

THIRD PARTY SOFTWARE EXPORT REQUEST

Institutional Advisor Services



FOR TCA USE ONLY

Format Provided _____ Activation Date _____

SECTION 1: Export Request

A. EXPORT REQUEST TYPE

Select **one**:

- NEW EXPORT
- CHANGE TO EXISTING EXPORT
- DELETE EXISTING EXPORT

B. SPECIAL REQUEST if applicable

SECTION 2: Requestor

Name _____ Phone _____

Email Address _____

SECTION 3: Accounts

Select **one**:

- Advisor; include all accounts for firm in Section 4A
- Client representative; include accounts for representative ID in Section 4B
- Broker/Dealer; include accounts for broker/dealer in Section 4C
- Interested party; include accounts as defined below

If Interested Party, Specify Accounts _____

SECTION 4: Recipient

Note: Select third-party software exports are delivered directly to the software vendor for uploading into the recipient's account.

A. INVESTMENT ADVISOR

Firm Name _____

B. CLIENT REPRESENTATIVE, if applicable

Representative Name _____ Representative ID _____

Broker/Dealer Name, if associated _____ Phone _____

Email Address _____

C. BROKER/DEALER or INTERESTED PARTY, if applicable

Broker/Dealer or Interested Party's Name _____

Requested TCAccess Login _____ Phone _____

Email Address _____

SECTION 5: Software Export

A. LIST OF SUPPORTED SOFTWARE

Note: Exports without a format type choice are account-level by settlement date only.

SECTION 5: Software Export Continued

Select **one**, then choose one format type, if applicable:

- Accustrust Gold
- Admin Solutions
- Advent ACD APX AXYS ver.: _____
- AdvisorMart OBy Account-level by Trade Date
- Advisor Assistant OBy Settlement Date OBy Trade Date
- Advisory World
- Albridge Solutions
 - CAI-squared / Cap Analysts
 - CIRStatements / Cambridge
 - LincolnOmni / Lincoln Financial
 - Omnisource / Jefferson Pilot
 - OneView / AIG
 - Smartworks / ING
 - Vision 2020 / AIG
 - Wealthview / HTK
 - Wealth Monitor / SAI
- Asset Book
- Black Diamond OBy Model-level by Trade Date OBy Account-level by Trade Date
- Blueleaf
- ByAllAccounts
- Captools/net
- Cornerstone Revolutions Power Advisor
- DSTVision Professional (Broker/Dealer Option Only)
- Ebix CRM Smartoffice (EZData).. OBy Account OBy Model
- eMoney (Rep Level Only) OBy Account OBy Model
 - Advisor
 - WealthVision
- Finance Logix
- IAS
- Intuit PortfolioMinder
- Investigo OBy Settlement Date OBy Trade Date
- KnowItOnline
- MoneyGuide Pro
- Morningstar O Advisor Workstation – Enterprise Edition Office
- Orion AdvisorLynx OBy Account-level by Settlement Date OBy Account-level by Trade Date OBy Model-level by Settlement Date OBy Model-level by Trade Date
- PortfolioCenter OBy Account-level by Settlement Date (Schwab Performance) OBy Account-level by Trade Date OBy Model-level by Settlement Date OBy Model-level by Trade Date
- Portfolio Director
- PortfolioPathway
- Power Optimizer
- Principia CAMS (dbCAMS) OBy Account-level by Settlement Date OBy Account-level by Trade Date OBy Model-level by Settlement Date OBy Model-level by Trade Date
- Redtail
- TCA Standard OBy Settlement Date OBy Trade Date
- TCACSV (comma sep) OBy Settlement Date OBy Trade Date
- TechFi PORT2000 OBy Account OBy Model
- TrustFort
- WealthServ

SECTION 6: Export Options

A. FREQUENCY

Select **one**: Daily Weekly Monthly
If Weekly, select day: Mon Tue Wed Thu Fri

B. ACCOUNT NUMBER

Select **one**: TCA account number Prior account number

SECTION 7: Investment Advisor Signature

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 America will not be liable for any direct, indirect, special or consequential damage suffered in connection with the export service requested.

