

THIRD PARTY EXPORT & INTEGRATION REQUEST

Institutional Advisor Services

(1) REQUESTOR	(5) RECIPIENT	(5) RECIPIENT <i>(continued)</i>
Name	<input type="checkbox"/> Accustrust Gold	<input type="checkbox"/> Investigo ○ Settlement Date or ○ Trade Date
Phone	<input type="checkbox"/> Advent	<input type="checkbox"/> MoneyGuidePro
Email	<input type="radio"/> ACD	<input type="checkbox"/> Morningstar ○ Advisor Workstation <i>(Enterprise Edition)</i>
(2) REQUEST TYPE		<input type="radio"/> APX
<input type="radio"/> New Setup	<input type="radio"/> AXYS Version: _____	<input type="radio"/> Office
<input type="radio"/> Change <i>(Please explain in Special Instructions)</i>	<input type="checkbox"/> Advyzon	<input type="checkbox"/> Orion AdvisorLynx ○ By Account or ○ By Model
<input type="radio"/> Delete	<input type="checkbox"/> Advisor Assistant ○ Settlement Date or ○ Trade Date	<input type="checkbox"/> Orion AdvisorLynx ○ Settlement Date or ○ Trade Date
(3) ACCOUNTS		<input type="checkbox"/> Panamix <i>(Sapphire Software Services)</i>
Tell us the type of accounts you need (select one).		<input type="checkbox"/> Portfolio Director
<input type="radio"/> INVESTMENT ADVISOR ACCOUNTS <i>(Includes all accounts in the firm)</i>		<input type="checkbox"/> Portfolio Pathway
Firm Name	<input type="checkbox"/> AdvisorMart	<input type="checkbox"/> Power Optimizer
<input type="radio"/> CLIENT REPRESENTATIVE ACCOUNTS <i>(Includes client representative's accounts only)</i>	<input type="checkbox"/> Advisory World	<input type="checkbox"/> Principia CAMS <i>(dbCams)</i> ○ By Account or ○ By Model
Rep. Name	<input type="checkbox"/> Albridge Solutions Broker Dealer <i>(required)</i> _____	<input type="checkbox"/> Principia CAMS <i>(dbCams)</i> ○ Settlement Date or ○ Trade Date
Rep. ID	<input type="checkbox"/> Aria	<input type="checkbox"/> Quovo
Phone	<input type="checkbox"/> Assett Book	<input type="checkbox"/> Redtail CRM ○ Data Export Only ○ API Integration Only ○ API Integration & Data Export
Broker/Dealer or Firm ID	<input type="checkbox"/> Athena FTP	<input type="checkbox"/> Redtail CRM ○ Data Export Only ○ API Integration Only ○ API Integration & Data Export
Email Address	<input type="checkbox"/> Black Diamond <i>(trade date only)</i> ○ By Account or ○ By Model	<input type="checkbox"/> RightCapital ○ By Account or ○ By Model ○ Settlement Date ○ Trade Date
<input type="radio"/> BROKER DEALER ACCOUNTS <i>(Includes broker dealer's accounts only)</i>	<input type="checkbox"/> Blue Leaf	<input type="checkbox"/> Riskalyze
Broker Dealer Name	<input type="checkbox"/> ByAllAccounts	<input type="checkbox"/> Salesforce <i>(Statements & Tax forms)</i> <i>Requires Salesforce Admin Configuration</i>
Phone	<input type="checkbox"/> Captools/net	<input type="checkbox"/> Schwab PortfolioCenter <i>(Schwab Performance)</i> ○ By Account or ○ By Model
Broker/Dealer or Firm ID	<input type="checkbox"/> Chicago Clearing	<input type="checkbox"/> Schwab PortfolioCenter <i>(Schwab Performance)</i> ○ Settlement Date or ○ Trade Date
Email	<input type="checkbox"/> CircleBlack ○ By Account or ○ By Model ○ Settlement Date or ○ Trade Date	<input type="checkbox"/> Smartoffice - Ebix CRM <i>(E-Z Data)</i> ○ By Account or ○ By Model
<input type="radio"/> OTHER ACCOUNTS <i>(Indicate your account needs in Special Instructions below)</i>	<input type="checkbox"/> DST Vision Professional <i>(available for broker dealer only)</i>	<input type="checkbox"/> SmartRIA
(4) SPECIAL INSTRUCTIONS <i>(optional)</i>		<input type="checkbox"/> TechFi PORT2000 ○ By Account or ○ By Model
If you would like your account data to be sent to a vendor that is not listed, provide a contact name, phone & email address. E*TRADE Advisor Services will make a reasonable effort to provide an export.		<input type="checkbox"/> Total Rebalance Expert <i>(tRx)</i>
		<input type="checkbox"/> TrustFort/Amport
		<input type="checkbox"/> WealthServ
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 E*TRADE Advisor Services. E*TRADE Advisor Services will not be liable for any direct, indirect, special or consequential damage suffered in connection with the export service requested.		
_____ Advisor Signature (required)		
_____ Date		

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General Instructions

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

- **Purpose of this form.** This form is required to authorize E*TRADE Advisor Services 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.etrade.com/advisorservices/advisorforms

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 (E*TRADE Advisor Services 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

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 E*TRADE Advisor Services 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'. E*TRADE Advisor Services 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

E*TRADE Advisor Services 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 E*TRADE Advisor Services, to the integrated vendor. File exports contain client and account data and are sent to vendors who are set up to receive E*TRADE Advisor Services file exports.

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

• File Exports - Frequency

Partners who receive file exports from E*TRADE Advisor Services 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 - E*TRADE Advisor Services Account Numbers or Prior Account Numbers

File exports contains E*TRADE Advisor Services 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, an E*TRADE Advisor Services account number will be provided in lieu of a prior account number. Definitions: An E*TRADE Advisor Services account number is assigned by E*TRADE Advisor Services, 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 E*TRADE Advisor Services 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 E*TRADE Advisor Services 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 (E*TRADE Advisor Services 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 (E*TRADE Advisor Services client) for signature. Questions regarding this form should be directed to your investment advisor.

Investment Advisor (E*TRADE Advisor Services client) Sign and date the form. Fax the signed form to 303.705.6490 or scan and email the form to your relationship manager.