

THIRD PARTY EXPORT & INTEGRATION REQUEST

Institutional Advisor Services

TCA USE ONLY: Format

Activation Date



(1) REQUESTOR

Name
Phone
Email

(2) REQUEST TYPE (SELECT A VENDOR IN SECTION 5)

Don't forget to select a vendor or software recipient in section 5!

New Setup
 Change (Please explain in Special Instructions)
 Delete

(3) ACCOUNTS

Tell us the type of accounts you need (select one). Don't see what you need? Specify the vendor's name, phone & email or specific account data needs in the 'Special Instructions' section below.

INVESTMENT ADVISOR ACCOUNTS
(Includes all accounts in the firm)

Firm Name

CLIENT REPRESENTATIVE ACCOUNTS
(Includes client representative's accounts only)

Rep. Name

Rep. ID

Phone

Broker/Dealer or Firm ID

Email Address

BROKER DEALER ACCOUNTS
(Includes broker/dealer's accounts only)

Broker Dealer Name

Phone

Broker/Dealer or Firm ID

Email

OTHER ACCOUNTS
(Indicate your needs in Special Instructions below)

(4) SPECIAL INSTRUCTIONS (optional)

ACKNOWLEDGEMENT

By signing below, I give my authority to release the above client information as indicated and I acknowledge that any changes to these instructions are my responsibility and must be submitted in writing to Trust Company of America (TCA). TCA will not be liable for any direct, indirect, special or consequential damage suffered in connection with the export service requested.

Advisor Signature (required) _____ **Date** _____

(5) RECIPIENT (vendors & software)

Accustrust Gold
 Advent
 ACD
 APX
 AXYS Version: _____
 Admin Solutions
 Advzyon
 AdvisorMart
 Advisory World
 Albridge Solutions (select one)
 CAI-squared/Cap Analysts
 CIRStatements/Cambridge
 LincolnOmni/Lincoln Financial
 Omnisource/Jefferson Pilot
 OneView/AIG
 Smartworks/ING
 Vision2020/AIG
 Wealthview/HTK
 ARIA
 Assett Book
 Athena FTP
 Black Diamond (trade date only)
 By Account By Model (select one)
 Blue Leaf
 ByAllAccounts
 Captools/net
 CircleBlack
 By Account By Model (select one)
 By Settlement Date By Trade Date (select one)
 CIRRUS
 DSTVision Professional
(broker/dealer only)
 Ebix CRM Smartoffice-EZData
 By Account By Model (select one)
 eMoney (rep level only)
 Advisor Wealth Vision (select one)
 By Account By Model (select one)
 Emotomy (integration & data feed)
 fi360
 CSV or Tab Separated (select one)
 By Settlement Date By Trade Date (select one)
 Finance Logix
 FINTRACK
 FUSION
 Grendel CRM (select one)
 By Settlement Date By Trade Date

IAS
 Investigo (select one)
 By Settlement Date By Trade Date
 KnowItOnline
 MoneyGuidePro
 Morning Star (select one)
 Advisor Workstation-Enterprise Edition
 Office
 Orion AdvisorLynx
 By Account By Model (select one)
 By Settlement Date By Trade Date (select one)
 Panoramix (Sapphire Software Services)
 Portfolio Director
 Portfolio Pathway
 Power Optimizer
 Principia CAMS (dbCams)
 By Account By Model (select one)
 By Settlement Date By Trade Date (select one)
 Quovo
 Redtail CRM (data feed only)
 Redtail CRM (integration & data feed)
 Right Capital
 By Account By Model (select one)
 By Settlement Date By Trade Date (select one)
 Riskalyze
 Salesforce (Statements & Tax forms only)
 Schwab PortfolioCenter
(Schwab Performance)
 By Account By Model (select one)
 By Settlement Date By Trade Date (select one)
 SmartRIA
 Sungard
 TCA
 CSV or Tab Separated (select one)
 Settlement Date Trade Date (select one)
 TechFi PORT2000 (select one)
 By Account By Model
 Total Rebalance Expert Power Advisor
 TrustFort
 Wealth Serv

General Instructions

THIRD PARTY EXPORT & INTEGRATION REQUEST



Institutional Advisor Services

TCA USE ONLY: Format

Use these instructions to complete the Third Party Software Export and Integration Request form.

- **Purpose of this form.** This form is required to authorize TCA to export your client and account data to an individual or third party software provider.
- **All fields are required unless noted.** All fields are required unless the form designates a section or entry as 'optional'. 'Optional' indicates the section or entry is an optional service or feature. By entering information in an optional section or entry, you are choosing to participate in the service or feature.

You must **complete all required fields** to expedite processing and to avoid requests for additional information.

- **Print or type all entries.** To type entries, a fillable PDF of this form can be found online at www.trustamerica.com/advisor-forms.

