

July 16, 2015

Second Quarter 2015 Standard File Update

This communication announces new standard files, revisions to existing files and other standard file- and intraday-message-related information.

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If you have questions, e-mail

datadelivery@pershing.com or standard.files.pms@bnymellon.com

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

Standard file layouts can be downloaded via http://files.pershing.com/standard_files/layouts.html, which links to a secured area of Pershing's website. The page cannot be accessed from any area of Pershing.com.

NOTE: Fields marked "Not Used" in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Not all updates are provided in advance, but all will be announced as soon as possible.

New Files

Managed Investments

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
AMAF	Advisory Account Information File	This file provides advisory account information for client accounts and may be requested through Service Center. Specifications are available on our website.
AMSP	Advisory Managers, Styles and Programs File	This file includes all managers (both SMA and non-SMA) that have valid contracts. A full file is set daily. This file may be requested through Service Center. Specifications are available on our website.

Brokerage

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
FATC	Foreign Account Tax Compliance Act File	This file contains information associated with the Foreign Account Tax Compliance Act. A full file is created nightly and may be requested through Service Center. Specifications are available on our website.
FORM NAME(S)	FILE NAME(S)	DESCRIPTION
LSHD/F	Lost Securities Holders File	<p>This file addresses the requirements of SEC Rule 17, including the following events—</p> <ul style="list-style-type: none"> ▪ Return Mail ▪ Account Holder Located ▪ First Search ▪ Second Search ▪ Abandoned Account <p>This file may be requested through Service Center. Specifications are available on the website.</p>
SPRO	Subscriber Entitlement Profile File	This file links the Subscriber/User ID and profile(s). This file may be requested through Service Center. Specifications are available on our website.

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 effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Due to regulatory changes, position 696 in Record C—Treat All Interest As Original Issue Discount (OID)—is no longer valid and is reverting to filler. See file layout for full details.
ASPV/ ASPP, ASPC, ASPF, ASPO	Subscription Products	On Friday March 20, 2015, the DTCC made regular updates to its layouts that are embedded in our listed annuity standard files. DTCC records enable insurance carriers to send details regarding the beneficiaries on the contract or policy. Contact Data Delivery at datadelivery@pershing.com for the updated DTCC record information.
BFFF/D	Business Party Information File	Business Party Status has been added to position 32 and a House Rep Indicator has been added to position 328. See file layout for full details.
CAPS/T	Daily CAPS File	The Pershing Internal Order Reference Number has been added to Record 5 in position 98. See file layout for full details.
FT10	Firm Trading Trade Date File	A Security Factor has been added in Record A positions 308-325, which were previously designated as filler. A multicurrency exchange rate has been added to Record B, positions 58-75. See file layout for full details.

Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
FT20	Firm Trading Settlement File	A Security Factor has been added in Record A, positions 327-344, which were previously designated as filler. A multicurrency exchange rate has been added to Record B, positions 58-75. See file layout for full details.
GTOE/OELG	Global Trades-Orders/Order Execution Log	A Principal Consent Indicator has been added to both files in space previously defined as filler. See file layout for full details.
ISCA	Security Descriptions	A new field Year Covered Under Cost Basis Rules was added to Record F, position 128 in space previously designated "Not Used." A Worthless Security Indicator has been added to Record I, position 106. See file layout for full details.
PTLD	Closed Tax Lot File	The actual trade date for average cost positions will now be shown in position 336.

Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	Scheduled for release later this year, external bank information fields will be added to Record M in space currently defined as "Not Used." See file layout for full details.
ISCA	Security Descriptions	Scheduled for release this month, a Market Status Code will be added to Record C in position 17.
OORD	Open Orders File	<p>Scheduled for production in this month, Pershing is will update this file to include orders entered in—</p> <ul style="list-style-type: none"> ▪ ATOMS ▪ GLTrade ▪ Liquid Point ▪ Neovest ▪ RealTick ▪ TCMS ▪ UTF ▪ FOMS ▪ Cape Logic <p>Previously, this file only contained orders entered through ATOMS. Additional values have been added to the file. See file layout for full details.</p>

Service Provider Quarterly Forum

On Wednesday, August 5, Pershing will host a conference call for third-party service providers who aggregate data on behalf of Pershing 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 eligible providers shortly. A short survey will be distributed after the meeting.

