**M⬤RNINGSTAR** Wealth

# AccountView Export Files for PortfolioCenter

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# ENHANCED ACCOUNTVIEW EXPORT FOR PORTFOLIOCENTER (PC)

## About this Document

This guide describes the PortfolioCenter files (AV PC) that can be output by AccountView, the Morningstar® ByAllAccounts[SM] Aggregation Service.

## Overview

AccountView (AV) has an enhanced export capability for firms that want to extract financial data and export it in files that are formatted for use by PortfolioCenter (PC) management system.

The files and their formats are listed in AccountView Portfolio Center Export Files on page 1. They are the same as those exported by Custodial Integrator (CI) for PC.

### About Configuration Settings and Options

The AV PC export files have consistent formats, but there are download settings within AccountView that can affect the data contained in them. This document focuses on the file formats for AV PC files.  For information about the settings used to configure the download, the account translations, and the security translations refer to:

- Configuring AccountView, page 19
- Overview features are described in the training videos:
  https://www.byallaccounts.net/Manuals/Accountview/TrainingVideos/CISaaSTrainingVideos.pdf

# ACCOUNTVIEW PORTFOLIO CENTER EXPORT FILES

AccountView (AV) for PortfolioCenter (PC) produces position, lot, transaction, price, and portfolio data into files which can be read by the PortfolioCenter ByAllAccounts interface (or the Standard 1 interface).  It can produce each of the PortfolioCenter files shown in the following table, where "yymmdd" in the file name is replaced with the prior business day's date.

If prices for business days before the prior business day are requested then AV will generate a Security and Price file for each of those prior business days and these files will be named with the corresponding business date.

| File Type | File Name | More information |
|-----------|-----------|------------------|
| Portfolio | ADyymmdd.TRD | Portfolio File, page 2 |
| Reconciliation | ADyymmdd.POS | Reconciliation File, page 7 |
| Transaction | ADyymmdd.TRN | Transaction File, page 9 |
| Security | ADyymmdd.SEC | Security File, page 11 |
| Price | ADyymmdd.PRI | Price File, page 13 |
| Position | ADyymmdd.INI | Position File (initial positions), page 14 |

The files are zipped into a  file with the name "export_yyyymmdd_<timestamp>.zip", where yyyymmdd  is the date of the prior business day and <timestamp> represents the beginning of the export process. The zip file will be retained for fourteen days (by default) and may be downloaded by the user any number of times.  Additional details for each file are included in the following sections.

# Portfolio File

AV generates an entry in the Portfolio file (ADyymmdd.TRD) for each account identified as included in the Account translations tab in AV.

## Portfolio File Format

The following table defines the columns of output for the Portfolio file:

| Field# | Field Name | AV Output |
|--------|------------|-----------|
| 1 | Company Name | *Empty* |
| 2 | Last Name | AccountView Account name (nickname) |
| 3 | First Name | Unique internal Account ID from AccountView |
| 4 | Street | FI-supplied Street |
| 5 | Address 2 | FI-supplied Email |
| 6 | Address 3 | FI-supplied Client First Name |
| 7 | Address 4 | FI-supplied Client Last Name |
| 8 | Address 5 | *empty* |
| 9 | Address 6 | *empty* |
| 10 | City | FI-supplied City |
| 11 | State | FI-supplied State |
| 12 | Zip code | FI-supplied zip code |
| 13 | SSN or Tax ID | FI-supplied Tax ID |
| 14 | Account Number | PortfolioCenter account number (PC Account number truncated to 30 characters) as specified on the Account Translations tab in AV. |
| 15 | Advisor ID | FI-supplied Advisor/REP identifier for this account |
| 16 | Taxable | *empty* |
| 17 | Phone Number | FI-supplied phone number |
| 18 | Fax Number | *empty* |
| 19 | Account Type | Account Type as determined by the system. Refer to Portfolio Account Types below. |

**Portfolio Account Types**

Valid values for portfolio Account Types are listed in this table.

