



October 19, 2017

Third Quarter 2017 Standard File Update

This communication provides standard file information on these topics:

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

Standard File Website

Standard file layouts can be downloaded via http://files.pershing.com/standard_files/layouts.html. The page cannot be accessed from any area of Pershing.com. 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 are not always provided in advance, but will be announced as soon as possible.

Pershing is constantly striving to improve our products and processes. We welcome comments and suggestions which may be sent to datadelivery@pershing.com. As always, we appreciate your support.

New File Delivery System

In the coming months, we will migrate to a new file delivery system. This will affect all Sterling File Transfer Protocol (FTP) clients and InfoDirect FTP users. Network Data Mover clients will not be affected. Click [here](#) for technical details. As part of this change Pershing will no longer support uncompressed files. FTP files will be zipped. InfoDirect files will not be compressed. As this migration progresses individual firms will be contacted directly.

New Files

You can request files via Service Center path: *Administrative Services > Standard Files > Add Files to Existing Site.*

Form Name	File Name	Description
RTEN	Enrollments	RTEN is a full file, which contains only records B, C, D and E, and runs on Monday mornings, on request. It is recommended that RTEN be received at the outset, one time, to establish a baseline of information.



Recent Standard File Updates

See 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 as soon as they are known and projected changes include target dates.

Form Name	File Name	Description
AMSI	Asset Movement Standing Instructions File	Two new optional records, J and K, are available. These new records address non-USD wires and may be requested through Service Center.
ASPC/ASPF/ASPO	Subscription Products	Effective September 2016, the DTCC made regular updates to its layouts that are embedded in our listed annuity standard files. DTCC records enable insurance carriers to send details regarding the beneficiaries on the contract or policy. Contact Data Delivery for the updated DTCC record information.
GTDE/GSDE/GTOE	Global Trades & Global Trades-Order File	An indicator for No Transaction Fee (NTF) for Exchange-Traded Funds (ETFs) has been added in position 370, Record A. Additionally, a Trace/Treasury When Issued Indicator has been added in position 387, Record A. Both updates were made in space previously designated as filler.
ISCA	Security Information File	Two optional records, M and N, have been added. These new records provide upcoming call date and coupon interest rate schedules respectively. They may be requested through Service Center. A Variable Rate Category Code has been added to position 127, Record J.
OELG	Order/Execution Log for Books and Records	Two new fields have been added to space previously designated as filler. Order Processing System Identifier has been added in position 459 in all records. UIT Expiration Date has been added in position 335, or Record C, for UIT orders.

Upcoming Standard File Enhancements

Form Name	File Name	Description
ACCF/ACCT	Customer Information File	Three new fields will be added to Record A and H in support of the Vulnerable Adult FINRA Regulation. A Skip Tax reclaim indicator will be added to Record 4. The availability date of these fields has not been determined.
GTOE	Global Trades-Order File	Order Capacity Principal Agency Code is being added in Record C in space formally defined as filler.
GTDE/GSDE/GTOE/ORDS	Global Trade Settlement/Global Trade-Orders/Open Orders Files	To support new MIFID and CAT requirements, order and execution times are being expanded to include milliseconds. This change is using space previously designated as filler and is anticipated to be in production in the fourth quarter.



New Appendices

Two new appendices have been added. They are Appendix 7 Par and MAXX Key Codes and Appendix 8 Source Codes. See our website for complete details.

Ops Forum

Standard file updates will be a discussion topic in an upcoming Ops Forum call. Watch your email for an invitation.

Service Provider Quarterly Forum

On November 1, 2017, 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 the quarterly update. Invitations will be sent to all eligible providers soon. A brief survey will be sent after the meeting.

Year-end Processing

Temporary NDM and FTP Freeze

New Network Data Mover (NDM) and FTP standard file remote site requests cannot be created from December 8, 2017, through January 5, 2018, based on time zones. However, requests for new InfoDirect sites will continue to be executed.

New files may not be added to your NDM destinations during this period, although existing files may be deleted. We will continue to honor requests to both add and delete files from your existing FTP and InfoDirect FTP destinations. You may also continue to update extract criteria on all of your existing destinations.

Required Minimum Distribution File (RMIN) File

The RMIN file containing final 2017 information will be sent on January 3, 2018. The RMIN file will not be delivered on January 3 or January 4. The first file containing only 2018 data will be delivered on January 5.

2017 Holiday Processing

We follow the New York Stock Exchange[®] (NYSE[®]) holiday schedule and will not run batch processing on these dates:

- Thanksgiving Day (Thursday, November 23)
- Christmas Day (Monday, December 25)

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

Christmas Day Holiday Processing

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.

¹ 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. The Mutual Fund Prospectus File (MFPF) will run on Exchange holidays.



Christmas Day Holiday Processing (continued)

Additionally, any files that run Friday data on Monday mornings will not be sent until Tuesday morning. This includes the following active standard files:

- IMSF—Identification Management
- ACA2—Account Transfers
- ASPC, ASPO and ASPF—Subscription Product Files
- CBRO—Cost Basis Reporting Service
- EZBR—Easy to Borrow
- MFDA—Mutual Fund Dealer Agreements
- RDM1 and RDM2—Receive and Deliver Master

Additional Information

Please 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.

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

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

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