Fidelity Standard Transmissions

Restriction Code Transmission File Manual

Version: 4.5.9

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Available Frequencies: **Daily**

Weekly

File Description: **Brokerage Month End**

Calendar Month End

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.

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 Restriction Code Transmission file is a 200-byte file with a Header and Trailer record.

The file contains all restriction code information residing on the FBSI system. The information can be found on the RRES DISP ARES screen on FBSI.

The file can be received on a Full Refresh or Delta Files basis. The Full Refresh can be received based on a daily, weekly, brokerage month end or calendar month end frequency. The Delta Files option is available on a daily basis only.

If the Delta Files option is selected additional transaction related information is sent. Otherwise the transaction fields remain blank.

For the following fields, only the Full Refresh contains data:

RESTRICTION ASSIGN DATE
RESTRICTION EXPIRATION DATE
RESTRICTION DEPT RESPONSIBILITY CODE
RESTRICTION COMMENTS

For the following fields, only the Delta Files contains data:

RESTRICTION ENTERED DATE
RESTRICTION ENTERED TIME
LAST UPDATE CODE
TERMINAL ID

Delta Files should be loaded using RESTRICTION ENTERED DATE and RESTRICTION ENTERED TIME for proper sequencing of multiple record changes.

The file contains a hierarchy code that can be used to determine which restriction is the most restrictive code. If multiple restrictions exist on an account, the most restrictive code can be found on BNAM DISP CUST below the Reg Typ field.

New restriction codes are being added on an ongoing basis.

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. This is the Header record.	Header	1-1	1	AN PIC X(1)		
HEADER RECORD CLIENT ID	Identifies the client data to follow. This field will typically be the SuperBranch for the given client.	Header	2-4	3	AN PIC X(3)	BBIF DISP SUPEROFFICE	
FILLER	FILLER - Internal use only.	Header	5-9	5	AN PIC X(5)		
RESTRICTION TRANSMISSION FILE TYPE	Identifies the file as Full Refresh or Delta Files.	Header	10-13	4	AN PIC X(4)		DELT Delta Files FULL Full Refresh
FILLER	FILLER - Internal use only.	Header	14-21	8	AN PIC X(8)		

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
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(4)		
FILE TITLE	The title of the file. RESTRICTION CODES	Header	42-58	17	AN PIC X(17)		
FILLER	FILLER - Internal use only.	Header	59-62	4	AN PIC X(4)		
TRANSMISSION CREATION DATE	The FBSI cycle date for the date the file was created.	Header	63-68	6	MMDDYY PIC X(6)		
FILLER	FILLER - Internal use only.	Header	69-200	132	AN PIC X(132)		

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. This is the Record segment. D = Delta Files F = Full Refresh	Record	1-1	1	AN PIC X(1)		
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	2-4	3	AN PIC X(3)	RRES DISP ARES BR	
ACCOUNT NUMBER	Non-unique six-digit code used to identify a unique customer account. This code is commonly displayed together with the three-character branch code and is used to identify a unique brokerage account. The same account number can be used with different branches but never with the same branch.	Record	5-10	6	AN PIC X(6)	RRES DISP ARES ACCT	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RESTRICTION ASSIGN DATE	The date the restriction code became effective on the account.	Record	11-20	10	YYYY-MM-DD PIC X(10)	RRES DISP ARES INP DTE	
RESTRICTION EXPIRATION DATE	The date the restriction expires. This date could be in the future or in the past.	Record	21-30	10	YYYY-MM-DD PIC X(10)	RRES DISP ARES EXP DTE	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
RESTRICTION DEPT RESPONSIBILITY CODE	Indicates the department that placed the restriction on the account.	Record	31-34	4	AN PIC X(4)	RRES DISP ARES DEPT	ABAN ABANDON PROPERTY ACC1 ADVISOR CHANNEL.COM AML CIP,OFAC,AML, PRHBCY AROP SROP ACTIVITY ARS1 ACCT RE-REGISTRATION ARS2 ACCT REREG SERVICES AUTR ICS AUTO ROLLOVER BADM FI RISK MANAGEMENT BKP2 W1 - ADD ONLY BKPH BROKERAGE PHONES BKTD S/T TRADE DISPUTE BMDS RETAIL DATA SECURITY BOPR BRANCH OPERATIONS CAM CUSTOMER ACCT MAINT CAU1 AUTOMATED U1 PROCESS CIP CUSTOMER ID PROGRAM CIP1 USED BY FDOT CMO1 MIDDLE OFFICE OPS CMO2 MIDDLE OFFICE SVCS COMP COMPLIANCE COR2 CORR DEPT + Q4 CORR CORRESPONDENTS CPNC PNCI BACK OFFICE CPR CUSTOMER PROBLEM RES CPS FBC RISK MANAGEMENT CPSL CPS / LEGAL COMBINED CSM CLIENT SERVICE MNGRS CSMM OSG CSS MM WLK