| Account Types possible in Portfolio file | |
|---|---|
| **Type** | **Description** |
| INVESTMENT_CASHMANAGEMENT | Cash management account that provides access to short-term investments such as money market mutual funds and CDs. |
| BANKING_CD | Certificate of Deposit (CD) is a time deposit financial product commonly sold by banks, thrift institutions, and credit unions. |
| BANKING_CHECKING | A checking account offers access to money for daily transactional needs via a debit card or checks. |
| INVESTMENT_COVERDELL | A Coverdell Education Savings Account is a trust or custodial account created or organized in the United States only for the purpose of paying the qualified education expenses of the designated beneficiary of the account. |
| BANKING_CREDITLINE | A line of credit may take several forms, such as overdraft protection, demand loan, special purpose, export packing credit, term loan, discounting, purchase of commercial bills, traditional revolving credit card account, etc. It is effectively a source of funds that can readily be tapped at the borrower's discretion. |
| BANKING_DEPOSIT | Interest earning account at a bank or other depository institution, the withdrawals from which are limited to the amount of the account's credit balance. |
| BANKING_MONEYMARKET | A Money Market Account is a type of savings account that pays interest based on current interest rates in the money markets. The minimum balance for this account is often considerably higher than the minimum balance of a basic savings account. |
| BANKING_OTHER | Banking account; more specific type is not known. |
| BANKING_SAVINGS | A savings account is an interest-bearing deposit account held at a bank or another financial institution and which provides a modest interest rate. |
| CREDITCARD | The issuer of the card (usually a bank) creates a revolving account and grants a line of credit to the cardholder, from which the cardholder can borrow money for payment to a merchant or as a cash advance. Credit cards charge interest and are primarily used for short-term financing. <br><br> A credit card is different from a charge card, which requires the balance to be repaid in full each month. |
| HEALTHACCOUNT_FSA | Health Savings account of the type Flexible Spending Account (FSA). |
| HEALTHACCOUNT_HRA | Health Savings account with Health Reimbursement Arrangement (HRA). |
| HEALTHACCOUNT_HSA | Health Savings Account (HSA) is a savings account used in conjunction with a high-deductible health insurance policy. The HSA enables users to save money tax-free against medical expenses. |
| HEALTHACCOUNT_OTHER | Health Savings account; more specific type is not known, may be HSA, FSA, or HRA. |
| INSURANCE_ANNUITY | A contractual financial product sold by financial institutions that is designed to accept and grow a lump sum from an individual and then pay out a stream of regular disbursements to the individual at a later point in time |

| Account Types possible in Portfolio file | |
|---|---|
| **Type** | **Description** |
| INSURANCE_LIFEINSURANCE | A life insurance policy is a contract with an insurance company. In exchange for premium payments, the insurance company provides a lump-sum payment, known as a death benefit, to beneficiaries upon the insured's death. |
| INSURANCE_OTHER | Insurance account; more specific type is not known. |
| INVESTMENT_401A | A 401(a) plan is a retirement savings plan in which employees cannot choose or change the amount contributed to the plan. It is also called a "money purchase plan". |
| INVESTMENT_401K | A 401(k) is a retirement savings plan sponsored by an employer. It lets workers save and invest a piece of their paycheck before taxes are taken out. Taxes are not paid until the money is withdrawn from the account. |
| INVESTMENT_403B | The 403b plan is an employer-sponsored supplemental retirement savings plan that, similar to a 401k plan, allows employees to contribute on a pre-tax or (if permitted by the 403b plan) Roth after-tax basis. A 403b plan can only be sponsored by a public school or a 501(c)(3) tax-exempt organization. |
| INVESTMENT_457B | A 457b plan is a supplemental retirement plan for employees who meet eligibility criteria. Typically, if employer is a governmental entity, state or local law will determine who is eligible to participate. |
| INVESTMENT_529 | A plan operated by a state or educational institution, with tax advantages and potentially other incentives to make it easier to save for college and other post-secondary training for a designated beneficiary, such as a child or grandchild. |
| INVESTMENT_BROKERAGE | A brokerage account is an arrangement between an investor and a licensed brokerage firm that allows the investor to deposit funds with the firm and buy and sell stocks, bonds, mutual funds, exchange-traded funds and other types of investments through the brokerage. |
| INVESTMENT_IRA | An Individual Retirement Account (IRA) is a type of savings account that is designed to help individuals save for retirement and offers many tax advantages. There are two different types of IRAs: Traditional and Roth. See also INVESTMENT_ROTHIRA. |
| INVESTMENT_KEOGH | A Keogh plan is a tax-deferred retirement savings plan for people who are self-employed, and is much like an individual retirement account (IRA). The main difference between a Keogh and an IRA is the contribution limit, with Keogh plans allowing significantly more contributions than IRAs. |
| INVESTMENT_MUTUALFUND | Mutual Fund Account is an investment program funded by shareholders that trades in diversified holdings and is professionally managed. |
| INVESTMENT_OTHER | Investment account; more specific type is not known. |
| INVESTMENT_PENSION | A pension is a retirement account that an employer maintains to provide employee a fixed payout upon retirement retire. It is a defined benefit plan in which the benefit on retirement is determined by a set formula, rather than depending on investment returns. |

