

October 15, 2015

## Third Quarter 2015 Standard File Update

This communication announces new standard files, revisions to existing files and other standard-file and intraday-message-related information.

- [New Files](#)
- [Recent Standard File Updates](#)
- [Upcoming Standard File Enhancements](#)
- [Special Year-end Processing](#)
- [Service Provider Quarterly Forum](#)
- [Retiring Standard Files](#)
- [Standard File Holiday Processing](#)
- [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.

Standard file layouts can be downloaded via [http://files.pershing.com/standard\\_files/layouts.html](http://files.pershing.com/standard_files/layouts.html), which links to a secured area of Pershing's website. The page cannot be accessed from any area of pershing.com.

**NOTE:** Fields marked "Not Used" in the layouts are not necessarily empty fields. **Pershing reserves the right to use these fields at any time.** Not all updates are provided in advance, but all will be announced as soon as possible.

### New Files

These files may be requested through the following Service Center path: *Administrative Services > Standard Files > Add Files to Existing Site.*

### Managed Investments

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
<a href="#">AMAF</a>	Advisory Account Information	Provides advisory account information for client accounts.
<a href="#">AMSP</a>	Advisory Managers, Styles and Programs File	Includes all managers (Separately Managed Accounts and non-Separately Managed Accounts) with whom there are valid contracts. A full file is sent nightly.

### Brokerage

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
<a href="#">FATC</a>	Foreign Account Tax Compliance Act	Contains information associated with the Foreign Account Tax Compliance Act. A full file is created nightly. This file may be requested through Service Center.
<a href="#">SPRO</a>	Subscriber Entitlement Profile	Provides a link between Subscriber/User ID and profile(s).
<a href="#">SRSI</a>	Scheduled Instructions	Contains the systematic instruction detail for accounts that have scheduled buys, sells or exchanges. The file contains the instructions including, but not limited to, account, CUSIP <sup>®</sup> , quantity, transaction amount, applicable dates and more. A full file is created nightly.

## Recent Standard File Updates

Refer to 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 immediately and projected changes include effective dates.

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
<a href="#">ACCF/T</a>	Customer Account Information	Due to regulatory changes, Position 696 in Record C “Treat All Interest as Original Issue Discount” (OID) is no longer valid and is reverting to filler.
<a href="#">BPF/D/BPFF</a>	Business Party Information	Business Party Status has been added to Record A, Position 326. A House Rep Indicator has been added to Position 328.
<a href="#">CAPS/CAPT</a>	Daily Caps	The Pershing Internal Order Reference number has been added to Record 5, Position 98.
<a href="#">GTOE/OELG</a>	Global Trades—Orders/Order/Execution Log for Books and Records	A Principal Consent Indicator has been added to both files in space previously defined as filler.
<a href="#">PTLD</a>	Portfolio Tax Lot Dispositions	The actual trade date for average cost positions is now displayed in Position 336.

## Upcoming Standard File Enhancements

FORM NAME(S)	FILE NAME(S)	DESCRIPTION
<a href="#">AMSI</a>	Asset Movement Standing Instructions	Scheduled for release in 2016, two optional records are being added to this file. When they become available, they may be requested through Service Center. Additionally, new values will be added to this file.
<a href="#">OORD</a>	Open Orders—Books and Records	<p>Scheduled for production in first quarter 2016, Pershing is updating this file to include orders entered in:</p> <ul style="list-style-type: none"> <li>▪ ATOMS</li> <li>▪ GLTrade</li> <li>▪ Liquid Point</li> <li>▪ Neovest</li> <li>▪ RealTick</li> <li>▪ TCMS</li> <li>▪ UTF</li> <li>▪ FOMS</li> <li>▪ Cape Logic</li> </ul> <p>Previously, this file only contained orders entered through ATOMS. Position 22 will have additional values to reflect these new source systems. Record C has been expanded to support additional products such as fixed income, alternative investments and other products. Each product will have a different C Record.</p>
<a href="#">ISCA</a>	Security Description	The Market Status Code will be removed from Record C, Position 17 and this will revert to filler.

## Special Year-end Processing

The Required Minimum Distribution File, RMIN, will be re-sent at year’s end. Therefore, the files from January 4 to January 6, 2016, will include data from December 31, 2015. On January 7, 2016, the file will contain data for 2016 only.

