

# Third-Party Export & Integration Request

## Institutional Advisor Services



### SECTION 1: Statement of work

Subject to the terms of the Master Agreement and the Third-Party Data Export and Integration Agreement.

### SECTION 2: Requestor

Name \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

### SECTION 3: Request type

- New setup
- Change [Please explain in (5) Special Instructions]
- Delete

### SECTION 4: Accounts

Tell us the type of accounts you need (select one).

**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 Address \_\_\_\_\_

**Other accounts**  
(Indicate your account needs in Special Instructions below)

### SECTION 5: Special instructions (optional)

If you would like your account data to be sent to a vendor that is not listed, provide a contact name, phone and email address. Axos Advisor Services will make a reasonable effort to provide an export.

\_\_\_\_\_

### ACKNOWLEDGEMENT

Advisor Signature (required) \_\_\_\_\_ Date \_\_\_\_\_

Axos Advisor Services Signature \_\_\_\_\_ Date \_\_\_\_\_

### SECTION 6: Recipient

- Accustrust Gold
- Advent
  - ACD
  - APX
  - AXYS Version: \_\_\_\_\_
- Advyzon
- Advisor360°
- Advisor Assistant
  - Settlement Date **or**
  - Trade Date
- AdvisorMart
- Advisory World
- Albridge Solutions Broker Dealer (required) \_\_\_\_\_
- Aria
- Assett Book
- Athena FTP
- Black Diamond (trade date only)
  - By Account **or**
  - By Model
- Blue Leaf
- ByAllAccounts
- Captools/net
- Chicago Clearing
- CircleBlack
  - By Account **or**
  - By Model
  - Settlement Date **or**
  - Trade Date
- DST Vision Professional (available for broker dealer only)
- Electra
- eMoney (rep level only)
  - Advisor **or**
  - Wealth Vision
  - By Account **or**
  - By Model
- Emotomy (API integration & data export)
- Investnet
- Axos Advisor Services
  - CSV **or**  Tab Separated
  - Settlement Date **or**
  - Trade Date
- Fi360
- FinTrack
- Fusion Advisor
- Grendel CRM
  - Settlement Date **or**
  - Trade Date
- Hanlon Advisory Software
- IncomeConductor
- Investigo
  - Settlement Date **or**
  - Trade Date
- MoneyGuidePro
- Morningstar
  - Advisor Workstation (Enterprise Edition)
  - Office
- Orion AdvisorLynx
  - By Account **or**
  - By Model
  - Settlement Date **or**
  - Trade Date
- Panoramix (Sapphire Software Services)
- PortfolioCenter (Schwab Performance)
  - By Account **or**
  - By Model
  - Settlement Date **or**
  - Trade Date
- Portfolio Director
- Portfolio Pathway
- Power Optimizer
- Principia CAMS (dbCams)
  - By Account **or**
  - By Model
  - Settlement Date **or**
  - Trade Date
- Quovo
- Redtail CRM
  - Data Export Only
  - API Integration Only
  - API Integration & Data Export
- RightCapital
  - By Account **or**
  - By Model
  - Settlement Date **or**
  - Trade Date
- Riskalyze
- Salesforce (Statements & tax forms only) Requires Salesforce Admin configuration
- Smartoffice - Ebix CRM (E-Z Data)
  - By Account **or**
  - By Model
- SmartRIA
- Tamarac (Investnet)
- TechFi PORT2000
  - By Account **or**
  - By Model
- Total Rebalance Expert (tRx)
- Totum
- TrustFort/Amport
- WealthServ

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Institutional Advisor Services



## 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 Axos 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 [axosadvisorservices.com](https://axosadvisorservices.com).

## SECTION 2: 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 3: 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 6, "RECIPIENT (vendors & software)."
- **Change:** Change an existing vendor or software export. Select the Change option and explain the type of change needed in Section 5, 'Special Instructions'.
- **Delete:** Stop an existing vendor or software export. Select the Delete option and indicate the vendor or software in Section 6, 'RECIPIENT (vendors & software)'.

## SECTION 4: 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 5, "Special Instructions."

- **Investment Advisor Accounts:** Enter the name of the Investment Advisor (Axos 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 5: 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 a party that is not currently listed in Section 6, describe your request in this section. Reference other sections in this form needed to support this request.

## SECTION 6: Recipient

- **Vendors and Software.** Select a vendor or software where you want your Axos 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 5, "Special Instructions." Axos 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.**

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

  - Direct integration vendors are; Emotomy, MoneyGuidePro, Redtail, Riskalyze and Salesforce.
  - Directly integrated vendors that also receive Axos Advisor Services file exports: Emotomy and Redtail.
  - All others listed in Section 6, receive Axos Advisor Services file exports only.
- **File Exports: Frequency.**

Vendors who receive file exports from Axos 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: Axos Advisor Services Account Numbers or Prior Account Numbers.**

File exports contains Axos Advisor Services account numbers. If prior custodian or portfolio management account numbers are needed, specify your request in section 5, '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 Axos Advisor Services account number will be provided in lieu of a prior account number. Definitions: An Axos Advisor Services account number is assigned by Axos 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 Axos Advisor Services or was input directly by an advisor.

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## Institutional Advisor Services



- **File Exports: Configuration options.**

Where noted in Section 6, some vendors and software 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 Axos 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 (Axos 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 (Axos Advisor Services client) for signature. Questions regarding this form should be directed to your investment advisor.

**Investment Advisor (Axos Advisor Services client)**

Sign and date the form. Fax the signed form to 303.705.6490 or scan and email the form to your Client Services Advocate.