

OPERATIONS Update

September 27, 2010

Third Quarter 2010 Standard File Update

This quarterly update contains information regarding new standard files, revisions to existing standard files and other standard file-related information. The links below will enable you to go directly to specific sections of this update.

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To add or remove any individual from the distribution of future Standard File Updates, contact your home office or Pershing Account Manager. To ensure that standard file updates will not be missed by key members of your department, please consider replacing your individual e-mail address with a group e-mail address in your firm's distribution list at Pershing. Service providers should contact Pershing's Data Delivery Group at datadelivery@pershing.com to request changes to their distribution lists.

Website for Standard File Layouts

Standard file layouts are available for download in Portable Document Format (PDF) from a secured area of Pershing's website, Pershing.com. Standard file layouts can be accessed only at http://www.pershing.com/standard_files/layouts.html. Visitors to the Pershing.com home page and other areas of the site will not be able to reach this secured page.

Recent Standard File Updates

The following enhancements have been made to existing standard files. Please review the file layouts for more details.

FORM NAME	FILE NAME	DESCRIPTION
ACCF/ACCT	Customer Account Information	Two new records have been added: <ul style="list-style-type: none"> ▪ Record K contains information for 85 added custom fields in Pershing's Account Services application. You will receive this record if you currently receive Records I and J in ACCF/T. K records are produced for accounts having in excess of 15 custom fields; multiple K records, up to a maximum of nine records, will accommodate additional custom fields as needed. ▪ Two new fields, Advisory Account Indicator and Product Profile Code, were added to Record W, starting in position 698
ACTV	ACAM Fund Activity	A new field, CUSIP [®] , was added to Record A, positions 114-122.
AMSI	Asset Movement Standing Instructions	A new record type, Record G, was added to accommodate a new instruction, Retirement Tax Withholding (W4P), which will enable maintenance of clients' federal and/or state tax withholding elections.

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Recent Standard File Updates (continued)

FORM NAME	FILE NAME	DESCRIPTION
EMSD	Entitlement File	A new standard file was created to support entitlement profile details.
FUND	Automated Cash Management (ACAM) Fund Balances	A new field, CUSIP, was added to record A, positions 117-125.
GACT	Global Bookkeeping Activity	A new field, Repo Identifier, was added to Record A, position 695.
GCUS	Global Customer Position	New fields, Repo/Reverse and Repo/Collateral Pledge Information, were added to Record B, positions 113-416.
GOTX	Global Open Order and Trade Execution	Several new fields were added, including but not limited to: International Securities Identification Number (ISIN), International Organization for Standardization (ISO), currency code and primary non-U.S. dollar (USD) exchange to accompany our non-dollar order entry changes. Please see the layout for full details.
INTC	Customer Cash Due	This new file contains customer cash due interest/participation details (INTC).
INTM	Customer Margin Interest	This new file contains customer margin interest details (INTM).
INTN	Customer Non-Purpose Loan	This new file contains customer non-purpose loan (NPL) interest/participation details (INTN).
ISCA	Security Descriptions—International and Domestic	A new field, Price Purge, was added to Record C, positions 124-130.
OELG	Order Execution Books and Records	Several new fields were added, including but not limited to: ISIN, ISO currency code and primary non-USD exchange to accompany our non-dollar, order entry changes. Please see the layout for full details.
SPAT	Security Profiles from Application Security Database System and Top Secret	<p>Pershing introduced three new record types to this file:</p> <ul style="list-style-type: none"> ▪ Record M—User Data Profile Information ▪ Record N—User Individual Data Entitlement Information Not in Data Profile ▪ Record P—Entitlement Management System User Alternate Identifiers <p>NOTE: There is no Record O in this file.</p>

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Upcoming New Standard Files and Standard File Updates

Implementation dates are subject to change. Please review the file layouts for more details.

FORM NAME	FILE NAME	DESCRIPTION
ACA2	Account Transfers, Incoming and Outgoing	To aid you in the identification of your clients' asset transfers, a new 12-byte field, Request ID, will be added to filler in position 488, in every detail record of the file. The new field will start to populate in the September/October timeframe.
ACCF/T	Customer Account Information	Three new fields were added to Record C, Main Account Information, Address 1–2, in positions 686–693, to accommodate cost basis changes. Implementation will be in the fourth quarter of 2010.
		Information in Records M, N and O cannot accommodate the complexity of asset movements that can be applied via the expanded asset movement system. These records will be removed after September 30, 2010. Please refer to the AMSI file for asset movement information.
ISCA	Security Descriptions—International and Domestic	New fields for leveraged exchange-traded funds (ETFs) and leveraged mutual funds in Record I, positions 042–061, will be added after September 30, 2010.
		As previously announced, we will soon discontinue populating our Old Interest Calculation Code field in Record A, position 121. The field will be changed to filler sometime after September 30, 2010. You should have already switched to the new Interest Calculation Code field in Record B, position 127.
GCUS	Global Customer Position	Accrued Interest Value from Last Payable Date will be added in Record B, positions 417-435, in the fourth quarter of 2010. The new fields will display the interest accrued since the last interest payment date for fixed income instruments. With this new field and the previously announced Repo and Collateral Pledge fields that were recently added to GCUS, the B record could become more prevalent, and the size of your GCUS file may greatly increase.
GMON	Global Moneyline	Two new fields, Equity Percent and Settlement Date Net Worth, will be added to the new, optional Record C. Implementation will be in the fourth quarter of 2010.
POTL	Portfolio Open Tax Lots	To accommodate impending cost basis reporting regulations, this new standard file will replace the current Pershing Portfolio Evaluation System (PPES) standard file. Anticipated production date is November 12, 2010.
PTLD	Portfolio Tax Lot Dispositions	This new, cost basis-related standard file will replace the Pershing Account Closed Tax Lots (PACT) standard file, to accommodate impending cost basis reporting regulation. Anticipated production date is November 12, 2010.

