

	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
1	Account Balance Transmission	Daily Weekly Brokerage Month End Calendar Month End	Transactional, Snapshot	Yes	The Account Balance Transmission file contains account and account type-level brokerage balances. Such balances may include net worth, cash collected, margin, money market balances, and options market value. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
2	Account Referral Transmission	Daily Weekly Brokerage Month End Calendar Month End	Master, Full Refresh	No	The Account Referral Transmission file contains account information typically used for referrals, marketing programs or employee information. Supports Clearing Clients only.
3	Asset Transfer Transmission	Daily	Master, Full Refresh	No	The Asset Transfer Transmission file contains the status of incoming and outgoing brokerage account transfer of assets from or to external broker/dealers. Supports Clearing Clients only.
4	Auto Batch User Setup Transmission	Daily	Transactional, Snapshot	No	The Auto Batch User Setup Transmission file contains sign-on information to various Fidelity on-line portals. Supports Clearing Clients only.
5	Beneficiary Transmission	Daily	Master, Full Refresh	No	The Beneficiary Transmission file contains account-level beneficiary information, such as the beneficiary application status, beneficiary's name, tax ID number, relationship, beneficiary share and address. Supports Clearing Clients only.
6	Bookkeeping Transmission	Daily	Transactional, Snapshot	Yes	The Bookkeeping Transmission file contains account-level brokerage transactions. These transactions include trade and non-trade related transactions, such as checks paid and received, broker to broker transfers, stock transfers, and journals between account types. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
7	Breakpoint Transmission	Weekly	Master, Full Refresh	No	The Breakpoint Transmission file contains a breakpoint schedule for mutual funds at various levels of aggregate value. The file includes data such as high and low breakpoints as well as dealer concession and load information. Supports Clearing Clients only.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
8	Check and Debit Card Processing Transmission	Daily	Master, Full Refresh	No	The Check and Debit Card Processing Transmission file contains account-level check and debit card processing information associated with Brokerage Access and Brokerage Portfolio accounts. The file includes data such as last check numbers used, address plate details, number of signature lines and various dates associated with check ordering and delivery. Supports Clearing Clients only.
9	Clearing Statement Transmission	Daily Monthly, on Clearing Statement cycle	Transactional, Snapshot	No	The Clearing Statement Transmission file provides preliminary data used to reconcile correspondent revenue and expenses reported on the monthly Clearing Statement. Supports Clearing Clients only.
10	Client Fee Detail Transmission	Daily	Master, Full Refresh	No	The Client Fee Detail Transmission file contains payment detail for fees paid by clients for various Fidelity services. Supports Clearing Clients only.
11	Client Householding Transmission	Daily Weekly	Master, Weekly Full Refresh or Daily Delta	No installs after 3/1/2014	The Client Householding Transmission contains details related to the grouping of accounts for both system-generated investors and user-created relationships. The file includes data such as account, relationship, search and display names as well as change related details. Supports Clearing Clients only.
12	College Savings Plan 529 Allocations Transmission	Daily	Master, Full Refresh	No	The College Savings Plan 529 Allocations Transmission contains fund allocation details for 529 college savings plan accounts. Supports Clearing Clients only.
13	Consolidated Audit Trail (CAT) Customer and Account Information System Transmission	Daily	Transactional, Snapshot	No	The Consolidated Audit Trail (CAT) Customer and Account Information System Transmission file contains records submitted to the Financial Industry Regulatory Authority (FINRA) Order Audit Trail System by Fidelity on behalf of the client. Supports Clearing Clients only.
14	Consolidated Audit Trail (CAT) Firm Designated ID Transmission	Daily	Master, Full Refresh	No	The Consolidated Audit Trail (CAT) Firm Designated ID Transmission file contains the unique identifier for the account as required by Consolidated Audit Trail SEC Rule 613. Supports Clearing Clients only.
15	Consolidated Audit Trail (CAT) Transactions Transmission	Daily	Transactional, Snapshot	No	The Consolidated Audit Trail (CAT) Transactions Transmission file contains records submitted to the Financial Industry Regulatory Authority (FINRA) Order Audit Trail System by Fidelity on behalf of the client. Supports Clearing Clients only.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
16	Country Code Master Reference Transmission	Daily	Master, Full Refresh	No	The Country Code Master Reference Table Transmission file is a control transmission file containing country code lists used to interface with new account set-up processes to determine if a country is allowable for citizenship, tax residency, mailing or legal address. Supports Clearing Clients only.