| Account Types possible in Portfolio file | |
|---|---|
| **Type** | **Description** |
| INVESTMENT_PREPAIDTUITION | Pre-paid tuition plans generally allow college savers to purchase units or credits at participating colleges and universities for future tuition and, in some cases, room and board. Most prepaid tuition plans are sponsored by state governments and have residency requirements. Many state governments guarantee investments in pre-paid tuition plans that they sponsor. |
| INVESTMENT_PROFITSHARE | A profit-sharing plan is a defined contribution plan in which the employer has discretion to determine when and how much the company pays into the plan. The amount allocated to each individual account is usually based on the salary level of the participant (employee). |
| INVESTMENT_RETIREMENT | An account containing investments for retirement; more specific type is not known. |
| INVESTMENT_ROTHIRA | A Roth IRA is a retirement savings account that allows money to grow tax-free. A Roth IRA is funded with after-tax dollars, meaning taxes were already paid on the money deposited. In return for no up-front tax break, money grows and grows tax free, and when withdrawn at retirement, the investor pays no taxes. |
| INVESTMENT_SARSEP | A SARSEP is a simplified employee pension (SEP) plan set up before 1997 that includes a salary reduction arrangement. Under a SARSEP, employees can choose to have the employer contribute part of their pay to their Individual Retirement Account or Annuity (IRA) set up under the SARSEP (a SEP-IRA). |
| INVESTMENT_SAVINGSBOND | An account in which one can purchase and manage U.S. Savings Bonds. |
| INVESTMENT_SEPIRA | A Simplified Employee Pension Individual Retirement Account (SEP IRA) is a variation of the Individual Retirement Account used in the United States. SEP IRAs are adopted by business owners to provide retirement benefits for themselves and their employees. |
| INVESTMENT_TREASURYBOND | An account in which one can purchase and manage U.S. Treasury Bonds. |
| INVESTMENT_TRUST | With a bank trust account, the bank serves as custodian and a trustee keeps legal control of assets in the account. These assets can include cash, savings bonds, stocks, bonds, mutual funds, real estate and other property and/or investments. |
| INVESTMENT_UGMA | A Uniform Gift to Minors Act (UGMA) account is a type of custodial trust account for a minor. It provides a way for minors to own securities without requiring the services of an attorney to prepare trust documents or the court appointment of a trustee. |
| INVESTMENT_UTMA | Similar to UGMA accounts, a Uniform Transfers to Minors Act (UTMA) account is a type of custodial trust account that also allows minors to own other types of property, such as real estate, fine art, patents and royalties, and for the transfers to occur through inheritance. |
| LOAN_AUTO | Account used to manage an automobile loan. |
| LOAN_BANK | Account used to manage a general bank loan. |

| Account Types possible in Portfolio file | |
|---|---|
| **Type** | **Description** |
| LOAN_BOAT | Account used to manage a boat loan. |
| LOAN_HOMEEQUITY | Account used to manage a home equity loan. |
| LOAN_MORTGAGE | Account used to manage a mortgage. |
| LOAN_OTHER | Account used to manage a loan.  The specific type of loan is not known. |
| LOAN_PERSONAL | Account used to manage a personal loan. |
| LOAN_STUDENT | Account used to manage a student loan. |
| OTHER | An account with an account type that is not represented in our current type set. FI_SUPPLIED_ACCOUNT_TYPE field in file may contain useful information. |
| UNKNOWN | Unable to determine the type for this account. |

# Reconciliation File

AV generates an entry in the Reconciliation file (ADyymmdd.POS) for each position in the accounts identified as included in the Account translations tab in AV.  The data for the positions are as of the prior business day.

