only one of these two files. Please see the file layout for additional details.



Recent and Upcoming Standard File Updates

Form Name	File Name	Description
ACCF/T	Customer Account Information	Intermediary Account Indicator is now in Record A position 476. Please see file layout for complete details.
AMAF	Advisor Account Information	Effective late January 2021, all numeric values in this file will default to zeros rather than spaces.
AMSI	Standing Instructions and Periodic Asset Movement Instructions	An indicator field, Reduce or Suspend Scheduled RMD Payment(s), is now in Record J position 375. Please see file layout for complete details.
BPDF/F	Business Party Information	Large Trader Effective Date, which applies to CAT entities, is now in Record A position 512. Please see file layout for complete details.
EBSF	Enterprise Billing	Effective late January 2021, two new fields with their respective signs, Pershing Fee Amount and Client Fee Amount, will be added to Record B from position 191 through 228. Please see file layout for complete details.
GTOE GTOL	Global Trades Orders	Pershing Internal Trade Reference Number was added to both legacy and new Global Trade Order files in Record B, position 1229. Please see file layouts for complete details.
ISCA	Security Description	Federal Marginable Indicator is now in Record A position 121. Please see file layout for complete details.
MIAM	Advisor Model	Sleeve Code, which applies only to UMA models, is now in Record D position 361. Please see file layout for complete details.
LSHD/LSHF	Lost Securities Holder	A new field, Return Mail Suppression Indicator, has been added to Record B position 126. Please see the file layout for complete details.

Ops Forum

These Standard File updates will be a discussion topic in an upcoming Ops Forum call. An invitation for this event will be sent via email to IBD Operation Managers and File Transfer Liaisons. Be on the lookout for your invite.

Service Provider Quarterly Forum

On January 27, 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 this quarterly update. Invitations will be sent to service providers soon.

Contact datadelivery@pershing.com to add contacts to this invite.



2021 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 2021:

- January 1 Friday New Year's Day
- January 18 Monday Martin Luther King Jr. Day
- February 15 Monday Presidents' Day
- *April 2 Friday Good Friday *Exchange Only holiday; see below*
- May 31 Monday Memorial Day
- *July 5 (observed) Monday Independence Day *Exchange Only holiday; see below*
- September 6 Monday Labor Day
- November 25 Thursday Thanksgiving Day
- *December 24 (observed) Friday Christmas Day *Exchange Only holiday; see below*

With the exclusion of the standard files in the Exception Table below, all other standard files will not run on the above dates, nor be delivered on those evenings/following early mornings.

Monday Holidays

On Monday holidays, files normally delivered Friday night into Saturday morning for Friday business will be delivered as normal. The files shown below which contain Friday data normally delivered on Monday morning, will instead be sent on Tuesday:

Form Name	File Names/Descriptions
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product files
IMSF	ID Management
MFDA	Mutual Fund Dealer Agreements
RD01-RD23	Global Clearance Settlement Status Files (hourly)

Other files for similar business activity tend to behave similarly.

*Exchange-Only Holidays

On **Friday, April 2, Monday, July 5, and Friday December 24**, while the banks will be open, the NYSE will be closed. Therefore any bank activity or updates that occur on these market holidays will appear in the files sent out with the batch run on the following business day. This affects banking files such as:

Form Name	File Names/Descriptions
ACTB, ACTV	ACAM Activity files
FUNB, FUND, FUNO	ACAM Fund Balance files
PSWF	Projection of Systematic Withdrawal

Other files for similar business activity tend to behave similarly.



2021 Holiday Processing Schedule (continued)

Friday Holidays

When Friday is a holiday, Pershing runs Thursday batch as if it were a Friday. Therefore, any files scheduled to run or refresh on Friday, are sent instead with the batch cycle run on the preceding Thursday.

Additionally, files that normally deliver Friday data Monday morning, deliver their Thursday data on Monday morning. This applies to:

Form Name	File Names/Descriptions
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product files
MFDA	Mutual Fund Dealer Agreements
RD01-RD23	Global Clearance Settlement Status Files (hourly)

Other files for similar business activity tend to behave similarly.

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

Form Name	File Names/Descriptions
DVRE	Dividend Reinvestment Elections
PTD1, PTD2, PTD3, PTD6	PCAS files
RMIN	Required Minimum Distribution

Other files for similar business activity tend to behave similarly.

Bank-Only Holidays

On the following days in Q3 2021, banks will be closed while the NYSE will remain open:

- October 11 Monday Columbus Day
- November 11 Thursday Veterans' Day

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

Form Name	File Names/Descriptions	Delivery Information
ACTB, ACTV	ACAM Activity files	Header/Trailer only
ASPC	Subscription Products Commissions	Header/Trailer only
BAAM	Bank Activity Report	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 activity tend to behave similarly.



2021 Holiday Processing Schedule (continued)

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

Form Name	File Names/Descriptions
FUNB, FUND, FUNO	ACAM Fund Balance files
GCS1	Global Customer Positions—Bank Custody
GMN1	Global Moneyline—Bank Custody

Other files for similar business activity tend to behave similarly.

Please make a note that there are no trade settlements, sweeps, check deposits or disbursements, Federal Fund wires processing or other banking-related activities on bank holidays. As a result, many standard files will be considerably smaller on these days. *Settlement transactions will occur on the next regular banking business day.*

Holiday Processing Exceptions

Exception Table

Form Name	File Names/Descriptions	Exception
AMSI	Standing Instructions and Periodic Asset Movement Instructions	Runs Exchange-Only Holidays (<i>i.e. Good Friday</i>), but will ONLY include data for Bank Custody clients. Brokerage Clients will receive ONLY headers and trailers. If any non-Bank Custody activity occurs on an Exchange holiday, it will appear in the file sent out for the next business day. NOTE: Brokerage clients may see “REFRESHED” in the header record of files sent on Friday Exchange-Only holidays, but it is NOT a refresh file for them, it will not contain any detail records.
CKFF	Check and Federal Fund Detail	Runs Exchange-Only Holidays (<i>i.e. Good Friday</i>), but will ONLY include data for Bank Custody clients. Brokerage Clients will receive ONLY headers and trailers. If any non-Bank Custody activity occurs on an Exchange holiday, it will appear in the file sent out for the next business day.
CRMA	CRM Activity	Runs 365 days per year
HHLD	Householding	Runs on its normal schedule, Sunday to Thursday, including holidays
MTEN/RTEN	Enrollment (Update/Initial)	Runs on its normal schedule, including holidays
NSAT	Client User ID Audit	Runs 365 days per year
OATS	OATS Audit Trail Reporting	Runs on its normal schedule, Tuesday to Saturday, including holidays

For more information concerning Standard File holiday run schedules, please email datadelivery@pershing.com.



Additional Information

Contact your home office or your Account Manager to add or remove any recipients from future Standard File Update distributions.

Consider replacing your individual email address with group email addresses to ensure 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 to request changes to their email distribution lists.

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

Previous quarterly Standard File updates and other Standard File information is found on the [standard file layouts website](#).