17	Custom Fields	Daily	Master, Full Refresh	Yes	The Custom Fields Transmission file contains the custom fields for an account as defined under Custom Attributes in Wealthescape SM . Supports Clearing Clients only.
18	Electronic Signature Image	Daily	Transactional, Snapshot	No	The Electronic Signature Image Transmission file contains a binary representation of Fidelity Electronic Signature documents. Supports Clearing Clients only.
19	Fidelity Client Sign-On Transmission	Weekly	Master, Full Refresh	No	The Fidelity Client Sign-On Transmission file contains sign-on information to Fidelity Clearing on-line portals, such as the user information, the date and elapsed time since the last user sign-on, and users deleted within last seven days. Supports Clearing Clients only.
20	Fidelity Digital Assets SM Account	Daily	Master, Delta	Yes	The Fidelity Digital Assets SM Account file contains account and customer name and address information required to open and maintain a Fidelity Crypto [®] account. Supports Custody clients or in certain cases, a client's approved Fintech providers.
21	Fidelity Digital Assets SM Money Movement	Daily	Master, Delta	Yes	The Fidelity Digital Assets SM Money Movement file contains incoming and outgoing money movement transaction information between Fidelity Crypto [®] accounts and Fidelity brokerage accounts. Supports Custody clients or in certain cases, a client's approved Fintech providers.
22	Fidelity Digital Assets SM Position	Daily	Master, Delta	Yes	The Fidelity Digital Assets SM Position file contains the positions held within a given account at the Fidelity Crypto [®] account and Fidelity Crypto [®] account sub-type level. The file includes data such as trade and settlement date amounts, symbol, and cost basis. Supports Custody clients or in certain cases, a client's approved Fintech providers.
23	Fidelity Digital Assets SM Restrictions	Daily	Master, Delta	Yes	The Fidelity Digital Assets SM Restrictions File contains the restrictions applied to a Fidelity Crypto [®] account. Supports Custody clients or in certain cases, a client's approved Fintech providers.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
24	Fidelity Digital Assets SM Trade Detail	Daily	Master, Delta	Yes	The Fidelity Digital Assets SM Trade Detail file contains purchase and sales information as well as realized gain/loss and cost basis. Supports Custody clients or in certain cases, a client's approved Fintech providers.
25	Fidelity Managed Account Xchange (FMAX) Vendor Fee	Varies	Transactional, Snapshot	Yes	The Fidelity Managed Account Xchange (FMAX) Vendor Fee Transmission file contains fees charged to participating brokerage accounts by the Fidelity Managed Account Xchange program. The file includes the fees charged as well as a breakdown of the origin of the fees applied. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
26	Financial and Operational Combined Uniform Single (FOCUS) Transmission	Brokerage Month End	Transactional, Snapshot	No	The Financial and Operational Combined Uniform Single (FOCUS) Transmission file contains transaction activity aggregated in support of Financial Industry Regulatory Authority (FINRA) regulatory reporting. The file includes data such as trade counts, principal, commissions, concessions/load and clearing charges. Supports Clearing Clients only.
27	Full Customer Base Name and Address (FCBNA) Transmission	Brokerage Month End Calendar Month End	Transactional, Snapshot	No	The Full Customer Base Name and Address Transmission (FCBNA) file contains brokerage account name and address information as well as suitability, balance and summarized revenue information. Supports Clearing Clients only.
28	Initial Public Offering (IPO) Customer Level Detail Transmission	Daily, runs Sunday-Thursday	Transactional, Snapshot	No	The Initial Public Offering (IPO) Customer Level Detail Transmission file contains customer level detail information for retail and institutional IPO participants. The file includes data such as syndicate, underwriter, participant and account level details. Supports Clearing Clients only.
29	Initial Public Offering (IPO) Lead Underwriter Transmission	Daily, does not run day before U.S. bank holidays.	Transactional, Snapshot	No	The Initial Public Offering (IPO) Lead Underwriter Transmission file contains lead manager information about shares sold by IPO syndicate members. Supports Clearing Clients only.
30	Initial Public Offering (IPO) Syndicate Member Transmission	Daily	Transactional, Snapshot	No	The Initial Public Offering (IPO) Syndicate Member Transmission file contains syndicate member information about shares sold by IPO syndicate members. Supports Clearing Clients only.
