Fidelity Standard Transmissions

User ID Administration Transmission File Manual

Version: 4.0.1

Fidelity INVESTMENTS

Available Frequencies: **Daily**

File Description:

The User ID Administration Transmission file contains information that control the availability of certain product features for Wealthscape℠ User IDs.

Supports Clearing Clients, Custody Clients and in certain cases, Clients' approved Fintech providers.

Please Note: Information or functionality that may be provided is based on a firm's authorization and may be subject to restrictions.

File Processing Guidelines:

The User ID Transmission file is a 700-byte file with a Header and Trailer record.

The transmission supports the following Wealthscape tools:

• Firm ID Maintenance – Clearing (Broker Portal) IDs
• Investor ID Maintenance – Clearing (Consumer Portal) IDs
• User ID Maintenance – Custody (Wealth Central) IDs

The file contains all Production (USER_TYPE_CD = "PROD") users (including deleted users) for the following Wealthscape products:

• Broker Portal
• Consumer Portal
• B2B Inbound File Delivery
• Wealth Central
• Streetscape Advisor

The transmission contains four record types identified by the same PORTAL ID.

• Record 1 contains portal ID information such as the first and last name and the create, update and end dates for the PORTAL ID user.
• Record 2 contains the user second level security account linking rules for the PORTAL ID user. There can be many type 2 records for any PORTAL USER ID. If there are no account linking rules set up for the PORTAL USER ID, there will be no type 2 records.
• Record 3 contains the product ID and user group ID, group name and type for the PORTAL ID user. There will always be at least one type 3 record for any PORTAL USER ID.
• Record 4 contains the federation opaque IDs and TID method for the PORTAL ID user.

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD TYPE	Indicates a field that governs the record layout for this segment depending on the value in the field. This is the Header (H) record segment.	Header	1-1	1	AN PIC X(01)		
SUPER BRANCH	Unique three-character alphanumeric code used to identify a correspondent firm or to aggregate several branches for reporting and calculation purposes.	Header	2-4	3	AN PIC X(03)		
FILLER	FILLER - Internal use only.	Header	5-21	17	AN PIC X(17)		
FILE ORIGIN	Variable-character alpha string identifying the sender.	Header	22-37	16	AN PIC X(16)		FIDELITY SYSTEMS Identifies Fidelity as the sender National Financial Services LLC Identifies National Financial Services LLC as the sender NFSC SYSTEMS Identifies Fidelity as the sender - (Bookkeeping 101-byte Only)
FILLER	FILLER - Internal use only.	Header	38-41	4	AN PIC X(04)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
FILE TITLE	The title of the file. USER ID	Header	42-48	7	AN PIC X(07)		
FILLER	FILLER - Internal use only.	Header	49-62	14	AN PIC X(14)		
HEADER DATE	The date of the file.	Header	63-68	6	MMDDYY PIC X(06)		
FILLER	FILLER - Internal use only.	Header	69-700	632	AN PIC X(632)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD TYPE	Indicates a field that governs the record layout for this segment depending on the value in the field.	Record 1	1-1	1	AN PIC X(01)		
RECORD NUMBER	For multi-line records, the number for the record (legacy). For single-line records, any character identifying the record type. This is Record 1 - Portal ID	Record 1	2-2	1	AN PIC X(01)		
PORTAL USER ID	Authentication ID required for user to log on to all portal products such as Wealthscape℠.	Record 1	3-62	60	AN PIC X(60)	Modify a [Firm/User] ID ID	
USER ID FIRST NAME	The first name of the PORTAL USER ID user. This is WEALTHSCAPE FIRST NAME in the Wealthscape℠ ID Transmission.	Record 1	63-92	30	AN PIC X(30)	Modify a [Firm/User] ID First Name	
USER ID LAST NAME	The last name of the PORTAL USER ID user. This is WEALTHSCAPE LAST NAME in the Wealthscape℠ ID Transmission.	Record 1	93-122	30	AN PIC X(30)	Modify a [Firm/User] ID Last Name	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
USER ID CREATE DATE	The create date of the PORTAL USER ID record.	Record 1	123-130	8	MMDDYYYY PIC X(08)	Modify a [Firm/User] ID ID Create Date	
USER ID CREATE USER	The PORTAL USER ID of the person who created the PORTAL USER ID record.	Record 1	131-160	30	AN PIC X(30)		
USER ID UPDATE DATE	The update date of the PORTAL USER ID record.	Record 1	161-168	8	MMDDYYYY PIC X(08)		
USER ID UPDATE USER	The PORTAL USER ID of the person who updated the PORTAL USER ID record.	Record 1	169-198	30	AN PIC X(30)		
USER ID STATUS END DATE	The date the active status of the PORTAL USER ID user ended.	Record 1	199-206	8	MMDDYYYY PIC X(08)		
USER ID STATUS CODE	The status of the PORTAL USER ID user.	Record 1	207-211	5	AN PIC X(05)	Modify a [Firm/User] ID Status	A Active D Deleted I Inactive

