



October 21, 2021

Third Quarter 2021 Standard File Update

We continuously add data to our standard files to help you grow and manage your business more efficiently. Our Q3 2021 additions are listed below:

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.

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Discontinuing Standard Files

Due to regulations surrounding data privacy, we will be terminating our 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.

The 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(s) <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	December 30, 2022	GTOL	Global Trade Orders
OELG	Order/Execution Log Books & Records	December 30, 2022	O EGL	Order/Execution Log Books & Records
OORD	Open Order Books & Records	December 30, 2022	OORL	Open Order Books & Records
NTBK	Notebook	April 30, 2020	CRMA/ICRM	CRM Activity (Update/Initial)
RDM1/2	Receive and Deliver Master	August 1, 2022	RD01-23	Global Clearance Settlement Status (hourly files)



Year-End Freeze Schedule

Our year-end production freeze will be from Sunday December 12, 2021 through Monday January 3, 2022.

REQUEST	LAST SUBMISSION DATE
Production Region and Servers	Date fully and accurately completed request must be submitted by for guaranteed completion prior to freeze <i>Requests submitted after dates shown may not be fulfilled until sometime <u>after</u> January 3, 2022</i>
New InfoDirect	EOD, Monday, December 6, 2021
New SFTP Mailbox	EOD, Friday, November 12, 2021
New NDM Destination	EOD, Friday, November 12, 2021
SF Add to NDM Destination	EOD, Wednesday, November 24, 2021 <i>NDM files may continue to be deleted throughout the freeze Period</i>

Required Minimum Distribution (RMIN)

The Required Minimum Distribution (RMIN) file will only have header and trailer records from Monday January 3 through Thursday January 6, 2022.

Unused Destination IDs

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

Best Practices

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

Standard File Delivery times and System Availability

BNY Mellon Pershing’s 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 within 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 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 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 NetX360® Service Center. 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. Pershing reserves 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 and 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 Information	The prior firm CRD, Central Registration Depository number has been added to Record 5 position 478. Nature and Purpose of Account has been added to record 5 position 350.
BPDF/F	Business Party Information	To ensure compliance 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 has been generated for each Rep code at your company. An additional corresponding ‘F’ record has also been 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. The prior firm CRD, Central Registration Depository number has been added to Record A position 520. A new optional Record M detailing the advisor’s affiliations and disclosures is now available and may be requested through Service Center.
GACT/GAC1	Global Booking File	To improve tax reporting and offer more consistent processing of all corporate actions, on June 4, 2021, an enhancement was made that altered how fractional shares are processed and presented in standard files. The transaction/source code LEU includes cash amounts in the



		Net Amount field, and fractional shares in the quantity field. Consequently, LEU uses PAR Key Code 10 in place of code 39.
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/RFPF	Retirement Plan Invoice	As part of the update to our billing system, the Pershing Fee Amount and Client Fee Amount have been added to filler starting in position 196.

Upcoming Standard File Updates

MASF	Managed Account Billing Information	To better support the institutional advisory business, we will be updating this file in first quarter 2022. The effect of this update will be to increase the number of C records. Some clients will experience a 5-fold increase in the amount of data in this file.
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.

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 IBD Operation Managers and File Transfer Liaisons. Be on the lookout for your invite.

Service Provider Quarterly Forum

On November 10, 2021, we 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 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

BNY Mellon's Pershing follows the holiday schedule of the New York Stock Exchange® (NYSE®), and will not run batch processing on the following dates in 2021:

- November 25 Thursday Thanksgiving Day
- *December 24 (observed) Friday Christmas Day

**Exchange Only holiday; see below*

There are some exceptions, please see our 2021 Standard File Holiday Processing [communication](#).

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 hour 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 available on the [standard files layout website](#).