Retiring Standard Files

Due to stricter data privacy regulations, we are aggressively terminating retired files containing personal data. These 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 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 dates indicated.**

RETIRING FORM	RETIRING FILE	RETIREMENT ANNOUNCED	PENALTY CHARGES MAY APPLY	TERMINATION DATE	REPLACEMENT FORM	REPLACEMENT FILE
DESC	Security Description—Domestic	December 2008	March 31, 2013	January 31, 2012	ISCA	Security Description—International and Domestic
GOTX	Global Open Order and Trade Execution	April 2015	April 30, 2016	April 30, 2016	GTOE	GLOBAL TRADE & ORDER DETAILS
RADM	Receive and Deliver Master	July 2013	July 2014	November 30, 2015	RDM1 and RDM2	Receive and Deliver
TRDE	Trade Date Trades—Domestic	December 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 Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the following holidays—

- Labor Day (Monday, September 7)
- Thanksgiving Day (Thursday, November 26)
- Christmas (Friday, December 25)

Standard files will not be processed on any of these evenings or the following mornings.*

Standard File Holiday Processing (continued)

Monday Holiday

For a Monday holiday, any weekly files scheduled to run on a Monday will be sent instead with the batch cycle that will be run on Tuesday morning. This includes the Identification Management (IMSF) file.

Additionally, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the following active standard files: Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Mutual Fund Dealer Agreements (MFDA), and Receive and Deliver Master (RDM1 and RDM2).

Friday Holiday

For a Friday holiday, any files scheduled to run or refresh on a Friday will be sent instead with the batch cycle that is run on the preceding Thursday.

Because Thursdays that precede Friday holidays are treated as a Friday, files that would normally deliver Friday data on Monday morning, will deliver their Thursday data on Monday morning. This applies to files such as Account Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Loan Advance (LADV), Mutual Fund Dealer Agreements (MFDA), and Receive and Deliver Master files (RDM1 and RDM2).

Due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the following standard files will not be delivered until Saturday morning: Bondworks Account Tax Lots (BWTL), Equity Dividend Reinvestment Election (DVRE), the PCAS Files (PTD1, PTD2, PTD3 and PTD6), and Required Minimum Distribution (RMIN).

Bank Holidays

Banks will be closed while the NYSE remains open on the following holidays —

- Columbus Day (Monday, October 12)
- Veteran's Day (Wednesday, November 11)

Therefore, banking related files such as ACAM Fund Activity (ACTV), Subscription Products Commissions (ASPC), Bank Activity AM (BAAM) and Projection of Systematic Withdrawal (PSWF) will contain only headers and trailers for them. Please expect these file(s) to be empty and process them accordingly.

Additionally, the ACAM Fund Balances (FUND) and Omnibus FUND Balances (FUNO) files will go out on these dates with the same data from their previous batch run.

Note that trades do not settle on bank holidays. This can affect the size or content of many files, such as the daily Commission and Payout System (CAPS) file, the Settlement Date Trades (GSDE) file and other files that include settlement-date trade information.

Because there is no sweep, check deposit or disbursement, or federal fund wire processing on bank holidays, the Check and Federal Fund Detail (CKFF) file and other standard files that detail such activity will be much smaller on these bank holidays.

*Exceptions

Note the run date in the header of the following files, as the date of data does not change on holidays.

The CRM Daily Activity (CRMA) and the Audit Trail Report (NSAT) files run 365 days per year, regardless of holidays.

The House Hold Group (HHLD), Net Exchange User Report (MTEN) and OATS Audit Trail Reporting (OATS) files run on their particular schedule, regardless of 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 e-mail address with a group e-mail address in your firm's distribution list at Pershing to ensure that key members of your department receive these updates.

Share the above 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 any questions regarding standard file delivery and configurations, send an e-mail to datadelivery@pershing.com. Regarding content, contact Standard Files Project Management at standard.files.pms@bnymellon.com or call Pershing's Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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