

OPERATIONS Update

October 6, 2011

Third Quarter 2011 Standard File Update

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

- [New Files and Recent Standard File Updates](#)
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Standard file layouts are available for download in portable document format (PDF) via pershing.com/standard_files/layouts.html, a secured area of Pershing's website. Visitors to the Pershing.com home page and other areas of the site will not be able to reach this page.

PLEASE NOTE: In the layouts, fields marked "Not Used" are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** There will not always be an opportunity to provide information on these changes to our files in advance, but we will announce them as soon as possible.

In this issue:

New Security Descriptions (ISCA) file values will identify daily and weekly interest payments for debt securities. [Page 2](#)

Use host data set names to avoid potential delivery failures and delays in standard file transmissions. [Page 4](#)

Directly configure your ACD Account Level Requests using the SFDI system. [Page 4](#)

The Security Description – Domestic (DESC) standard file will cease transmission anytime after January 31, 2012. [Page 5](#)

New Files and Recent Standard File Updates

You may review changes to our standard files before they are put into production by performing transactions and receiving files from our customer testing region. Contact your Pershing Account Manager for more information.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	FINRA Institutional Account Code was added to Record B, position 638. The new field will be used to identify accounts defined as "institutional" under National Association of Securities Dealers (NASD [®]) Rule 3110(c)(4), which becomes Financial Industry Regulatory Authority [®] (FINRA [®]) Rule 4512(c), effective December 5, 2011.
GOTX	Global Open Order and Trade Execution	The Percentage of First Money (PFM) sales commission type is now available for both U.S. and non-U.S. dollar equity and option trades. As previously announced, PFM is represented by the value "9" in Record C, position 172. Please see the file layout for details. NOTE: The Commission/Sales Credit Type Code field will remain blank when a commission type is not available.

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New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
GTDE	Global Trade	The PFM sales commission type is available for both U.S. and non-U.S. dollar equity and option trades. As previously announced, PFM is represented by the value “7” in the Commission/Sales Credit Type field in Record B, position 277. Please see the GTDE layout for details. NOTE: The Commission/Sales Credit Type Code field will remain blank when a commission type is not available.
		A new field, Mortgage Backed Securities Market Participant Identification, has been added to Record A, position 1056. Please see the file layout for details.
ISCA	Security Descriptions	A new field, Outstanding Shares Date, was added to optional Record I, positions 063–070. Please see the file layout for details. If your firm does not receive Record I and would like to use the new field, please enter a Service Center request via NetX360 [®] . Send an e-mail to datadelivery@pershing.com , if you have questions.
		A new field, Structured Product Indicators, was added to Record D, position 130. Please see the file layout for details.
OELG	Order/ Execution Books and Records	The PFM sales commission type is available for both U.S. and non-U.S. dollar equity and option trades. As previously announced, PFM is represented by the value “09” in Record A, positions 273–274. Please see the file layout for details. NOTE: The Type of Commission Code field will remain blank when a commission type is not available.
		Nine fields have been added to correspond to expanded equities trading availability in NetX360, including: Order Variance Type Code, Quote Preference Type Code, Price to Market, Rollover Indicator, positive and negative Breakpoint Amount and Breakpoint Quantity, and Breakpoint Type Code. Please see the file layout for field positions and additional details.
		A new field, Limit Price, was added to Record C, positions 274–292. Please see the file layout for details.
OORD	Open Orders Books and Records	The PFM sales commission type is now available for both U.S. and non-U.S. dollar equity and option trades. As previously announced, PFM is represented by the value “09” in Record A, positions 273–274. Please see the file layout for details. NOTE: The Type of Commission Code field will remain blank when a commission type is not available.
OPTD	Daily Option Exercise and Assignment	NEW FILE This daily file offers bookkeeping transactions for exercised and assigned options, based on the option expiration cycle. It will not include expired options. Please see the file layout for more details.

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New Files and Recent Standard File Updates (continued)

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
TRDS	Settlement Date Trades	<p>PFM is available for both U.S. and non-U.S. dollar equity and option trades. As previously announced, PFM is represented by the value “7” in Record 3, position 127. Please see the file layout for details.</p> <p>NOTE: The Commission Code field will remain blank when a commission type is not available.</p>

Upcoming Standard File Enhancements

The implementation dates below are subject to change. Please review the file layouts for more details.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
ACCF/T	Customer Account Information	<p>The following enhancements are anticipated for fourth quarter 2011:</p> <ul style="list-style-type: none"> ▪ An S-Corporate Tax Classification Code field will be added to Record B, position 631 ▪ A Disposition Method for Stocks in Dividend Reinvestment Plans (DRIPS) field will be added to Record C, position 694
ISCA	Security Descriptions	<p>We will soon discontinue populating our old Interest Calculation Code field in Record A, position 121, and will convert it to filler. You should have already switched to the new Interest Calculation Code field in Record B, position 127.</p>
		<p>The following enhancements to ISCA are anticipated for fourth quarter 2011:</p> <ul style="list-style-type: none"> ▪ A new field, Next/Last Coupon Date, will be added to filler in Record D, positions 123–129. Please see the file layout for more details. ▪ A new field, Perpetual Bond Indicator, will be added to filler in Record D, position 131. Please see the file layout for more details. ▪ Two new values will be possible in the Interest Frequency field will identify daily (“D”) and weekly (“W”) interest payments for debt securities. They are now defined in Appendix A in our layout website.