## Reconciliation File Format

The following table defines the columns of output for the Reconciliation file.

| Field # | Field Name | AV Output |
|---------|-----------|-----------|
| 1 | Account number | PortfolioCenter account number (PC Account #) as specified on the Account Translations tab in AV. |
| 2 | Account type | empty |
| 3 | Security type | One of the following strings base on Security type:<br><br>• CD (certificate of deposit)<br>• CP (commercial paper)<br>• EQ (stock)<br>• FI  (bond)<br>• IN (index)<br>• MB (mortgage backed)<br>• MF  (Cash and Money Market Balance)<br>• MU (mutual fund)<br>• OP (option)<br>• OT  (user defined)<br>• TB (T-bill)<br>• UI (unit trust) |
| 4 | Symbol/CUSIP | There will always be a symbol.  The security symbol will be one of the following, in the order of precedence:<br>Symbol specified  in the user-defined security translation, if there is one<br>• Ticker<br>• CUSIP<br><br>If none of those is available, then the system automatically uses one of the following depending on how the default security option is set:<br>• Name<br>• Unique numeric identifier<br>Notes:<br>• Because the Symbol field is limited by PC to 80 characters, the Name could be truncated and therefore not unique. The user may override this default behavior by creating a persistent security translation that redefines the output symbol and type for any "undefined" security.  The user may also override the output symbol and type for any well-defined security.<br>• CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it. |

|   |          | For more information about security symbols and CUSIPs, refer to [Security Identification](#), page 17. |
|---|----------|--------------------------------------------------------------------------------------------------------|
| 5 | Quantity | Position or Balance units (negative if position is short). |
| 6 | Amount   | Position or Balance units (negative if position is short). |

# Transaction File

CI Export generates an entry in the Transaction file (ADyymmdd.TRN) for each transaction in the current download. This transaction file may include transactions from business days other than the prior business day.

After CI Export has successfully generated output files for an account the next CI Export will only include transactions on the account that were gathered since the previous export.

## Transaction File Format

The following table defines the columns of output for the Transaction file:

| Field# | Field Name | AV Output |
|---|---|---|
| 1 | Broker Account | empty |
| 2 | File Date | empty |
| 3 | Account Number | PortfolioCenter account number (PC Account #) as specified on the Account Translations tab in AV. |
| 4 | Transaction Code | Please refer to the **Transaction Type Translation** section on page 15 for information on the PC Transaction codes used by AV. |
| 5 | Cancel status flag | "Y" for reversals, otherwise empty. |
| 6 | Symbol/CUSIP | There will always be a symbol.  The security symbol will be one of the following, in the order of precedence:<br>▪ Symbol specified in the user-defined security translation, if there is one<br>▪ Ticker<br>▪ CUSIP<br>If none of those is available, then the system automatically uses one of the following depending on how the default security option is set:<br><br>▪ Name<br>▪ Unique numeric identifier<br>Notes:<br>▪ Because the Symbol field is limited by PC to 80 characters, the Name could be truncated and therefore not unique. The user may override this default behavior by creating a persistent security translation that redefines the output symbol and type for any "undefined" security.  The user may also override the output symbol and type for any well-defined security.<br>▪ CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it.<br>For more information about security symbols and  CUSIPs, refer to Security Identification, page 17. |

