



July 30, 2020

## Second Quarter 2020 Standard File Update

This communication provides standard file information on the below topics:

- Discontinuing Standard Files
- New Standard Files and Standard File Updates
- New Books and Records Standard Files Available for Testing
- Recent Regulatory Standard File Updates and New Files
- Recent General Standard File Updates
- Upcoming Standard File Enhancements
- Ops Forum
- Service Provider Quarterly Forum
- Holiday Processing Schedule
- Standard File Support
- 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 regulations surrounding data privacy, BNY Mellon's Pershing 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.

The files listed below will stop transmitting any time after the termination date shown 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
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity
RPFS	Retirement Plan Fee System	August 1, 2019	RPFC	Retirement Plan Fee Charge
			RPMI	Retirement Plan Fee Invoice
			RPPF	Retirement Plan Fee Preliminary

### New Standard Files and Standard File Updates

Users may review the Standard File layout for existing files, new files and updated files on our website at <https://standardfiles.pershing.com>.

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.

## New Books and Records Standard Files Available for Testing

To provide greater ease of use, Pershing has created three new books and records standard files as shown below. These files are now available in the test regions.

- GTOL replaces GTOE
- OEGL replaces OELG
- OORL replaces OORD

The above files may be requested via NetX360 Service Center and may run in parallel with the legacy versions. Migration guides are available upon request. The retirement date for the legacy files will be announced at a later date.

## Recent Regulatory Standard File Updates and New Files

### Best Interest Regulation

In support of the Regulation Best Interest, Pershing has made additions to the below client information file.

Form Name	File Name	Description
ACCF/ACCT	Customer Account Information	Three new fields associated with Regulation Best Interest will be added to record 5: Retail Investor Indicator in position 333, CRS (Client Relationship Summary) Generation Date in position 334 and Firm CRS Generation Date in position 342

### Consolidated Audit Trail (CAT) Additions

A Consolidated Audit Trail Standard File is now available in the JSOM format, and may be requested through NetX360 Service Center Administrative Services > Standard Files > Add files to Existing Destination. The file layout is available on our website at <https://standardfiles.pershing.com>.

Form Name	File Name	Description
CATS	Consolidated Audit Trail	This new file duplicates the information sent nightly for the Consolidated Audit Trail at FINRA.

### The below two files have been updated to support Consolidated Audit Trail (CAT)

Form Name	File Name	Description
ACCF/ACCT	Customer Information	A new optional record, Record 7, is now available and may be requested through Service Center. Full details on this new record are now available on the file layout.
BPDF/BPFF	Business Party Information	Commencing in position 502 of the mandatory Record A, several new positions were added. Please see the file layout for full details.

### Rule 606 Routing Disclosure Updates

SEC6	Routing Disclosure Statistics	The regulatory change has gone into effect. The new layout is now on the website. Please review it for complete details.
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## Recent General Standard File Updates

Form Name	File Name	Description
ACCF/ACCT	Customer Account Information	<p>The below updates were made to this file:</p> <ul style="list-style-type: none"> <li>▪ New values for U.S. tax residency in Record W</li> <li>▪ New indicators for DVP restrictions</li> <li>▪ New unique ID for IRA beneficiaries</li> </ul> <p>All updates were made in space previously defined as filler. Please see the file layout for complete details.</p>
AMSI	Asset Movement Standing Instruction	<p>A new field, Direction, was added to Record B position 396 in space previously defined as filler. Please see the file layout for complete details.</p>
BPDF/BPFF	Business Party	<p>New DTCC Participant IDs will be populated along with 14 occurrences of DTCC ANNUITY ID in Record C. New annuity carrier information is also now available. All updates were made to space previously defined as filler. Please see the file layout for complete details.</p>
GTDE/GSDE, GTOE/GTOL	Trade and Order	<p>A Hedge Transaction indicator and an OCC customer ID were added to each of these files in space previously defined as filler. Please see the file layout(s) for complete details.</p>
ISCA	Security Information	<p>Record G now has additional options data. Record I now has a UIT termination date in position 107. The updates have been made to space previously defined as filler. Please see the file layout for complete details.</p>
MFDS	Mutual Fund Description	<p>Fund Share Class field is now in position 399. Please see the file layout for complete details.</p>
OELG/OEGL	Open Orders Log	<p>The new Optional Record H, for Common Order Information, is now available and may be requested through NetX360 Service Center Administrative Services &gt; Standard Files &gt; Add files to Existing Destination. A new field, LIQUIDITY INDICATOR, was also added in record D. Please see file layout for complete details.</p>
SRSI	Scheduled Instructions	<p>Pershing now offers mutual fund rebalancing and reallocations via standing instructions. Accordingly, two new fields were added to record A to support mutual fund allocations: MINIMUM AUTO INVESTMENT AMOUNT in position 759 and MAXIMUM AUTO INVESTMENT AMOUNT in position 777. Also, a new value, "MF," was added to the list of acceptable values for INSTRUCTION TYPE in position 30. Please see the file layout for complete details.</p>



