



July 30, 2019

## Second Quarter 2019 Standard File Update

For more information, please email [datadeliverv@ners](mailto:datadeliverv@ners)

This communication provides standard file information on these topics:

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## Discontinuing Standard Files

Due to stricter regulations surrounding data privacy, we are terminating retired data files. Discontinuing files are not subject to remediation. Although they will continue to be transmitted to those who currently receive them until termination, they will not 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	Earliest Possible Termination Date <i>Penalty Charges may be incurred by destinations receiving the file after this date.</i>	Replacement Form Name	Replacement File Name
RPFS	Retirement Plan Fee System	August 1, 2019	RPFC	Retirement Plan Fee charge
			RPMI	Retirement Plan Fee Invoice
			RPMF	Retirement Plan Fee preliminary
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity

## Easy to Borrow (EZBR) Discontinuation

As previously reported, effective June 1, 2019, we will discontinue the standard file report distribution of our Easy-To-Borrow (EZBR) List.

To assist in compliance with Securities and Exchange Commission (SEC) Rule 203(b) Locate Requirement of Regulation SHO, we distribute our EZBR list via standard file. Because the EZBR list contains static data, your firm is responsible for properly decrementing the EZBR security quantity as locates are applied to short sales.

Real-time EZBR data is available in alternative locations and, to improve efficiency and accuracy, these will be the only methods in which to receive this data after the effective date.



## Easy to Borrow (EZBR) Discontinuation (continued)

The following alternative location is available to access the EZBR data:

- Real-Time Stock Locate API—This web-based API provides locate requests for easy-to-borrow and certain warm securities and generates approvals in real time. This function can be integrated directly with your execution and order management system, bringing the process of locating and executing a short onto one platform. NOTE: This is the only option available to your third party vendors.

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## Standard File Website

The Pershing Standard file layout website has moved. Please bookmark our new URL, <https://standardfiles.pershing.com>.

Like our old site, this page is independent and not accessible from other areas of Pershing.com.

Please note that fields marked “Not Used” in the layouts are not necessarily empty fields. Pershing reserves the right to use these fields at any time.

Updates to Not Used fields and new values are not subject to pre-announcement.

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## New File Delivery System Update

Our file transfer protocol (FTP) platform migration continues to progress. The largest third party service providers are migrated. Individual clients and vendors will be contacted by our migration team over the next several months to arrange each migration. Click [here](#) for technical details.

**As part of this change, we will no longer support uncompressed files on any FTP Destination.**

The InfoDirectFTP migration is also in progress. The Data Delivery Group at Pershing is actively arranging migration dates for all users through their home offices. Home office File Transfer Liaisons may contact us at [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) to finalize migration dates for you users. InfoDirect files will remain uncompressed. More information is available on the infoDirect [website](#).

Network Data Mover clients will not be affected.

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## Standard File Support

Pershing provides a number of support options for our clients.

- Urgent production issues should be called into the Pershing Customer Technology Desk at (888) 878-3142. Associates are available 24 hours a day 7 days a week. Please be prepared to provide your three character destination site id, file name(s), and business date as well as any relevant examples of the issue.
- Please contact Data Delivery via email for any questions related to file structure, scheduling or any other non-critical inquiries.

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## 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.

New standard files may be requested via NetX360® Service Center. The path is *Administrative Services>Standard Files>Add files to Existing Destination*.