Section 1: Requestor

Enter the information for the requestor. This person will be contacted if additional information is needed to complete the request. An email address must be provided to receive email notification of completion.

Section 2: Request Type

Select the type of request needed; New Setup, Change or Delete.

- **New Setup:** Establish a new export. Select the New Setup option and indicate the desired vendor or software in Section 5, 'RECIPIENT (*vendors & software*)'.
- **Change:** Change an existing vendor or software export. Select the Change option and explain the type of change needed in Section 4, 'Special Instructions'.
- **Delete:** Stop an existing vendor or software export. Select the Delete option and indicate the vendor or software in Section 5, 'RECIPIENT (*vendors & software*)'.

Section 3: Accounts

Select the type of accounts that should be included in the export; Investment Advisor Accounts, Client Representative Accounts or Broker/Dealer Accounts. If your export request is for accounts other than what is listed below, specify your request in Section 4, 'Special Instructions'.

- **Investment Advisor Accounts:** Enter the name of the Investment Advisor (TCA client) and only those accounts associated with this Investment Advisor will be included in the export.
- **Client Representative Accounts:** Enter the name of the Client Representative and only those accounts associated with this Client Representative will be included in the export. An email address must be provided to receive email notification of completion.
- **Broker/Dealer Accounts:** Enter the name of the Broker/Dealer and only those accounts associated with this broker/dealer will be included in the export. An email address must be provided to receive notification of completion.

Section 4: Special Instructions (optional)

If you are in need of special considerations such as; a change to an existing export, accounts other than Investment Advisor, Client Representative or Broker/Dealer accounts, or are in need of sending account data to an party that is not currently listed in

Activation Date

Section 5, describe your request in this section. Reference other sections in this form needed to support this request.

Section 5: Recipient

• Vendors & Software

Select a vendor or software where you want your TCA client and account data to be exported. If you would like your account data to be sent to a vendor or software that is not listed, provide the requested vendor or software (and version if applicable) along with a contact name and phone in section 4, 'Special Instructions'. TCA will make a reasonable effort to provide an export. Some third party software will not be supported. In these cases, your request will be recorded for future consideration.

• Direct Integration vs. File Exports

TCA exports client and account data to vendors via the following methods; direct integration and file exports. Direct integrations allow client and account data to be transferred real time from TCA, to the integrated vendor. File exports contain client and account data and are sent to vendors who are set up to receive TCA file exports.

- Integrated vendors are; Emotomy, MoneyGuidePro, Redtail, Riskalyze & Salesforce.
- Integrated vendors that also receive TCA file exports are; Emotomy and Redtail.
- All other vendors listed in Section 5, receive TCA file exports only.

• File Exports - Frequency

Partners who receive file exports from TCA are sent a file of account data, daily, weekly or monthly. Frequency is determined by the vendor or software. File exports contain data up to the end of the day, prior to the export delivery date.

- Daily. Files sent on business days only, including holidays. Files contain the previous day's data. Monday files include Friday, Saturday, and Sunday data.
- Weekly. Files are Thursday to Wednesday. Files contain the previous seven days of data.
- Monthly. Files sent on the first of every month. Files contain the prior month's data.

• File Exports - TCA Account Numbers or Prior Account Numbers

File exports contains TCA account numbers. If prior custodian or portfolio

management account numbers are needed, specify your request in section 4, 'Special Instructions'. If you elect to

receive account data with prior account numbers and a prior account number does not exist for an account, a TCA account number will be provided in lieu of a prior account number. Definitions: A TCA account number is assigned by TCA, to an account, during the account opening process. A prior account number is an account number assigned by a prior custodian or portfolio management system to an account. This number was either imported during a conversion to TCA or was input directly by an advisor.

• File Exports - Configuration options

Where noted in Section 5, some vendors and software selections offer these configuration options.

- **By Account or By Model:** Black Diamond, CircleBlack, Ebix CRM Smartoffice (EZData), eMoney, Orion AdviosrLynx, Principia CAMS (dbCAMs), Schwab Portfolio Center and TechFi ONLY, accept file exports by either Account or Model. All other vendors accept account level file exports only. Note: Account level export files combine all model portfolios in the account. A model level export file takes accounts with multiple TCA model portfolios and converts them to multiple accounts on the file.
- **By Settlement Date or By Trade Date:** All file exports (except Black Diamond) are based on settlement date. Black Diamond's file export is based on trade date. Settlement date export files show the transaction when the trade settles. Trade date export files show the transaction on the day the trade occurs, which is prior to settlement.

Acknowledgement

Investment Advisor Signature: An authorized party of the investment advisor (TCA client) must sign the export request form.

Instructions for client representatives or alternate parties: After completing the form, forward this form to your investment advisor (TCA client) for signature. Questions regarding this form should be directed to your investment advisor.

Investment Advisor (TCA client)

Sign and date the form. Fax the signed form to 303.705.6490 or scan and email the form to your relationship manager.