## Upcoming Standard File Enhancements

Form Name	File Name	Description
AMAF	Advisor Account Information	Effective January 2021, all numeric values in this file will default to zeros rather than spaces.

## Ops Forum

Standard file updates will be a discussion topic in an upcoming Ops Forum call. An invitation for this event will be sent via email.

## Service Provider Quarterly Forum

On August 26, Pershing 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 in 2020:

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

With the exclusion of the standard files shown in the Exception Table below, all other standard files will not run on the above dates, nor be delivered on those evenings/following early mornings.

### Monday Holidays

On Monday holidays, files normally delivered Friday night into Saturday morning for Friday business will be delivered as normal. The files shown below which contain Friday data normally delivered on Monday morning, will instead be sent on Tuesday:

Form Name	Description
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
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.*



## Holiday Processing Schedule (continued)

### Friday Holiday

When Friday is a holiday, Pershing runs Thursday batch as if it were a Friday. Therefore, any files scheduled to run or refresh on Friday, are sent instead with the batch cycle run on the preceding Thursday.

Additionally, files that normally deliver Friday data Monday morning, deliver their Thursday data on Monday morning. This applies to:

Form Name	Description
ACA2	Transfers
ASPC, ASPO, ASPF	Subscription Product Files
EZBR	Easy to Borrow
MFDA	Mutual Fund Dealer Agreements
RDM1 and RDM2	Receive and Deliver Master Files

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

Additionally, due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the below standard files from Thursday's batch process will not be delivered until Saturday morning:

Form Name	Description
DVRE	Equity Dividend Reinvestment Election
PTD1, PTD2, PTD3, PTD6	PCAS Files
RMIN	Required Minimum Distribution

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

### Bank-Only Holidays

On the following days in 2020, banks will be closed while the NYSE remains open:

- October 12                      Monday                      Columbus Day
- November 11                    Wednesday                    Veterans' Day

The below 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.*



## Holiday Processing Schedule (continued)

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
GCS1	Global Customer Positions – Bank Custody
GMN1	Global Moneyline – Bank Custody

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

Please make a note that there are no trade settlements, sweeps, check deposits or disbursements, Federal Fund wires processing or other banking-related activities on bank holidays. As a result, many standard files will be considerably smaller on these days. *Settlement transactions will occur on the next regular banking business day.*

## Exception Processing

In prior years, Pershing did not run the RUN DATE in the header of files that ran when the NYSE was closed, as the **DATE OF DATA** was not updated in the file header/trailer nor reflected in the file name. This year, however, we have addressed this in most of the standard files to run the RUN DATE even when the NYSE is closed.

- 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:
  - infoDirect
  - FTP ONLY, in cases that use the date name convention

### Exception Table

Form Name	Description	Exception
CRMA	CRM Daily Activity	Runs 365 days per year
HHLD	House Hold Group	Runs on its normal schedule, including holidays
MTEN/RTEN	NetExchange User Report	Runs on its normal schedule, including holidays
NSAT	Audit Trail Report	Runs 365 days per year
OATS	OATS Audit Trail Reporting	Runs on its normal schedule, including holidays

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

## Standard File Support

Pershing provides around the clock support for our clients.

- Urgent production issues should be called into the Pershing Technology Desk at (888) 878-3142. Associates are available 24 hours a day, seven 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 [DataDelivery@Pershing.com](mailto:DataDelivery@Pershing.com) for any questions related to file structure, scheduling or any other non-critical inquiries.



## Additional Information

Contact your home office or your Account Manager to add or remove any recipients from future Standard File Updates 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) 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](#).