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Domain Name System/Host Names For Data Retrieval

When pulling your Pershing generated standard files, or in scripts you engage to allow transmission from Pershing's servers to your destination, please use Pershing's Domain Name System (DNS) or host names, rather than a direct Pershing Internet Protocol (IP) address. Using the DNS/host name will avoid delivery failures and delays that could occur if Pershing must re-route its file delivery.

CURRENT IP ADDRESS	REPLACEMENT DNS/HOST NAME
170.61.20.129	ftp5.pershing.com
170.61.13.129	devftp5.pershing.com
170.61.20.134	ftp1.pershing.com
170.61.13.134	devftp1.pershing.com

Please contact Pershing Customer Systems Integration at CSIGroup@pershing.com for more information.

New Process: Advent Custodial Data Account Level Requests

You can now configure your ACD Account Level Requests directly using the SFDI system, which allows you more control over your data. Advent Service Center requests are no longer accepted.

Although **ALL** existing ADV indicators will remain in your ACCF or ACCT file until further notice, you will not see any new ADV Account Level Routing Codes. We will offer a step-by-step process document to guide you through initial requests and recommend that you perform a data integrity check of all your existing Advent Account Level configurations as you take over this new processing. If you have questions, please contact Data Delivery at datadelivery@pershing.com.

Data Integrity via Standard File Delivery Infrastructure System

The SFDI system identifies and verifies the accuracy of the accounts that have been assigned to the data we send to all of your standard file destinations, which effectively gives you ownership of your standard file configurations.

You should have previously verified that all data sent to your destination IDs and to your service providers are accurate, including Advent destinations you have been configuring. We also recommend that you verify the accuracy of the data that Advent sends on your behalf to destinations that represent Advent copy numbers (i.e., individual Advent clients) and regularly validate your standard file configurations.

Since you are now assuming the configuration of your ACD Account Level Requests, please confirm that all configurations to the SFDI destination below are correct.

DESTINATION ID	ADVENT PRODUCT	ADVENT BUCKET
F1F	Advent Account Level	P3

If we do not hear from you by October 15, 2011, we will assume you are satisfied with the accuracy of your SFDI configurations on destination F1F and the Advent copy number(s) associated with your data. If you need to edit the SFDI to extract criteria that you send to Advent, you must notify Advent of your data change and include the Advent copy number that refers to it. For Advent configurations, note that a single account can belong to multiple Advent copy numbers. Please send an e-mail to datadelivery@pershing.com, if you need assistance.

For more information about SFDI, please refer to the task reference sheet, *How to Browse, Add or Change Destinations and Extract Criteria for Standard Files*, which is available in the Learning Center via Resources in NetX360.

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Retiring Standard Files

Due to stricter regulations surrounding data privacy, we are aggressively terminating retired files that contain such data. The retiring 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.**

RETIRING FORM NAME	RETIRING FILE NAME	TERMINATION DATE (anytime after)	REPLACEMENT FORM NAME	REPLACEMENT FILE NAME
DESC	Security Description — Domestic	January 31, 2012	ISCA	Security Description— International and Domestic
IADF	IBD Avail Download	To be determined	MASF	Account Billing
MAFB	Managed Account Fee Billing	To be determined	MASF	Account Billing
PPES	Portfolio Activity	To be determined	POTL	Portfolio Open Tax Lots
PACT	Portfolio Holdings	To be determined	PTLD	Portfolio Tax Lots Disposition
TRDE	Trade File	To be determined	GTDE	Global Trade

Standard Files Holiday Processing

Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®) and will not run batch processing on the remaining 2011 dates below:

Thursday, November 24	Thanksgiving Day
Monday, December 26	Christmas Observance

Therefore, standard files will not be processed on any of these evenings or the following mornings.

Monday Holidays

If a holiday falls on a Monday, any weekly files scheduled to run on Mondays 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), Easy to Borrow (EZBR) and Mutual Fund Dealer Agreements (MFDA).

Friday Holidays

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.

Also, due to external job dependencies, the receipt of some standard files is delayed on Friday holidays. Therefore, the following standard files will not be delivered until Saturday morning: Equity Dividend Reinvestment Election (DVRE), The PCAS Files (PTD1, PTD2, PTD3 and PTD6) and Receive and Deliver Master (RADM).

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Standard Files Holiday Processing (continued)

Bank Holidays

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

Monday, October 10	Columbus Day
Friday, November 11	Veterans Day

Two banking-related files, ACAM Fund Activity (ACTV) and Projection of Systematic Withdrawal (PSWF), will contain only headers and trailers on the above nights. Please expect these files 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.

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

Because there is no sweep, check deposit or disbursement or federal fund wire processing on bank holidays, the Check and Federal Fund Detail (CKFF) file and other files that detail such activity will be much smaller on these bank holidays.

EXCEPTION: The Audit Trail Report (NSAT) does not follow holiday processes. It runs 365 days per year. It is especially important to note the run date in the header of the NSAT file as the date of the data does not change on non-business days.

Additional Information

Contact your home office or Pershing Account Manager to add or remove any individual from the distribution of future standard file updates. Please consider replacing your individual e-mail address with a group e-mail address in your firm's distribution list at Pershing, to ensure that these updates will not be missed by key members of your department.

Please share the above information with the service providers that process standard files on your behalf. Service providers should contact Pershing's Data Delivery Group at datadelivery@pershing.com to request changes to their distribution lists.

If you have questions, please contact Pershing's Technology Help Desk at (888) 878-3142, option 4. From outside the United States, dial (732) 622-2150.

Copies of this and previous quarterly updates are posted on the [standard file layouts website](#), and can be accessed via the links below.

- [Second Quarter 2011 Update](#)
- [First Quarter 2011 Update](#)
- [Fourth Quarter 2010 Update](#)