



July 22, 2021

Second Quarter 2021 Standard File Update

BNY Mellon's Pershing continuously adds data to the Standard Files to help you grow and manage your business more efficiently. Our latest data additions are listed here.

In Q2 2021, we are covering the following topics for you:

- [Discontinuing Standard Files](#)
- [Standard File Delivery times and System Availability](#)
- [Standard File Support](#)
- [New Standard Files/Standard File Updates General Information](#)
- [New Standard Files](#)
- [Recent and Upcoming Standard File Updates](#)
- [Ops Forum](#)
- [Service Provider Quarterly Forum](#)
- [2021 Holiday Processing Schedule](#)
- [Additional Information](#)

For more information, please email datadelivery@pershing.com or 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, we 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.

Files listed below will stop transmitting any time after the termination date shown below.

Discontinuing Form Name	Discontinuing File Name	Earliest Possible Termination Date <i>Penalty Charges may be incurred by destinations receiving the file after this date.</i>	Replacement Form Name <i>Some form's data is found in multiple replacement files. Field level migration documents are available upon request</i>	Replacement File Name
GTOE	Global Trade Orders	April 30, 2022	GTOL	Global Trade Orders
OELG	Order/Execution Log Books & Records	April 30, 2022	OEGL	Order/Execution Log Books & Records
OORD	Open Order Books & Records	April 30, 2022	OORL	Open Order Books & Records
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity (Update/Initial)
RDM1/2	Receive and Deliver Master	February 1, 2022	RD01-23	Global Clearance Settlement Status (hourly files)



Unused Destination IDs

To help you manage your file feeds, we now conduct periodic reviews of any destination ID with “*No Extract Criteria*”. IDs that have not been configured for four months or more may be deleted. Please contact your Pershing Account Manager if you have any questions.

Best Practices

As a best practice, we strongly recommend using the Global Trade (GTDE/GSDE) file for all trade information. The trade file contains much more information about a trade than the bookkeeping file. The Global Bookkeeping (GACT, GAC1) file should be used for non-trade transactions such as sweeps, dividends, etc.

Standard File Delivery times and System Availability

Our Secure File Transfer Protocol (SFTP) and InfoDirect systems are unavailable weekly from midnight on Sunday until 8:00 a.m. (ET) on Monday, during scheduled server maintenance.

General file delivery target times are documented in the Pershing System and File Availability Schedule located in Reference Documents in NetX360®.

Standard File Support

We provide around the clock support for our clients. Urgent production issues should be called into the Pershing Technology Help Desk at (888) 878-3142 where our associates are available 24 hours a day, seven days a week. Please be prepared to provide your three-character Destination/Remote ID, file name(s) and business date, as well as any relevant examples of the issue.

Please contact DataDelivery@Pershing.com for any questions related to the file structure, scheduling or any other non-critical inquiries.

New Standard Files/Standard File Updates General Information

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

Each layout shows the date it was last updated. 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 Service Center within NetX360®. The path is Administrative Services > Standard Files > Add Files to Existing Destination.

Please 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 to “*Not Used*” fields and new values are not subject to pre-announcement. Updates may also impact the number of records you receive.

New Standard Files

Form Name	File Name	Description
OORL	Open Orders, Books & Records	This new file is now available in production. This file will replace the legacy OORD file and may be requested through Service Center to run in parallel with the existing file. Please see the file layout for complete details.



Recent and Upcoming Standard File Updates

Form Name	File Name	Description
ACCF/T	Customer Account Information	To support the Internal Revenue Service (IRS) - Individual Retirement Account (IRA) Escheatment Withholding Requirement - IRA - Escheatment Indicator to be added in ACCF/T in Record B, position 635. Also, Intermediary Account Indicator is now in Record A position 476. Please see file layout for complete details.
BPDF/F	Business Party Information	To help assist our clients comply with CAT regulation, a Large Trader Effective Date for CAT entities is now in Record A, position 512. Please see file layout for complete details. To support paper reduction, the Master Mnemonic is now in Record J, position 384 and the country of organization is in position 393. Starting July 16, 2021, an additional 'A' record will be generated for each Rep code at your company. An additional corresponding 'F' record will also be generated containing the Advisor/Advisor Team information as related to that Rep code. The existing Advisor/Advisor Team 'A' records and Rep 'F' records will remain. The change is to send additional Rep 'A' records related to Advisor/Advisor Team 'F' records. This change will effectively increase the number of 'A' and 'F' records you will receive based on the number of Rep codes you have set up under your Advisors/Advisor Teams.
FT10/FT20	Firm Trading	Asset type, sub type and sub-sub type has been added to both files starting in position 476. Please see file layout for complete details.
GACT/GAC1	Global Booking File	We are making an enhancement to improve tax reporting and offer more consistent processing of all corporate actions. This enhancement will alter how fractional shares are processed and presented in standard files. Currently scheduled for production on June 4, 2021, the transaction/source code LEU will include cash amounts in the Net Amount field, and fractional shares in the quantity field. Consequently, LEU will use PAR Key Code 10 in place of code 39.
GTDE/GSDE/ GTOE/GTOL	Global Trade/Global Trades Orders	We have added the internal version number in Record B, position 1225. Please see file layout for complete details.
MFDS	Mutual Fund Description	We have added a 12b-1 indicator to filler in position 396. Please see the file layout for complete details.
RPF/RPFP	Retirement Plan Invoice	As part of the update to the Pershing's billing system, the Pershing Fee Amount and Client Fee Amount have been added to filler starting in position 196.

Upcoming Standard File Updates

SETD/F	Settlement Instructions	We are adding a new mandatory record to support STEP, Execution Plus accounts. Currently planned for March 2022, Record G will provide settlement instructions for STEP accounts. Once the change is in production the record will be included automatically for all clients with STEP accounts. Please see the file layout for complete details.
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Ops Forum

These Standard File updates will be a discussion topic in an upcoming Ops Forum call. An invitation for this event will be sent via email to the broker-dealers' Operation Managers and File Transfer Liaisons. Please be on the lookout for your invite.

Service Provider Quarterly Forum

On August 4, 2021, we will host a conference call for third-party service providers who aggregate data on behalf of our clients. The agenda, moderated by our file delivery and subject-matter experts, will include a review of this quarterly update. Invitations will be sent to service providers soon.

Contact datadelivery@pershing.com to add contacts to this invite.

2021 Holiday Processing Schedule

We follow the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the following dates in 2021:

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|---------------------------|----------|------------------|
| ▪ September 6 | Monday | Labor Day |
| ▪ November 25 | Thursday | Thanksgiving Day |
| ▪ *December 24 (observed) | Friday | Christmas Day |

*There are some exceptions to the above, please see [Standard File Holiday Processing 2021](#) for details.

For more information concerning Standard File holiday run schedules, please email datadelivery@pershing.com.

Additional Information

Contact your home office or your Account Manager to add or remove any recipients from future Standard File Update 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 to request changes to their email distribution lists.

If you have any questions regarding standard file delivery or configurations, email datadelivery@pershing.com. For inquiries regarding standard file content, contact Standard Files Project Management at standard.files.pms@bnymellon.com. For urgent, off-hours or other issues, please contact our Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

Previous quarterly Standard File updates and other Standard File information is found on the [standard file layouts website](#).