31	Institutional Brokerage Cross Reference (IBXR) Transmission	Daily	Master, Full Refresh	Yes	The Institutional Brokerage Cross Reference (IBXR) Transmission file contains portal login IDs and the brokerage accounts to which they are linked. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
32	Integrated Cashiering Platform (ICP) Standing Instructions Transmission	Daily Weekly CME	Master, Full Refresh	No	The Integrated Cashiering Platform (ICP) Standing Instructions Transmission contains brokerage account standing instruction information. The file contains data related to EFT/money lines, 3rd party ACH/directed payees, bank wires and check standing instructions. Supports Clearing Clients only.
33	Integrated Cashiering Platform (ICP) Transactions Transmission	Daily Weekly	Transactional, Snapshot	No	The Integrated Cashiering Platform (ICP) Transactions Transmission contains brokerage account cashiering transaction information. The file contains data related to EFT/money lines, 3rd party ACH/directed payees, bank wires and check transactions. Supports Clearing Clients only.
34	Journal Standing Instructions Transmission	Daily	Master, Full Refresh	No	The Journal Standing Instructions Transmission contains brokerage account standing instruction information. The file contains data related to journals between accounts. Supports Clearing Clients only.
35	Journal Transactions Transmission	Daily	Transactional, Snapshot	No	The Journal Transactions Transmission contains brokerage account journal transaction information. The file contains data related to journal transactions between accounts. Supports Clearing Clients only.
36	Managed Account Solutions (MAS) Vendor Fee Transmission	Varies	Transactional, Snapshot	No	The Managed Account Solutions (MAS) Vendor Fee Transmission file contains fees charged to participating brokerage account by the Fidelity MAS program. The file includes the fees charged as well as a breakdown the origin of the fees applied. Supports Clearing Clients only.
37	Margin Interest Rate Schedule Transmission	Daily	Master, Full Refresh	Yes	The Margin Interest Rate Schedule Transmission file contains the schedule of margin interest rates assigned to customer accounts. The file contains the base rate schedule, the debit interest schedule and range of debit balances. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
38	Mutual Fund Fees (D12B1) Non-Rebated Fees Transmission	Daily	Transactional, Snapshot	No	The Mutual Fund Fees (D12B1) Non-Rebated Fees Transmission file contains commission for fees that were not rebated to client investors. Supports Clearing Clients only.
39	Mutual Fund Fees (M12B1) Manual Fees Transmission	Calendar Month End up to +5 (manual process)	Transactional, Snapshot	No	The Mutual Fund Fees (M12B1) Manual Fees Transmission file contains commissions for manual fees that are exceptions to the Mutual Fund Fees (T12B1) Transmission. Supports Clearing Clients only.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
40	Mutual Fund Fees (R12B1) Rebated Fees Transmission	Daily	Transactional, Snapshot	No	The Mutual Fund Fees (R12B1) Rebated Fees Transmission file contains commission for fees that were rebated to client investors. Supports Clearing Clients only.
41	Mutual Fund Fees (T12B1) Transmission	Weekly, up to 8 a.m. Tuesday after Brokerage Month End	Transactional, Snapshot	No	The Mutual Fund Fees (T12B1) Transmission file contains mutual fund commissions for trails received from mutual fund sponsors. Supports Clearing Clients only.
42	Mutual Fund Institutional FundsNetwork SM (IFN) Transmission	Daily	Master, Full Refresh	Yes, Custody only	The Mutual Fund Institutional FundsNetwork SM (IFN) Transmission contains data and information about mutual funds contained in the Fidelity Institutional FundsNetwork program. The transmission supports mutual fund marketing details such as sales charges, breakpoints, expenses and redemption fees. Supports Clearing and Custody Clients only.
43	Name and Address Transmission	Daily Weekly Brokerage Month End Calendar Month End	Master, Full Refresh or Delta (default)	Yes	The Name and Address Transmission contains customer name and address information required to open and maintain a brokerage account on the Clearing and Custody platform. The file includes data such as the account registration details, account and customer level detail, interested parties, additional stakeholders and affiliations. Supports Clearing, Custody Clients or in certain cases, a client's approved Fintech providers.
44	Name and Address Delivery Transmission	Daily	Master, Full Refresh	No	The Name and Address Delivery Transmission file contains delivery instructions associated with delivery-versus-payment (DVP) accounts. The file contains data such as delivery instructions and participant codes for the associated depository institutions. Supports Clearing Clients only.
45	Name and Address Interested Party Institutional Delivery Transmission	Daily	Master, Full Refresh	No	The Name and Address Interested Party Institutional Delivery file contains maintenance instructions associated with delivery-versus-payment (DVP) accounts and Depository Trust (DTC) set up instructions for non-DVP accounts. The file includes brokerage account, delivering institution and transfer agent level details. Supports Clearing Clients only.