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
CUPID ID INDICATOR	One-character alpha code indicating the PORTAL USER ID was established using the CuPID (Customer Portal ID) process.	Record 1	212-212	1	AN PIC X(01)	Modify a [Firm/User] ID Investor ID	N No Y Yes
FILLER	FILLER - Internal use only.	Record 1	213-700	488	AN PIC X(488)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD TYPE	Indicates a field that governs the record layout for this segment depending on the value in the field.	Record 2	1-1	1	AN PIC X(01)		
RECORD NUMBER	For multi-line records, the number for the record (legacy). For single-line records, any character identifying the record type. This is Record 2 - Account Linking Rules	Record 2	2-2	1	AN PIC X(01)		
PORTAL USER ID	Authentication ID required for user to log on to all portal products such as Wealthscape℠.	Record 2	3-62	60	AN PIC X(60)		
SUPER BRANCH	Unique three-character alphanumeric code used to identify a correspondent firm or to aggregate several branches for reporting and calculation purposes. Can contain SUPER BRANCH codes from other correspondents.	Record 2	63-65	3	AN PIC X(03)	Account Linking Rules Super Branch	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
BRANCH	Unique three-character alphanumeric code used to identify branches for the purposes of reporting and grouping of accounts. A particular branch may be designated as a Super Branch for reporting and calculation purposes. This code is commonly displayed together with the six-digit account number is used to identify a unique brokerage account.	Record 2	66-68	3	AN PIC X(03)	Account Linking Rules Branch	
REGISTERED REP OWNING REP (RR)	Non-unique three-character alphanumeric code of registered representative whose name appears on customer statements and is the "owning" rep for customer contact and compliance purposes. Will not contain electronic (##) codes. BNAM=RR. Can be empty (NULL).	Record 2	69-71	3	AN PIC X(03)	Account Linking Rules RR1	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
REGISTERED REP EXEC REP (RR2)	Non-unique three-character alphanumeric code of registered representative who receives compensation for customer accounts that may have a different REGISTERED REP OWNING REP. For most accounts, this code is the same as the REGISTERED REP OWNING REP. Will not contain electronic (##) codes. BNAM=RR2. Can be empty (NULL).	Record 2	72-171	100	AN PIC X(100)	Account Linking Rules RR2	
REGISTERED REP REP OF RECORD (ROR)	Variable-character alphanumeric code identifying the Investment Professional. This field is intended to remove limitations with the current three-character REGISTERED REP OWNING REP (RR).	Record 2	172-180	9	AN PIC X(09)		
REGISTERED REP PAY TO REP (PTR) ACCOUNT LEVEL	Variable-character alphanumeric code identifying the default Pay to Rep code for the trading system.	Record 2	181-189	9	AN PIC X(09)		
AGENCY CODE	Eight-character, correspondent-defined, free-form field used for reporting, grouping and account identification purposes.	Record 2	190-197	8	AN PIC X(08)	Account Linking Rules Agency	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
ACCOUNT CLASSIFICATION	Two-character numeric code with leading zeros identifying classification of account for tax reporting purposes.	Record 2	198-199	2	AN PIC X(02)	Account Linking Rules Account Class	See Appendix 1: Possible Values
PRODUCT LEVEL	Two-character code used to identify accounts that participate in various product offerings.	Record 2	200-201	2	AN PIC X(02)	Account Linking Rules Product Level	See Appendix 1: Possible Values
PRODUCT CLASS	Variable-character alpha code identifying a product category.	Record 2	202-209	8	AN PIC X(08)	Account Linking Rules Product Class	[space] No specified Product Class ACC529 529 College Savings Plan Account DGTADVR Digitally Managed (AMP) DMA Digitally Managed (Accommodate) DMP Digitally Managed (Proprietary) ENVDIR Envestnet Direct (ENV) FMAX Fidelity Managed Account Exchange (FMX) FROS FMAX Reporting Only Solution (FRO) MAS Managed Account Solution MFONLY Mutual Fund Only ROS Reporting-Only Solution

