



July 19, 2018

## Second Quarter 2018 Standard File Update

This communication provides standard file information on these topics:

- [Standard File Website](#)
- [New File Delivery System](#)
- [Recent Stand File Updates](#)
- [Upcoming Standard File Enhancements](#)
- [Ops Forum](#)
- [Service Provider Quarterly Forum](#)
- [Holiday Processing](#)
- [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 files that contain such data. The discontinuing files will not be subject to remediation. Although they will continue to be transmitted for those who currently receive them, the retiring files cannot 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	Termination Date (any time after)	Replacement Form Name	Replacement File Name
RPFS	Retirement Plan Fee System	August 1, 2019	RPFP/RPFI/RPFC	Retirement Plan Fee

## Destination Extract Criteria Upgrade

We are pleased to announce an enhancement to SFDI Destination Extract Criteria in NetX360<sup>®</sup>. We have added the file descriptions along with the four character file form name to help you administer the files delivered to your users. We have also added a link to the Standard File Website so you can easily obtain details about the data provided in each standard file. This enhancement is already in production.

Also, to aid in your standard file configurations, the Destination Extract Criteria system will generate messages advising you if you attempt to configure a standard file at a level the file does not accommodate.

For example, if you configure a file for a single account, but that file is designed to produce data only at the office level, upon submit, the SFDI system will generate a message stating "File(s) <name> cannot be configured at the Account Level." You can still process the change, but you should consider revising the configuration to ensure the destination does not receive more or less data than required.

## Standard File Website

Standard file layouts can be downloaded via [http://files.pershing.com/standard\\_files/layouts.html](http://files.pershing.com/standard_files/layouts.html). The page cannot be accessed from any area of Pershing.com. 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 are not always provided in advance, but will be announced as soon as possible.

We are constantly striving to improve our products and processes. We welcome comments and suggestions, which may be sent to [datadelivery@pershing.com](mailto:datadelivery@pershing.com). As always, we appreciate your support.

## New File Delivery System Update

We have started migrating third party service providers to our new file delivery system. Once the service provider migration has been completed, we will begin migrating individual FTP clients. InfoDirectFTP users should watch for updates on the InfoDirectFTP website. Network Data Mover clients will not be affected. Click [here](#) for technical details.

As part of this change, we will no longer support uncompressed files. FTP files will be zipped. InfoDirect files will not be compressed. As this migration progresses, individual firms will be contacted directly. The new infoDirect website is now available [here](#). We have begun migrating clients to the new infoDirect, look for additional information coming soon.

## 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 target dates.

Form Name	File Name	Description
<a href="#">ACCF/ACCT</a>	Customer Information	Several updates have been made to the ACCF/T files. New fields were to Record A and Record H in support of the Specified Adult FINRA regulation. Trusted Contact Status will be added to record A, position 696. Specified Adult, formerly Vulnerable Adult Indicator, has been added to record H, position 747. A new optional Record 5, containing Customer Due Diligence (CDD) information is now available and may be requested through Service Center. A new high risk account designation has been added to Record 4. Lastly, several new fields, Beneficial Owner’s Percentage of Ownership, Position Held By Controlling Person, and Legal Entity Identifier were added to Record 7. All new fields were added to space previously designated as filler.
<a href="#">BPFD/BPFF</a>	Business Party Information	A new record, record J, which includes Institutional Master Client relationship information is now available. Please submit a Service Center Request to add this new record to your Business Party file(s).
<a href="#">AMSI</a>	Asset Movement Standing Instructions	A new record, record H, is available as a new optional record. It provides Bank Send & Receive (BSR) instructions for BankLink clients. This record only applies to Pershing BankLink clients. Records will not be generated for non-BankLink clients. Please submit a Service Center Request to add this record to your AMSI file.
<a href="#">GACT/GAC1/GTDE/GSDE/GTOE</a>	Global Bookkeeping Activity /Global Trade Settlement/Global Trades-Orders	Four new fields support the FINRA/MSRB Mark-up/Mark-down Disclosure Rule have been added to the Bookkeeping Activity and Trade files listed. The new fields were added in space previously designated as filler.



## Upcoming Standard File Enhancements

Form Name	File Name	Description
<a href="#">FATC</a>	W-8 Form Information	Due to new regulations both U.S. and foreign tax ids will now be populated. Further the GIIN related fields have been removed by the IRS. As a result these fields are no longer on the file. Please see file layout for complete details. This update is targeted for September 2018.
<a href="#">GACT/</a> <a href="#">GAC1</a>	Global Bookkeeping Activity	The American Bankers Association (ABA) number and Demand Deposit Account (DDA) number will be replaced with the bank name. This change will not affect the processing of the payment. This change from the ABA and DDA numbers to bank name, made to enhance the protection of private information, will flow through to the Description Lines of the Global Bookkeeping Activity standard files (GACT and GAC1) standard files. Today, where the ABA and DDA numbers for appropriate transactions occur as free form text somewhere within the following four Description Line fields on Record B, the words "ACH", followed by the appropriate bank's name will appear. If you would like to continue to receive ABA and DDA numbers for ACH transaction in a standard file format, they will continue to appear as appropriate in the Check and Federal Fund Detail (CKFF). Please see the file layouts for complete details and target dates.
<a href="#">GTDE/GSDE</a> <a href="#">/GTOE</a> <a href="#">/ORDS</a>	Global Trade Settlement/Global Trades-Orders/ Open Orders	To support new MIFID and CAT requirements, order and execution times are being expanded to include milliseconds. This change is using space previously designated as filler and is anticipated to be in production later this year.

## Ops Forum

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

## Service Provider Quarterly Forum

On Wednesday, July 25, 2018 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 the quarterly update. Invitations will be sent to all eligible providers soon. A brief survey will be sent after the meeting.

## 2018 Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the dates below in 2018:

- Monday, September 3—Labor Day
- Thursday, November 22—Thanksgiving Day
- Tuesday, December 25—Christmas Day

Standard files, aside from those in the Exceptions Table below, will not run on any of the above dates or be delivered on those evenings or following mornings.



## 2018 Holiday Processing (continued)

### Monday Holiday

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)
EZBR	Easy to Borrow
IMSF	Identification Management
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

### Bank-only Holidays

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

October 8	Monday	Columbus Day
November 12	Monday	Veterans' Day (observed)

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

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

Additionally, the Fund 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 Money Line—Bank Custody

Trades do not settle on bank holidays, and there are no sweeps check deposits or disbursements, Federal Fund wire 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 Table**

Note the run date in the header of these files as the date of data may not change on NYSE® holidays.

<b>Form Name</b>	<b>Description</b>	<b>Exception</b>
CRMA	CRM Daily Activity	Runs 365 days per year.
HHLD	House Hold Group	No change for holidays. Runs on its normal schedule even on holidays.
MFPF	Mutual Fund Prospectus File	Runs on exchange-only holidays (i.e., Good Friday).
MTEN/RTEN	Net Exchange User Report	No change for holidays. Runs on its normal schedule even on holidays.
NSAT	Audit Trail Report	Runs 365 days per year.
OATS	OATS Audit Trail Reporting	No change for holidays. Runs on its normal schedule even on 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 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.

Share the above information with the service providers that process standard files on your behalf. Service providers should contact our Data Delivery Group at [datadelivery@pershing.com](mailto:datadelivery@pershing.com) to request changes to their distribution lists.

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

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