Investment Advisor Signature _____ Date _____

THIRD PARTY SOFTWARE EXPORT REQUEST

Institutional Advisor Services



General Instructions

Use these instructions to complete the Third Party Software Export 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 company.

All fields are required unless noted. All fields are required unless the form designates a section or entry as 'optional' or 'if applicable'.

'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.

'If applicable' indicates the section or entry is required if certain conditions apply. These conditions are outlined in detail in these instructions.

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

Print or type all entries. Print clearly in all CAPITAL LETTERS to complete this application. To type entries, a fillable PDF of this form can be found online at www.trustamerica.com/advisor-forms.

Section 1: Export Request

A. Export Request Type

Check the appropriate box to indicate the type of request you want to create with this application.

B. Special Requests, if applicable

If you have any special requests, including requesting a change to an existing export, please briefly describe your request in this section. Reference other sections that contain information needed to further explain your request.

Section 2: Requestor

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

Section 3: Accounts

Select the level of export and type of accounts that should be included. If 'Third Party' or 'Other', specify what accounts should be included.

Section 4: Recipient

A. Investment Advisor

Enter the name of the investment advisor (TCA client) associated with the accounts for this export.

B. Client Representative

If the export is for an asset gatherer for the investment advisor, enter the information of the representative associated with the accounts for this export. *Note: An email address must be provided to receive email notification of completion.*

Important: If the representative is associated with a broker/dealer, enter the name of the broker/dealer.

C: Broker/Dealer or Interested Party (if applicable)

If the export is for a broker/dealer or an interested party, such as a person hired to maintain your data, enter the information of the interested party. *Note: An email address must be provided to receive notification of completion.*

An interested party may require a TCAccess account to download the export file(s). Enter a requested login for the interested party. A random password will be assigned when the login is established.

Section 5: Export Software

A. List of Supported Software

Select the software you are using and where the data will be imported. For Advent/AXYS, provide the version number.

All exports are available in account-level by settlement date file types. Some are also available in a model-level by settlement date file type and, an account-level by trade date file type.

Note: Some trade-date formats require lead time to implement.

Software listed with an estimated availability date. Software listed with an availability date may not be available at the time of your request. Your request will be held and completed when the export becomes available.

DSTFanmail requests. Select the software application used to view the

data. Trust does not support DSTFanmail directly, but in many cases can provide export files for the viewing software application.

Unlisted software. If your software is not on the supported list, provide the name and version of the software, along with a contact name and phone at the software company in the special instructions.

Important: TCA will make a reasonable effort to provide you with a compatible export file. Some third party software will not be supported. In these cases, your request will be recorded for future consideration.

Section 6: Export Options

A. Frequency

Select the frequency you wish to receive the export. *Note: Export files contain information 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 sent on day specified. Files contain the previous seven days of data. For example, if you receive files on Thursday, the data range is from Wednesday to Wednesday.

Monthly. Files sent on the first of every month. Files contain the prior month's data.

B. Account Number

Check if you want the export to use the TCA account number or the Prior account number for each account. *Note: If you select 'Prior Account Number' and no prior account number exist on an account, the export will use the TCA account number for that account.*

Definitions:

TCA account number is assigned by TCA to an account during the account opening process.

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 inputted directly by the advisor.

C. Export File Type (if applicable)

For AdvisorMart, Black Diamond, Ebix CRM Smartoffice (EZData), eMoney Advisor or WealthVision, Orion, PortfolioCenter, Principia CAMS (dbCAMS), and TechFi ONLY, check either By Account or By Model. *Note: All other software exports are available in account level format only.*

For Advisor Assistant, Investigo, Orion, PortfolioCenter, and Principia CAMS (dbCAMS) ONLY, check either By Settlement Date or By Trade Date. *Note: All other software exports are available in settlement date format only.*

File Type Definitions:

Account-level combines all model portfolios in the account.

Model-level translates an account in TCAccess with multiple model portfolios to multiple accounts in the portfolio management system.

Settlement-date provides transactions based their settlement date.

Trade-date provides transactions based on their trade date.

Section 7: Investment Advisor Signature

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

Instructions for client representatives or interested third parties. After completing the form, forward the 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. Then fax the signed form to (303) 705-6490 or scan and email the form to your relationship manager.