| Field# | Field Name | AV Output |
|---|---|---|
| 7 | Security Code | One of the following strings base on Security type:<br>▪ CD (certificate of deposit)<br>▪ CP (commercial paper)<br>▪ EQ (stock)<br>▪ FI (bond)<br>▪ IN (index)<br>▪ MB (mortgage backed)<br>▪ MF (Cash and Money Market Balance)<br>▪ MU (mutual fund)<br>▪ OP (option)<br>▪ OT (user defined)<br>▪ TB (T-bill)<br>▪ UI (unit trust) |
| 8 | Trade Date/Pay date | Transaction exec date. |
| 9 | Quantity | Transaction units. |
| 10 | Net Amount | Transaction total amount. |
| 11 | Principal/Gross Amount | Typically "0", empty of SPLIT or REC. |
| 12 | Broker Fee | The broker fee. |
| 13 | Other Fees | Any other fees (other than commission). |
| 14 | Settle date/Ex date | Transaction settlement date. |
| 15 | From/To Account | Typically empty; it will be set to CASH if transaction is a buy or sell on a cash position. |
| 16 | Account Type | empty |
| 17 | Accrued Interest | For Fixed Income purchase and sales the related accrued interest will be set in this field. |
| 18 | Comment | The transaction's description. |
| 19 | Security Sell Method | Indicates the close accounting method. One of the following string:<br>▪ ACOST (Average Cost)<br>▪ FIFO (First In First Out)<br>▪ LIFO (Last In First Out)<br>▪ HCLOT (High Cost)<br>▪ LCLOT (Low Cost)<br>▪ SLLOT (Selected Lot) |

# Security File

CI Export generates an entry in the Security file (ADyymmdd.SEC) for each security referenced by a position or transaction in the current data download.

All security objects that are referenced by the position and transaction data will be output to the security file. User-defined security translations that redefine output symbols and type will be supported. A default translation mechanism will be used to generate symbols for all security references that do not have a matching security object.

## Security File Format

The following table defines the columns of output for the Security file.

| Field # | Field Name | AV Output |
|---------|------------|-----------|
| 1 | Symbol | There will always be a symbol. The security symbol will be one of the following, in the order of precedence:<br>■ Symbol specified in the user-defined security translation, if there is one<br>■ Ticker<br>■ CUSIP<br>If none of those is available, then the system automatically uses one of the following depending on how the default security option is set:<br>■ Name<br>■ Unique numeric identifier<br>Notes:<br>■ Because the Symbol field is limited by PC to 80 characters, the Name could be truncated and therefore not unique. The user may override this default behavior by creating a persistent security translation that redefines the output symbol and type for any "undefined" security. The user may also override the output symbol and type for any well-defined security.<br>■ CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it.<br>For more information about security symbols and CUSIPs, refer to Security Identification, page 17. |

| Field # | Field Name | AV Output |
|---|---|---|
| 2 | Security Type | One of the following strings base on Security type:<br>• CD (certificate of deposit)<br>• CP (commercial paper)<br>• EQ (stock)<br>• FI  (bond)<br>• IN (index)<br>• MB (mortgage backed)<br>• MF  (Cash and Money Market Balance)<br>• MU (mutual fund)<br>• OP (option)<br>• OT  (user defined)<br>• TB (T-bill)<br>• UI (unit trust) |
| 3 | Description | Security name. |
| 4 | Maturity/Expiration Date | Maturity date, if available (bonds only). |
| 5 | Call Date | empty |
| 6 | Call Price | empty |
| 7 | Issue Date | empty |
| 8 | First Coupon | empty |
| 9 | Interest Rate | Coupon rate, if available (bonds only). |
| 10 | Share Per Contract | empty |
| 11 | Annual Income Amount | empty |
| 12 | Comment | empty |

# Price File

AV PC generates an entry in the Price file (ADyymmdd.PRI) for each security referenced by a position or transaction in the current download and for which a price is available for the prior business day. Security prices for the prior business day will be generated from the securities or positions and output to the price file.

Historical Prices for each prior business day (up to six) that have never been exported will also be output to a price file named with the appropriate date.

