

January 21, 2022

## Fourth Quarter 2021 Standard File Update

We are constantly adding data to help you manage your businesses more efficiently. This quarter, we're covering the following standard file topics for you:

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### Discontinuing Standard Files

Due to regulations surrounding data privacy, we 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
GTOE	Global Trade Orders	December 30, 2022	GTOL	Global Trade Orders
OELG	Order/Execution Log Books & Records	December 30, 2022	O EGL	Order/Execution Log Books & Records
OORD	Open Order Books & Records	December 30, 2022	OORL	Open Order Books & Records
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity (Update/Initial)
RDM1/2	Receive and Deliver Master	August 1, 2022	RD01-23	Global Clearance Settlement Status (hourly files)



## Address Updates

As part of our ongoing infrastructure upgrade, we have new IP addresses, which all clients should recognize and white list. These addresses are currently in production. All users of our secure File Transfer Protocol (FTP) service should make the appropriate updates as soon as possible.

### Internet

Sterling File Gateway Internet Source IPs Advertised

TEST (Primary/DR)	PROD (Primary/DR)
170.61.108.50/170.61.189.50	170.61.108.51/170.61.189.51

### Extranet

Sterling File Gateway Extranet Source IPs Advertised

TEST (Primary/DR)	PROD (Primary/DR)
170.61.55.50/170.61.195.50	170.61.55.51/170.61.95.51

## Unused Destination IDs

We want to help you manage your file feeds. We now conduct periodic reviews of any destination ID with “No Extract Criteria.” Any IDs that have not been configured for four months or more may be deleted. Please contact your Account Manager if you have any questions.

## Best Practices

As a best practice, we recommend using the Global Trade file (GTDE) for all trade information. The trade file contains much more information about a trade than the bookkeeping file. The Global Bookkeeping file (GACT) should be used for non-trade transactions, such as sweeps and dividends.

## Standard File Delivery Times and System Availability

Our 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

We provide you around-the-clock support. Urgent production issues should be called into the 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/Remote ID, file name(s) and business date, as well as any relevant examples of the issue.

Please contact [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) for any questions related to file structure, scheduling or any other non-critical inquiries.

## Service Center Requests

Netx360 Service Center provides a secure request channel into the Standard Files Support Team. Requests are normally completed within one business day of submission.

File requests are located under Administrative Services > Standard Files. The following Service Center Request categories are available:

- Add IBD to existing site (when appropriate)
- Add files to existing site—for SFTP and InfoDirect sites (Note: Network Data Mover clients should contact their Account Manager)
- Create new InfoDirect site
- Delete site
- Delete files from existing site
- Destination update form
- Swift Messages



## 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.

Please 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 to “Not Used” fields and new values are not subject to pre-announcement. Updates may also impact the number of records you receive.

## New Standard Files

Form Name	File Name	Description
HLDR/U	Holder Information	This new file provides an enhanced holder and account participant information. This includes non-U.S. tax ID numbers TINs. Holder information is available as a weekly or monthly refresh and a daily update, change file. You may request this file through Service Center in NetX360.
LACD	Last Account Activity	This new file helps you identify inactive accounts to simplify compliance with individual states’ abandoned property regulations. This file is available weekly on Friday evenings. You may request this file through Service Center in NetX360.

## Recent Standard File Updates

Form Name	File Name	Description
ACCF/T	Customer Information	The prior firm CRD, Central Registration Depository, number has been added to Record 5 position 478. Nature and Purpose of Account has been added to record 5 position 350.
BPDF/F	Business Party	A statement distribution indicator for institutional clients is now in Record A position 540 in space previously defined as filler.

## Upcoming Standard File Updates

Form Name	File Name	Description
ASAT	Account Services Audit Trail	Scheduled for March 2022, additional account updates will be captured in this file. The layout of the file is not changing; you will simply see additional accounts not previously captured.
GSDE/GTDE	Global Trades Intraday	In order to bring the intraday trade message in line with the overnight files, we will be adding a step-in, step-out indicator.



MASF	Managed Account Billing Information	Scheduled for first quarter 2022, we will be updating this file to better support institutional advisory business. The effect of this update will be to increase the number of C records. Some clients will experience a five-fold increase in the amount of data in this file.
SETD/F	Settlement Instructions	We are adding a new mandatory record to support STEP, Execution Plus accounts. Currently planned for March 2022, Record G will provide settlement instructions for STEP accounts. Once the change is in production, the record will be included automatically for all clients with STEP accounts. 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 February 9, we will host a conference call for third-party service providers that aggregate data on behalf of our clients. The agenda, moderated by our 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](mailto:datadelivery@pershing.com) to add contacts to this invite.

## 2022 Holiday Processing Schedule

We follow the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the following dates in 2022:

January 17	Monday	Martin Luther King Jr. Day
February 21	Monday	Presidents' Day
April 15	Friday	Good Friday (*Exchange only holiday)
May 30	Monday	Memorial Day
June 20 (observed)	Monday	Juneteenth National Independence Day
July 4	Monday	Independence Day
September 5	Monday	Labor Day
November 24	Thursday	Thanksgiving Day
December 26 (observed)	Monday	Christmas Day (*Exchange only holiday)

\*There are some exceptions, please see Standard File Processing on our [website](#).

For more information concerning standard file holiday run schedules, please email [datadelivery@pershing.com](mailto: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](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). 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](#).