

July 19, 2013

Second Quarter 2013 Standard File Update

This communication announces new standard files revisions to existing files and other standard file related information. Use any of the following links to go directly to another section of the update.

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Standard file layouts can be downloaded at pershing.com/standard_files/layouts.html, a secured area of Pershing’s website. The page cannot be accessed from the Pershing.com home page or other areas of the site.

NOTE: Fields marked “Not Used” in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Though we may not provide information in advance, we will announce changes as soon as possible.

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For more information, please contact the Data Delivery Group at datadelivery@pershing.com.

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

New Files and Recent Standard File Updates

Please 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 effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Three new fields, Proposed Account Reference ID, Advisor Model ID and Firm Model ID, were added in Record B, position 642-665. The following were also added, as of June 15, 2013: <ul style="list-style-type: none"> ▪ Client ID—Record M, position 730-749 ▪ Number of Dependents—Record M, position 335-336 ▪ Relationship to Primary Holder Code—Record X, position 591-682 Please see the file layout for details.
CHIL	DTCC Chilled Securities	NEW The file contains securities classified as having DTCC chill status—thereby restricting the transfer of the security through DTCC—or a Global Lock Indicator of “Y.” Please see the file layout for details.

New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
GCUS	Global Customer Position	<p>Effective June 21, 2013, changes to mandatory reorganization event processing and information displays in NetX360® and NetExchange Client® enable views of same-day payment allocations and holdings at the start of the day and intraday. The file has been updated to reflect the enhancements, although its layout has not changed. Please see the file layout for details.</p> <p>A new distribution memo originating from the mandatory Reorganization (REOR) system in NetX360 will appear in the existing Pending Split Quantity Memo field (Record A, position 283-300, with the sign following in position 301) on the morning of the mandatory event's effective date. The memo will contain a quantity for the removal of the parent security and a separate quantity for the distribution of the new security.</p>
ISCA	Security Descriptions	<p>A Regulated Investment Company (RIC) Indicator field has been added to Record B, position 20. Please see the file layout for details.</p> <p>Effective July 15, 2013, a new formula for calculating market value will be applied across all security and product types to accommodate fixed income instruments with nonstandard par values. To simplify the calculation, your firm can use the J record, available via Service Center request in NetX360 (Administrative Services > Standard Files > Add Files). Please consult the attached communication for more information.</p>
MFDA	Mutual Fund Dealer Agreements	A Dealer Agreement Type field was added May 20, 2013, to existing filler in Record A, position 020-023. Please see the file layout for details.
OPTX	Option Exercise and Assignment Monthly	As previously communicated , to accommodate a schedule change for processing expired options, this file will be made available on and will be dated the Saturday of the expiration weekend, rather than on Sunday.
ORDS	Open Orders	An External Client ID field was added to existing filler in Record D, position 016-055. Please see the file layout for details.
RMD1/RDM2	Receive and Deliver Master	<p>NEW</p> <p>Each file is created in batch and contains clearance open items. RDM1 is sent prior to the DTC settlement of affirmed institutional trades the night before the settlement date (known as Pre-Determined Order Quantity [PDQ]). RDM2 is sent after PDQ on the settlement date. Firms should choose to receive one file, since the new files replace the earlier version of the Receive and Deliver Master (RADM) file. Please see the file layout for details.</p>
SELI	SelectLink®	The file has been expanded to include all account groups to accommodate the growth of SelectLink, a service that consolidates household accounts that share the same mailing address. This may result in a slightly later file delivery time.

Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
GACT	Global Bookkeeping Activity	Effective August 9, 2013, to satisfy cost basis reporting requirements, the REOR system will allocate fractional shares for corporate action events that have cash-in-lieu components. The transactions will be displayed in whole and fractional shares in the Quantity field (Record A, position 143-163). Accompanying cash-in-lieu transactions will remove fractional shares from the Quantity field and replace them with cash-in-lieu transactions in the Net Amount field (Record A, position 192-209).

Standard File Delivery Infrastructure Changes

Later this year, to maintain optimal efficiency, we will eliminate inactive configurations that are more than two years old. As a result, you may notice a reduced number of older requests accessible via the Destination—Extract Criteria summary screen.

Service Provider Quarterly Forum

On Tuesday, July 23, 2013, Pershing will host a conference call for third-party service providers who aggregate data on behalf of Pershing broker-dealers. 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 shortly.

Retiring Standard Files

To comply with 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. We recommend that you migrate to the replacement file within one year of a retired file's retirement date. **Failure to do so may result in additional standard file-related charges to your firm. Retired files can stop transmitting and penalty charges may apply any time after the date indicated.**

RETIRING FORM NAME	RETIRING FILE NAME	RETIREMENT ANNOUNCED	PENALTY CHARGES MAY APPLY	TERMINATION DATE	REPLACEMENT FORM NAME	REPLACEMENT FILE NAME
DESC	Security Description—Domestic	December 2008	March 31, 2013	January 31, 2012	ISCA	Security Description—International and Domestic
IADF	IBD Available Download	October 6, 2011	To be determined	To be determined	MASF	Account Billing
MAFB	Managed Account Fee Billing	October 6, 2011	To be determined	To be determined	MASF	Account Billing
TRDE	Trade Date Trades—Domestic	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

Standard File 2013 Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange[®] (NYSE[®]) and, with some exceptions, will not run batch processing on these evenings or the following mornings:

Monday, September 2	Labor Day
Thursday, November 28	Thanksgiving Day
Wednesday, December 25	Christmas Day

Exceptions:

- The Audit Trail Report (NSAT) runs 365 days per year, regardless of holidays.
- The Household Group (HHLD) runs Monday–Friday, regardless of holidays.
- The Mutual Fund Prospectus (MFPF) and the NetExchange User Report (MTEN) files will run on NYSE holidays.

Please note the run date in file headers, as the date of the data does not change on holidays.

Monday holidays

Any weekly files scheduled to run on a Monday will be sent with the batch cycle run on Tuesday morning. This includes the Identification Management (IMSF) file. Further, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the Transfers (ACA2), Annuity and Insurance Commission Data (ASPC), Subscription Products Financial Activity (ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR) and Mutual Fund Dealer Agreements (MFDA) files.

Bank holidays

When banks are closed on Monday, October 14 (Columbus Day), and Monday, November 11 (Veterans Day), two banking-related files, ACAM Fund Activity (ACTV) and Projection of Systematic Withdrawal (PSWF) will contain only headers and trailers. Please process them accordingly. In addition, the ACAM Fund Balances (FUND) file will be sent on these dates with the same data from its previous batch run.

Additional Information

Contact your home office or Account Manager to add or remove any individual from the distribution of future standard file updates. Please consider replacing your individual e-mail address with a group e-mail address in your firm's distribution list at Pershing to ensure that these updates will not be missed by key members of your department.

Please share the above information with the service providers that process standard files on your behalf. Service providers should contact Pershing's Data Delivery Group at datadelivery@pershing.com to request changes to their distribution lists. If you have questions, please contact Pershing's Technology Help Desk at (888) 878-3142, option 4, or (732) 622-2150 from outside the U.S.

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