46	Name and Address Separate Account Manager Transmission	Daily	Master, Full Refresh	No	The Name and Address Separate Account Manager Transmission file contains information linking Separate Account Managers (SAM) to brokerage accounts. The file includes data such as the name and address of the SAM, the delivery instructions and the SAM's investment discipline. Supports Clearing Clients only.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
47	New Account Profile and Revised Account Profile (NAP RAP) Transmission	Daily	Master, Delta	No	The New Account Profile and Revised Account Profile (NAP RAP) Transmission file contains information used to create the New Account Profile (NAP) and Revised Account Profile (RAP) letters. The file contains the detail included in the customer facing NAP/RAP letters as well as NAP/RAPs suppressed at your request. Supports Clearing Clients only.
48	Open Item and Broker Fail Transmission	Daily, including Good Friday. Does not run day before Columbus and Veterans Day.	Transactional, Snapshot	No	The Open Item and Broker Fail Transmission file contains open or failed trades pending settlement. The file includes data such as entry date, order type and expiration date. Supports Clearing Clients only.
49	Open Order and Pending Trade Transmission	Daily	Transactional, Snapshot	No	The Open Order and Pending Trade Transmission file contains information on all open orders and pending/unsettled trades, including partially executed GTC orders that have not yet reached settlement. The file contains order information such as entry date, order type and expiration date. For pending/unsettled trades the file will also contain the settlement date. Supports Clearing Clients only.
50	Order Transmission	Daily	Transactional, Snapshot	No	The Order Transmission file contains details related to open and executed orders entered through the Fidelity Order system. The file contains order level details for open and executed order as well as purchase and sales trade details for executed orders only. Supports Clearing Clients only.
51	Pending Papers Transmission	Daily	Transactional, Snapshot	No	The Pending Papers Transmission file contains securities deposits and outstanding paperwork information required to complete branch deposits. This file includes data such as deposit date, CUSIP, quantity and other details related to the pending document. Supports Clearing Clients only
52	Position Transmission	Daily Weekly Brokerage Month Calendar Month	Master, Full Refresh or Delta	Yes	The Position Transmission file contains the positions held within a given account at the account, account type and CUSIP level. The file includes data such as trade and settlement date quantities, primary exchange details, symbol and security description. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
53	Position Supplemental Transmission	Daily	Master, Full Refresh	Yes	The Position Supplemental Transmission file contains security details supporting positions held in the Position Transmission. The file includes data such as CUSIP, security description, and details specific to each security type. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
54	Prime Broker Transmission	Daily	Master, Full Refresh	Yes	The Prime Broker Transmission file contains the prime broker indicator associated with a brokerage account. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
55	Profit and Loss Position Transmission	Daily	Transactional, Snapshot	No	The Profit and Loss Position Transmission file contains position level profit and loss information, including but not limited to the monthly and year-to-date totals for each CUSIP within a given account. Supports Clearing Clients only.
56	Purchase and Sales Trade Transmission	Daily	Transactional, Snapshot	No	The Purchase and Sales Transmission file contains purchase-and-sales information on executed trades. The file contains information such as market and blotter codes, executing and contra brokers, principal, interest, commission, fees, and other trade entry characteristics. Supports Clearing Clients only.
57	Remote Check Deposit (RCD) Image Transmission	Daily	Transactional, Snapshot	No	The Remote Check Deposit (RCD) Image Transmission file contains check images that were remotely deposited and related check details. The file includes data such as deposit level, check level, and check split level details. Supports Clearing Clients only.
58	Remote Check Deposit (RCD) Summary Transmission	Daily	Transactional, Snapshot	No	The Remote Check Deposit (RCD) Summary Transmission file contains information pertaining to checks that were remotely transmitted and deposited. The file includes data such as check and deposit level details. Supports Clearing Clients only.
59	Rep Code Profile Manager (RPM) Transmission	Daily	Master, Full Refresh	No	The Rep Code Profile Manager (RPM) Transmission file contains individual, team and entity Investment Professional information for clearing firms. Supports Clearing Clients only.
60	Required Minimum Distribution Transmission	Daily	Master, Full Refresh	Yes	The Required Minimum Distribution Transmission file contains retirement account required minimum distribution information. The file includes data such as prior year-end balance, YTD distributions, life expectancy details and estimated required minimum distribution (RMD) amount. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.