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
							DALR DALLAS RISK
							EXCP EXCEPTION ACCESS ONLY
							FCOR FIDELITY CORR SUPPORT
							FUTA NEWA
							FUTB BOPR
							FUTG IBGR
							FUTI ROPI
							HNWH PAS-SERVICE-HD&MGR
							HNWO HIGH NETWORTH OPS
							HSA1 HEALTH SAVINGS ACCTS
							IB01 CORR + Q3ACD + Q4ACD
							IB02 CORR MINUS X4ACD
							IB03 IB02 PLUS R2-R9
							IBGR IBG RISK MANAGEMENT
							ICS2 ICS QUEUEING
							IND2 FMR INDIA PI OPS
							INDI OSG INDIA PROCESSING
							IRAN IRA NEW YORK
							ISG INHERITOR SERVICE REP
							ISGS SR INHERT SERV. REPS
							ISPA ISTOCK PLAN SERVICES
							IST INTEGRATED SVCS TEAM
							ITPA TPA & TRUST CLIENTS
							IWS IWS CLIENT MGMT
							LEGL LEGAL
							MARG MARGIN
							MARM MARGIN MANAGEMENT
							MARO MARM + O1

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
							MIWS IWS CLIENT MGMT
							NASU NASU IBG RIA PORTAL
							NEW1 NEWA
							NEW2 NEWR(NEWA+60=H9)
							NEWA NEW ACCOUNTS
							NEWE ACCT MGT SUPER ACCESS
							NEWR NEWA + 6 CODES
							NEWT NEWR + TOA
							NIWS IWS CLIENT MGMT
							NRET NON RETIREMENT DIST
							PAS1 FDOT AUTO SETUP
							PSNC PRIORITY SERVICES NCC
							RETD RET DISTRIBUTIONS
							RISK FBSI RISK MANAGEMENT
							ROP1 CORR +B1+B2
							RRW8 AM MAINTENANCE W8'S
							RSK1 RISK - FRAUD & ML
							RSK2 IPG RISK - Q1,Q2,L1
							S910 SERIES 9 / 10 GROUP
							SMS SPECIAL MONETARY SVCS
							SPS SPS RISK MANAGEMENT
							SPS1 SPS O1 PROCESS
							SPSR SPS PLAN SERVICES OPS
							SYSM REST CODE SYS SUPPORT
							TAX TAX DEPARTMENT
							TOA TOA DEPARTMENT
							TOA1 TOA (WITHOUT G1/G2)
							TOAM NF CSS COVINGTON

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
							TPG TRANSACTION PROCESS WLTD WLK TRADING BLOCK W2 XFEN RISK WESTLAKE
RESTRICTION COMMENTS	Comments entered by the person placing the restriction.	Record	35-94	60	AN PIC X(60)	RRES DISP ARES COMMENTS	
RESTRICTION ENTERED DATE	The date the restriction transaction was entered.	Record	95-104	10	YYYY-MM-DD PIC X(10)	NOT DISPLAYED	
RESTRICTION ENTERED TIME	The time the restriction transaction was entered.	Record	105-112	8	HH.MM.SS PIC X(8)	NOT DISPLAYED	
FILLER	FILLER - Internal use only.	Record	113-114	2	AN PIC X(2)		
RESTRICTION LAST UPDATE CODE	Type of last change to the underlying record.	Record	115-115	1	AN PIC X(1)	NOT DISPLAYED	A Add C Change D Delete

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
TERMINAL ID	Terminal ID of electronic device used to enter transaction or record.	Record	116-119	4	AN PIC X(4)	NOT DISPLAYED	
RESTRICTION CODE	Two-character alphanumeric code indicating the type of restriction placed on the account. There can be more than one restriction active on an account at any given time. Note: New restriction codes are being added on an ongoing basis.	Record	120-121	2	AN PIC X(2)	RRES DISP ARES RC	See Appendix 1: Possible Values
RESTRICTION CODE DESCRIPTION	Restriction code description.	Record	122-172	51	AN PIC X(51)	RRES DISP ARES RES MESSAGE	
RESTRICTION HIERARCHY CODE	Two-digit number assigned to the restriction. Lower numbers generally indicate more limiting restriction.	Record	173-174	2	AN PIC X(2)	NOT DISPLAYED	See Appendix 1: Possible Values
RESTRICTION HIERARCHY CODE DESCRIPTION	Hierarchy code description.	Record	175-186	12	AN PIC X(12)	RRES DISP ARES ACTION MSG	

Field Name	Business Definition / Processing Guidelines	Rec #	Pos	Lngth	Format	On-Line Reference	Possible Values
FILLER	FILLER - Internal use only.	Record	187-200	14	AN PIC X(14)		

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. This is the Trailer record.	Trailer	1-1	1	AN PIC X(1)		
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	N PIC 9(15)		
FILLER	FILLER - Internal use only.	Trailer	37-41	5	AN PIC X(5)		
TOTAL LOGICAL RECORDS	Indicates the total logical records contained in the file. Excludes the header and trailer records.	Trailer	42-56	15	N PIC 9(15)		
FILLER	FILLER - Internal use only.	Trailer	57-200	144	AN PIC X(144)		