## Service Provider Quarterly Forum

On Wednesday, November 4, 2015, Pershing will host a conference call for third-party service providers who aggregate data on behalf of Pershing clients. The agenda will include a review of the quarterly update. Invitations will be sent to all eligible providers shortly. A short survey will be distributed after the meeting.

## Retiring Standard Files

Due to stricter data privacy regulations, we are aggressively terminating retired files containing personal data. These files will not be subject to remediation or updates and will not be added to any new destinations. We recommend that you migrate to the replacement file within one year of a file's retirement date. **Failure to do so may result in additional standard file-related charges to your firm. Retired files can stop transmitting and penalty charges may apply any time after the dates indicated.**

RETIRING FORM	RETIRING FILE	RETIREMENT ANNOUNCED	PENALTY CHARGES MAY APPLY	TERMINATION DATE	REPLACEMENT FORM	REPLACEMENT FILE
DESC	Security Description—Domestic	December 2008	March 31, 2013	January 31, 2012	ISCA	Security Description—International and Domestic
GOTX	GLOBAL OPEN ORDER AND TRADE EXECUTION	April 2015	April 30, 2016	April 30, 2016	GTOE	GLOBAL TRADE & ORDER DETAILS
RADM	Receive and Deliver Master	July 2013	July 2014	November 30, 2015	RDM1 and RDM2	Receive and Deliver
TRDE	Trade Date Trades—Domestic	December 2007	March 31, 2013	March 31, 2014	GTDE	Global Trade Date Trades
TRDS	Settlement Date Trades—Domestic	March 2013	April 1, 2014	March 31, 2014	GSDE	Global Settlement Date Trades

## Standard File Holiday Processing

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

- Thanksgiving Day (Thursday, November 26)
- Christmas (Friday, December 25)

Standard files will not be processed on any of these evenings or the following mornings.<sup>1</sup>

<sup>1</sup> The CRM Daily Activity (CRMA) and the Audit Trail Report (NSAT) files run 365 days per year, regardless of holidays. The House Hold Group (HHLG), Net Exchange User Report (MTEN) and OATS Audit Trail Reporting (OATS) files run on their particular schedule, regardless of holidays.

## Standard File Holiday Processing (Continued)

### Monday Holiday

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 Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Mutual Fund Dealer Agreements (MFDA), and Receive and Deliver Master (RDM1 and RDM2).

### Friday Holiday

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

Because Thursdays that precede Friday holidays are treated as Fridays, files that would normally deliver Friday data on Monday morning, will deliver their Thursday data on Monday morning. This applies to files such as Account Transfers (ACA2), Subscription Product Files (ASPC, ASPO and ASPF), Cost Basis Reporting Service (CBRO), Easy to Borrow (EZBR), Loan Advance (LADV), Mutual Fund Dealer Agreements (MFDA), and Receive and Deliver Master files (RDM1 and RDM2).

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: Bondworks Account Tax Lots (BWTL), Equity Dividend Reinvestment Election (DVRE), the PCAS Files (PTD1, PTD2, PTD3 and PTD6), and Required Minimum Distribution (RMIN).

### Bank Holiday

Banks will be closed while the NYSE remains open on the following holidays:

- Veteran's Day (Wednesday, November 11)

Therefore, banking related files such as ACAM Fund Activity (ACTV), Subscription Products Commissions (ASPC), Bank Activity AM (BAAM) and Projection of Systematic Withdrawal (PSWF) will contain only headers and trailers for them. Please expect these file(s) to be empty and process them accordingly.

Additionally, the ACAM Fund Balances (FUND) and Omnibus FUND Balances (FUNO) files will go out on these dates with the same data from their previous batch run.

Note that trades do not settle on bank holidays. This can affect the size or content of many files, such as the daily Commission and Payout System (CAPS) file, the Settlement Date Trades (GSDE) 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 standard files that detail such activity will be much smaller on these bank holidays.

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## Additional Information

Contact your home office or 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.

Share the above with the service providers that process standard files on your behalf. Service providers should contact Pershing's Data Delivery Group at [datadelivery@pershing.com](mailto:datadelivery@pershing.com) to request changes to their distribution lists.

If you have any questions regarding standard file delivery and configurations, email [datadelivery@pershing.com](mailto:datadelivery@pershing.com). Regarding content, contact Standard Files Project Management at [standard.files.pms@bnymellon.com](mailto:standard.files.pms@bnymellon.com) or call Pershing's Technology Help Desk at (888) 878-3142 or (732) 622-2150, option 4.

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