## Recent Standard File Updates

Form Name	File Name	Description
<a href="#">ACCF/T</a>	Customer Information	<p>Several new fields were added to these files.</p> <p>In the mandatory B Record, five fields were added:            DIGITAL ADVICE PROVIDER in position 363-366.            SOURCE OF ORIGINATION in position 723-726.            SOURCE OF PERSONA in position 727-730.            TAX FILING CODE in position 735            NON-PURPOSE COLLATERAL ACCOUNT INDICATOR in position 749.</p> <p>In the optional Account Holder Records, PER STIRPES BENEFICIARY DESIGNATION was added to Record X, position 730.</p> <p>In the optional Retirement Records, two fields were added to record T, starting in position 635: BENEFICIARY PAYMENT AMOUNT and PER STIRPES BENEFICIARY DESIGNATION.</p> <p>All additions were made in space previously designated as Not Used.</p>
<a href="#">FATC</a>	W-8 Form Information	<p>In March, updates, previously made for Record D, HOLDER INFORMATION - BENEFICIAL OWNER - ENTITY (BEN-E), were made to Record B of the FATC Standard File, for HOLDER INFORMATION - INTERMEDIARY (IMY). US and foreign tax IDs each populate at the same time; previously they were mutually exclusive.</p> <p>GIIN-related fields, removed from the IMY forms by the IRS, were removed from Record B.</p>
<a href="#">GTDE/GTDS/GTOE</a>	Global Trades— Trade Date Global Trades— Settlement Date Global Trades and Orders Executions	<p>Two new fields ALTERNATIVE TRADING SYSTEM (ATS) INDICATOR; for MSRB reporting and ALTERNATIVE TRADING SYSTEM (ATS) MPID; for TRACE reporting were added to Record B of these files starting in position 1098.</p> <p>This space was previously designated as Not Used.</p>
<a href="#">GTDE/GSDE/GTOE /ORDS</a>	Global Trades— Trade Date Global Trades— Settlement Date Global Trades and Orders Executions	<p>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.</p>



## Upcoming Standard File Enhancements

Form Name	File Name	Description
<a href="#">ACCF/T</a>	Customer Information	<p><b>Targeting Q3 2019</b></p> <p>Pershing will re-order records in our Account Services files for users receiving the N and O Business Party records, so they will appear be listed more alphabetically, following the holder records (G, H, X, M, 7) and/or custom field records (I, J, K,) but before the settlement record (P) and/or retirement account records (R, S, T, U, V).</p>
<a href="#">SEC6</a>	Routing disclosure Statistics	<p><b>Targeting January 2020</b></p> <p>An upcoming regulatory change mandates updates to this file. This industry-wide change is tentatively scheduled for May, effecting the layout of the SEC6 standard file starting with its January 2020 delivery.</p> <p>In addition to its updated layout posted on our web site, please contact <a href="mailto:DataDelivery@Pershing.com">DataDelivery@Pershing.com</a> to obtain a migration guide to aid you with re-mapping for these updates.</p> <p><b><i>Target date is subject to industry postponement. Information will be provided as it becomes available</i></b></p>

## 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, August 7, 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 this quarterly update. Invitations will be sent to service providers soon.

## 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:

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

Standard files, aside from those in the [Exception Table](#) below, will not run on the above dates or be delivered on those evenings/following early mornings.

### Monday Holidays

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

**Other files for similar business tend to behave similarly.**

**Bank ONLY Holidays**

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

- October 14, Monday—Columbus Day
- November 11, Monday—Veterans’ Day

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

**Other files for similar business tend to behave similarly.**

Additionally, the Fund and Bank Custody 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 Moneyline – Bank Custody

**Other files for similar business tend to behave similarly.**

Also note that trades do not settle on bank holidays, and there are no sweeps, check deposits or disbursements, Federal Fund wires 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.*

## Exceptions Processing

In the past, it was especially important to note the **RUN DATE** in the header of files that ran when the NYSE was closed since the **DATE OF DATA** was not updated in the file header/trailer or used in the file name when Pershing batch was not run/on days the NYSE® was closed. This year we have addressed this in most of our standard files, so even on days on days the NYSE is closed, they will:

- Display the correct **DATE OF DATA** in their header and trailer records, position 47.
- Use the Correct **DATE OF DATA** in cases “**date name**” convention is used.

This applies to files transmitted via InfoDirectFTP, infoDirect (new), and FTP (*ONLY in cases that use the date name convention*)

### Exception Table:

Form Name	Description	EXCEPTION
CRMA	CRM Daily Activity	Runs 365 days/year
HHLD	House Hold Group	Runs on its normal schedule; even on holidays.
MTEN/RTEN	Net Exchange User Report	Runs on its normal schedule; even on holidays.
NSAT	Audit Trail Report	Runs 365 Days per year.
OATS	OATS Audit Trail Reporting	Runs on its normal schedule; even on holidays.
OPTX	Options Assignment and Exercise - Monthly	Runs monthly on the Saturday after the option-ex date, regardless of holidays

For more information, please email [datadelivery@pershing.com](mailto:datadelivery@pershing.com).

## Additional Information

Contact your home office or Pershing 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.**

Though 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). Regarding standard file content, contact Standard Files Project Management at [standard.files.pms.@bnymellon.com](mailto:standard.files.pms.@bnymellon.com). Or contact our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4 with any issues.

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