## Price File Format

The following table defines the columns of output for the Price file:

| Field # | Field Name | AV Output |
|---------|-----------|-----------|
| 1 | Symbol or CUSIP | There will always be a symbol.  The security symbol will be one of the following, in the order of precedence:<br>▪ Symbol specified  in the user-defined security translation, if there is one<br>▪ Ticker<br>▪ CUSIP<br>If none of those is available, then the system automatically uses one of the following depending on how the default security option is set:<br>▪ Name<br>▪ Unique numeric identifier<br>Notes:<br>▪ Because the Symbol field is limited by PC to 80 characters, the Name could be truncated and therefore not unique. The user may override this default behavior by creating a persistent security translation that redefines the output symbol and type for any "undefined" security.  The user may also override the output symbol and type for any well-defined security.<br>▪ CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it.<br>For more information about security symbols and  CUSIPs, refer to Security Identification, page 17. |
| 2 | Security Type | empty |
| 3 | Date | empty |
| 4 | Price | Security's closing price |
| 5 | Factor/Par | Paydown factor |

# Position File (initial positions)

AV PC generates an entry in the Position file (ADyymmdd.INI) for each position in the accounts identified as included in the Accounts Translation tab and are new to the export process (i.e. have not been included in a previous file generation).  The units and market value for the positions are as of the prior business day.  AV PC does not currently provide a way to obtain a Position file for a business day other than the prior business day.

## Position File (initial positions) File Format

The following table defines the columns of output for the Position file:

| Field # | Field Name | AV Output |
|---------|------------|-----------|
| 1 | Broker Account | empty |
| 2 | File Date | empty |
| 3 | Account Number | PortfolioCenter account number (PC Account #) as specified on the Account Translations tab in AV. |
| 4 | Transaction Code | DEP for Money Fund and Cash types.<br>REC for all others. |
| 5 | Cancel status flag | empty |
| 6 | Symbol/CUSIP | There will always be a symbol.  The security symbol will be one of the following, in the order of precedence:<br><br>Symbol specified  in the user-defined security translation, if there is one<br><ul><li>Ticker</li><li>CUSIP</li></ul>If none of those is available, then the system automatically uses one of the following depending on how the default security option is set:<br><ul><li>Name</li><li>Unique numeric identifier</li></ul>Notes:<br><ul><li>Because the Symbol field is limited by PC to 80 characters, the Name could be truncated and therefore not unique. The user may override this default behavior by creating a persistent security translation that redefines the output symbol and type for any "undefined" security.  The user may also override the output symbol and type for any well-defined security.</li><li>CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it.</li></ul>For more information about security symbols and  CUSIPs, refer to Security Identification, page 17. |

| Field # | Field Name | AV Output |
|---|---|---|
| 7 | Security Code | One of the following strings base on Security type:<br>▪ CD (certificate of deposit)<br>▪ CP (commercial paper)<br>▪ EQ (stock)<br>▪ FI (bond)<br>▪ IN (index)<br>▪ MB (mortgage backed)<br>▪ MF (Cash and Money Market Balance)<br>▪ MU (mutual fund)<br>▪ OP (option)<br>▪ OT (user defined)<br>▪ TB (T-bill)<br>▪ UI (unit trust) |
| 8 | Trade Date/Pay date | Business day prior to date of generation of this file. |
| 9 | Quantity | Position's units (negative if position is short). |
| 10 | Net Amount | Position's market value. |
| 11 | Principal/Gross Amount | If a financial institution provides a position's cost basis then it is included here. |
| 12 | Broker Fee | empty |
| 13 | Other Fees | empty |
| 14 | Settle date/Ex date | empty |
| 15 | From/To Account | Typically empty. Set to Symbol for deposit of cash holdings that are not the CASH BALANCE, MONEY MARKET BALANCE, or MARGIN BALANCE holdings. |
| 16 | Account Type | empty |
| 17 | Accrued Interest | empty |
| 18 | Comment | Position name. |

## Transaction Type Translation

The ByAllAccounts (BAA) service interprets transaction data from Financial Institutions and as part of that interpretation assigns a transaction type to each transaction. AccountView (AV) then converts transactions from the BAA normalized transaction model to the PortfolioCenter (PC) transaction model. As a result, the BAA transaction type shows in the AV interface, whereas the PC transaction code shows in the export files.

The following table defines how BAA transaction codes are generally translated to PortfolioCenter transaction codes. Special cases and customization by Financial Institution may affect the translation for a particular transaction case or for transactions from a particular Financial Institution. The columns in the following table are:

▪ BAA Transaction Type: A BAA transaction type code you will see in AV.