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	File	Frequency*	File Type†: Master (Full Refresh/ Delta) OR Transactional (Snapshot/ Cumulative)	Available as Vendor Splitter?	Description
61	Restriction Code Transmission	Daily Weekly Brokerage Month End Calendar Month End	Master, Full Refresh or Delta	No installs after 3/1/2014	The Restriction Code Transmission file contains restrictions placed on a given account with details such as the restriction code, description and related dates. Supports Clearing and Custody Clients.
62	Revenue Transmission	Daily Weekly Brokerage Month End	Transactional, Cumulative MTD	No	The Revenue Transmission file contains execution level revenue details for trades executed and settled. The file includes data such as the associated registered representatives, commissions, concessions, loads, fees and clearing charges. Supports Clearing Clients only.
63	Scheduled Events Transmission	Daily	Transactional, Snapshot	Yes	The Scheduled Events Transmission file contains customer account periodic investment and systematic withdrawal information scheduled for the next twelve months. The file includes data such as the date and amount of the scheduled event as well as the CUSIP and method used to invest or withdraw funds. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
64	Security Master Transmission	Daily	Master, Full Refresh or Delta	No	The Security Master Transmission file contains product information for securities positions held. The file includes data such as CUSIP, security description, and details specific to each security type. Supports Clearing and Custody Clients.
65	Statements Image Transmission	Annual Monthly	Transactional, Snapshot	No	The Statements Image Transmission file contains a binary representation of Fidelity statements. Supports Clearing Clients only.
66	Suitability Transmission	Daily Weekly Brokerage Month End Calendar Month End	Master, Delta or Full Refresh on request	No	The Suitability Transmission file contains financial and suitability information detailing a client's profile and eligibility for various investment products. The file includes data such as the client's financial position, investment profile, product knowledge, decision making, and assets held away. Supports Clearing Clients only.
67	Systematic Withdrawal Plan Failures Transmission	Daily	Transactional, Snapshot	No	The Systematic Withdrawal Plan Failures Transmission file contains potential failures in systematic withdrawal distributions from customer brokerage accounts. The file includes SWP plan details and the variance from available funds. Supports Clearing Clients only.
68	Tax Accounting System (TAS) Closed Lot Transmission	Daily Weekly, on Saturday morning	Master, Weekly: Full Refresh Daily: Delta	Yes	The Tax Accounting System (TAS) Closed Lot Transmission provides cost basis and realized gain/loss information for settled and unsettled positions. The file provides lot level details such as price, cost basis, market value, cost basis source and status. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.

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69	Tax Accounting System (TAS) Open Lot Transmission	Daily Weekly, on Saturday morning	Master, Weekly: Full Refresh Daily: Delta	Yes	The Tax Accounting System (TAS) Open Lot Transmission provides cost basis and unrealized gain/loss information for unsettled and settled positions. The file provides lot level details for open lots only, such as price, cost basis, market value, cost basis source and status. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
70	Tax Accounting System (TAS) Position Level Transmission	Daily	Master, Full Refresh or Delta	No installs after 3/1/2014	The Tax Accounting System (TAS) Position Level Transmission provides unrealized gain/loss details for settled and unsettled positions. The file includes data such as price, cost basis, market value, cost basis source and status. Supports Clearing Clients only.
71	Tax Forms Image Transmission	Monthly	Transactional, Snapshot	No	The Tax Forms Image Transmission file contains a binary representation of Fidelity tax forms. Supports Clearing Clients only.
72	Trade Confirmations Image Transmission	Daily Quarterly	Transactional, Snapshot	No	The Trade Confirmations Image Transmission file contains a binary representation of Fidelity trade confirmations. Supports Clearing Clients only.
73	Trade Revenue Transmission	Daily	Transactional, Snapshot	Yes, Trade Date only	The Trade Revenue Transmission file contains purchase and sales information as well as information derived from the revenue system, such as commissions, concessions, loads, fees and applicable clearing charges. Supports Clearing Clients, Custody Clients or in certain cases, a client's approved Fintech providers.
74	User ID Administration Transmission	Daily	Master, Full Refresh	Yes, Custody only	The User ID Administration Transmission file contains information that control the availability of certain product features for Wealthscape SM User IDs. Supports Clearing and Custody Clients.
75	Wealthscape SM ID Transmission	Daily	Master, Full Refresh	No	The Wealthscape SM ID Transmission file contains user ID authentication information, including data such as the Username, login ID, contract and entitlement groups. Supports Clearing Clients only.

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