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
SUPER USER INDICATOR	One-character alpha code indicating the user can view all accounts in a SUPER BRANCH or SUPER BRANCH/BRANCH combination.	Record 2	210-210	1	AN PIC X(01)	Account Linking Rules SU	N No Y Yes, the user can view all accounts
FICIS ID	Ten-character number identifying a unique Separate Account Manager.	Record 2	211-220	10	AN PIC X(10)	Account Linking Rules FICIS ID	
ACTIVE RULE INDICATOR	One-character alpha code indicating the account linking rule is active or inactive. Does not contain deleted rules.	Record 2	221-221	1	AN PIC X(01)	Account Linking Rules Show Inactive Rules	N Not active Y Active
G NUMBER	Eight-character number preceded by the character G assigned by Wealthscape to group Custody accounts.	Record 2	222-230	9	AN PIC X(09)		
FILLER	FILLER - Internal use only.	Record 2	231-700	470	AN PIC X(470)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD TYPE	Indicates a field that governs the record layout for this segment depending on the value in the field.	Record 3	1-1	1	AN PIC X(01)		
RECORD NUMBER	For multi-line records, the number for the record (legacy). For single-line records, any character identifying the record type. This is Record 3 - User Groups	Record 3	2-2	1	AN PIC X(01)		
PORTAL USER ID	Authentication ID required for user to log on to all portal products such as Wealthscape℠.	Record 3	3-62	60	AN PIC X(60)		
PRODUCT ID	Variable length system-generated number identifying the Wealthscape product.	Record 3	63-100	38	AN PIC X(38)		1140 Wealth Central 1150 Streetscape Advisor 370 Broker Portal 500 Consumer Portal 720 B2B Inbound File Delivery

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
GROUP ID	Variable length system-generated number identifying the group of features associated with the PORTAL USER ID. The available GROUP IDs are specific to each firm.	Record 3	101-138	38	AN PIC X(38)		
GROUP NAME	The name of the group of features associated with the PORTAL USER ID.	Record 3	139-393	255	AN PIC X(255)	Edit Profile Entitlements	
GROUP TYPE CODE	Variable-character alpha string indicating the type of group entitlement.	Record 3	394-398	5	AN PIC X(05)	Edit Profile Primary/Secondary User Group(s)	PRIM Primary user group (controls trading and market data access) RSCT Restricted user group (provides additional functionality) SCND Secondary user group (provides additional functionality) SITE Site user group (controls base functionality of the platform)
FILLER	FILLER - Internal use only.	Record 3	399-700	302	AN PIC X(302)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD TYPE	Indicates a field that governs the record layout for this segment depending on the value in the field.	Record 4	1-1	1	AN PIC X(01)		
RECORD NUMBER	For multi-line records, the number for the record (legacy). For single-line records, any character identifying the record type. This is Record 4 -Single Signon ID	Record 4	2-2	1	AN PIC X(01)		
PORTAL USER ID	Authentication ID required for user to log on to all portal products such as Wealthscape℠.	Record 4	3-62	60	AN PIC X(60)		
OPAQUE ID	Variable character system generated string identifying a trusted relationship between partners within a given TID METHOD.	Record 4	63-317	255	AN PIC X(255)		
TID METHOD	Variable character system generated string identifying the partnership to which the OPAQUE IDs will be associated.	Record 4	318-357	40	AN PIC X(40)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
FILLER	FILLER - Internal use only.	Record 4	358-700	343	AN PIC X(343)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RECORD NUMBER	For multi-line records, the number for the record (legacy). For single-line records, any character identifying the record type.	Trailer	1-1	1	AN PIC X(01)		
FILLER	FILLER - Internal use only.	Trailer	2-21	20	AN PIC X(20)		
TOTAL RECORDS	Indicates the total header (H), detail (D) and trailer (T) records contained in the file.	Trailer	22-36	15	AN PIC 9(15)		
FILLER	FILLER - Internal use only.	Trailer	37-40	4	AN PIC X(04)		
TOTAL LOGICAL RECORDS	Indicates the total logical records contained in the file. Excludes the header and trailer records.	Trailer	41-55	15	AN PIC 9(15)		
FILLER	FILLER - Internal use only.	Trailer	56-700	645	AN PIC X(645)		