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- BAA Transaction Sign:  Some transactions require examination of the sign of either the transaction total amount or the transaction units to determine whether it represents money/securities being moved into the account or being moved out of the account.  Transfer is the best example of this.  A transfer of securities with negative units is a Transfer Out  whereas a transfer of securities with positive units is a Transfer In.

- PortfolioCenter Code:  The PortfolioCenter transaction code to which the BAA transaction type is translated.

| BAA Transaction Type | Sign | PortfolioCenter Transaction Code |
|---|---|---|
| ATM | + | DEP |
| | - | WITH |
| BUY | | BUY |
| CHECK | | WITH |
| CLOSURE | + | SELL |
| | - | COVER |
| CREDIT | | DEP |
| DEBIT | | WITH |
| DEPOSIT | | DEP and BUY |
| DIRECT DEBIT | | WITH |
| DIRECT DEPOSIT | | DEP |
| DIVIDEND | | DIV (also LGAIN, MGAIN, SGAIN) |
| FEE | | SELL and EXP (also FRTAX, NRTAX) |
| INCOME | + | INT |
| | - | INT |
| INTEREST | + | INT |
| | - | INT |
| INVESTMENT EXPENSE | | EXP |
| JOURNAL (securities) | + | REC |
| | - | DEL |
| JOURNAL (cash) | + | CJOUR |
| | - | DJOUR |
| MARGIN INTEREST | | MEXP |
| OTHER | | OTH |
| PAYMENT | | WITH |
| POINT OF SALE | + | DEP |
| | - | WITH |
| REINVESTMENT | | DIV (with units) (also LGAIN, MGAIN, SGAIN) |
| REPEAT PAYMENT | | WITH |
| RETURN OF CAPITAL | | ROP |
| SELL | | SELL |
| Short sell | | SHORT |
| Maturity | | MAT |

| BAA Transaction Type | Sign | PortfolioCenter Transaction Code |
|---|---|---|
| SERVICE CHARGE | | EXP |
| SPLIT | | SPLIT |
| TRANSFER | + | REC (security), DEP (cash) |
| | - | DEL (security), WITH (cash) |
| WITHDRAWAL | | SELL and WITH |

# Security Identification and Security Translations

Several of the PortfolioCenter files (transaction, position, price, reconciliation) require a security reference.  Due to the variations in source data from Financial Institutions and the limitations of the BAA security master, a valid symbol may not always be available in AccountView to use in its AV PC export.  Please note that you can define security translations in AccountView and also in the PortfolioCenter Standard Interface settings.  We recommend for ease of maintenance that you define all security translations in AccountView rather than having some security translations in AccountView and some in PortfolioCenter.  The following list describes the default security identification behavior in the various situations that can occur.

Note that CUSIP will only be present if the firm is licensed for CUSIP data and the firm is enabled to deliver it.

1.  Security Found in BAA Security Master:

    a.  The position, transaction, or position lot as presented by the Financial Institution has a Ticker and/or a CUSIP and the symbol identifies a security in the BAA Security Master. AccountView will use the Ticker from the BAA Security Master in this case as the security symbol for the Position and all transactions against this position.  If no Ticker is available in the BAA Security Master then AV will use the CUSIP (if available) from the BAA Security Master.

    b.  The position, transaction, or position lot as presented by the Financial Institution has no symbol information but AccountView is able to identify it as a security in the BAA Security Master through evaluation of descriptive information for the position.  AV will use the Ticker from the BAA Security Master in this case as the security symbol for the position and all transactions against this position.  If no Ticker is available in the BAA Security Master then AV will use the CUSIP from the BAA Security Master.

2.  Symbol information provided by institution but not found in BAA Security Master:

    The position, transaction, or position lot as presented by the Financial Institution has a Ticker and/or a CUSIP but AV is unable to identify a corresponding security in the BAA Security Master using this symbol information.   AV will use the symbol information from the Financial Institution (Ticker if present, otherwise CUSIP) to identify the security in the PortfolioCenter Output files.  AV has no way to ascertain if the Financial Institution is providing a 'dummy' or otherwise invalid symbol.   AV will use the security type 'OT' (User-Defined) in this case.  Using the type 'OT' can prevent many helpful behaviors that PortfolioCenter provides when converting data for more specific security types.  We therefore recommend that you review any securities of type 'OT' that come in the security file and consider making an AccountView translation for that symbol to the same or a different symbol with a more specific security type (e.g. 'MU').