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Standard File Delivery Infrastructure (SFDI)

Pershing enables your firm to directly manage your standard files' data via the Standard File Delivery Infrastructure (SFDI). SFDI simplifies the setup and maintenance necessary for Pershing to deliver standard files to your firm and to your data vendors. It is accessible via Destination Extract Criteria under the Admin tab in NetX360™.

SFDI has replaced the need for several standard file Service Center request types. We no longer accept Service Center requests for standard file configuration changes; all configurations must now be performed by you in SFDI. The following Service Center request types were modified and/or removed to accommodate the SFDI model:

- Add Off/IP to Existing Site (removed)
- Advent Request (modified)
- Create New InfoDirect Site (modified)
- Add IBD to Existing Site (new)

If your home office does not see the required destination identifications in the SFDI summary screen, you should submit a Service Center request to Data Delivery. Then, follow the instructions for creating new extract criteria in the Task Reference sheet, *How to Browse, Add or Edit Extract Criteria for Standard File Destinations*, found in the Material Catalog under Resources in NetX360.

Retiring Standard Files and NPPI

In light of stricter regulatory concerns surrounding data privacy, we have made the decision to aggressively terminate retired files that contain privacy-related data. This data is contained in the replacement files and should no longer be accessed in the retired file. For your convenience, all of our retired standard files are listed below with their replacement files and termination dates, where applicable. Retired files continue to be transmitted for those who currently receive them, but cannot be added to a remote site. These files are expected to be eliminated and are not subject to any remediation. Known elimination dates are noted.

RETIRING FILE NAME	RETIRING FORM NAME	REPLACEMENT FILE NAME	REPLACEMENT FORM NAME/NOTES	ELIMINATION/TURN-OFF DATE (anytime after)
Customer Information Database (CID) Books and Records	CIBR	Account Services	ACCF/ACCT	Network Data Mover (NDM) and File Transfer Protocol (FTP): August 31, 2010
Commission and Payout System Monthly Trade Date	CPTM	CAPS Monthly File	CPSM	September 30, 2010
Security Description—Domestic	DESC	Security Description—International and Domestic	ISCA	January 31, 2012
Global Processing	GTR1	Global Trade	GTDE	September 30, 2010
Global Processing	GTR2	Global Trade	GTDE	September 30, 2010
Global Processing	GTR4	Global Trade	GTDE	September 30, 2010
Name and Address Add	NADD	Customer Account Information Add	ACCT	NDM and FTP: August 31, 2010
Name and Address Add	NAFL	Customer Account Information Refresh	ACCF	NDM and FTP: August 31, 2010

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Retiring Standard Files and NPPI (continued)

RETIRING FILE NAME	RETIRING FORM NAME	REPLACEMENT FILE NAME	REPLACEMENT FORM NAME/NOTES	ELIMINATION/TURN-OFF DATE (anytime after)
Name and Address Change	NCHG	Customer Account Information Change	ACCT	NDM and FTP: August 31, 2010
Pershing Account Closed Tax Lots	PACT	Portfolio Tax Lot Disposition	PTLD	To be determined
Pershing Portfolio Evaluation System	PPES	Portfolio Open Tax Lots	POTL	To be determined
Pershing Online Name and Address system (PONA) 9 Detail Add	PN9A	Customer Account Information	ACCT	NDM and FTP: August 31, 2010
PONA 9 Detail Change	PN9C	Customer Account Information	ACCT	NDM and FTP: August 31, 2010
PONA 9 Detail Full	PN9F	Customer Account Information	ACCF	NDM and FTP: August 31, 2010
PONA Cash	PONA	Customer Account Information	ACCT/F	NDM and FTP: August 31, 2010
PONA Supplemental Add	SUPA	Customer Account Information	ACCT	NDM and FTP: August 31, 2010
PONA Supplemental Change	SUPC	Customer Account Information	ACCT	NDM and FTP: August 31, 2010
PONA Supplemental Full	SUPF	Customer Account Information	ACCF	NDM and FTP: August 31, 2010
Trade File	TRDE	Global Trade	GTDE	To be determined

Pershing Holiday Schedule and Standard Files Processing

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

November 25	Thursday	Thanksgiving
December 24	Friday	Christmas

Therefore, files will not be received on any of these evenings or the following mornings. 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 Products Financial Activity (ASPF), Matched/Unmatched (MUPM) and Mutual Fund Dealer Agreements (MFDA).

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Pershing Holiday Schedule and Standard Files Processing (continued)

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

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

October 11	Monday	Columbus Day
November 11	Thursday	Veteran's Day

Therefore, two of our banking-related files, ACAM Fund Activity (ACTV) and Projection of Systematic Withdrawal (PSWF), will contain only headers and trailers on those nights. Please expect these file(s) to be empty and process them accordingly.

Additionally, the ACAM Fund Balances (FUND) file will go out on these dates with the same data from its previous batch run.

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

Additional Information

If you have questions regarding Pershing standard files, please contact Pershing's Technology Help Desk at (800) 876-2001, option 3, or (201) 413-2001.