3.  No Symbol Information:

The position, transaction, or position lot as presented by the Financial Institution has no symbol information and BAA is not able to identify it as a security in the BAA Security Master. AV has no symbol information for the security in this case.  How AV determines what data to use when the Ticker or CUSIP is not available is controlled by the "Security Options" setting described in Global Configuration Settings, page 19. The options are:

**Security name** (the default)
AV will use the 'name' of the position (when present) to identify the security for a position.  The name is the descriptive name for the position presented by the Financial Institutions.  If no name is present for a position or transaction then AV will use a unique numeric identifier.  This case will show up as an 'automatic' security translation in the Security Translations tab and you should create an override to provide a more appropriate symbol.

**Unique numeric identifier**
AV will use the position or transaction database ID to identify the security.

# CONFIGURING ACCOUNTVIEW

## Global Configuration Settings

Use **Edit Configurations** on the **Downloads Dashboard** tab to access the **Downloads Configuration** interface. Adjust the global settings described in the following table. These settings apply on a global basis. Typically these options are set once then applied to all future AC PC exports. You can override some settings on individual basis in the AV user interface (not described here).

| Type | Option and Description |
|---|---|
| Account Options | **Exclude accounts at institutions not validated**<br>Selected by default. Export files will only include accounts at institutions with the validation state of 'validated'.  Deselecting this option will cause the inclusion of all accounts, regardless of their validation state (including Invalid, Withdrawn, Blocked, and In Process accounts). This option is only presented if the firm has the validation feature turned on.<br>**Account identifiers**<br>Select the data to use for the account identifier:<br>▪ Account number<br>▪ Unique numeric identifier which is the system's database ID for the account |
| Position Options | **Exclude positions in stale accounts**<br>This is the default setting. Will only include positions from accounts that have aggregated successfully today and whose positions are not stale,<br>**Exclude positions in failed accounts**<br>Positions in failed accounts will be excludsed when stale positions are allowed. In other words, only stale positions in successfully aggregated accounts are allowed. |
| Security Options | **Security Symbol when Ticker or CUSIP not available**<br>Specifies what data to use for the security symbol when the Ticker or CUSIP is not available. Choices are:<br>▪ **Security name** which is derived from the position or transaction<br>▪ **Unique numeric identifier** which is the system's database ID for the position or transaction |
| Price Options | **Days of historical prices.** Select the number of days from the pulldown. Can be left blank or a value from 1 to 6.<br>**Missing Prices**<br>Set how the system should respond when the price is missing.<br>▪ **Calculate the price from position's prior business day market value and units.** This is the default behavior; when the price is missing it is calculated.<br>▪ **Use the price from an earlier business day when prior business day cannot be determined.** When this is selected, if the prior business day price cannot be calculated then the system will use the price from an earlier business day. |

## Custom Filters

For firms that need it, a custom customer-specific filter can be created to prevent select positions and their associated transactions from being delivered to PortfolioCenter. AccountView will always gather all of the positions and balances in an account as well as related transactions for those positions/balances. Accounts may contain positions that you do not want to track in PortfolioCenter either because they are duplicated in another account or they are not a managed asset. The custom filter file enables you to filter out positions by name or symbol for a specific account at a Financial Institution or for all accounts at a Financial Institution. ByAllAccounts will create and maintain this file for you for any positions you wish to filter out at your request.

## CONFIGURING PORTFOLIOCENTER FOR ACCOUNTVIEW

There are some configuration steps you must perform for PortfolioCenter prior to using the AV PC export files in PortfolioCenter.

## PortfolioCenter Standard Interface Configuration

AV PC export files are created in the PortfolioCenter Standard Interface format. You must configure the Standard Interface within PortfolioCenter prior to using AV PC for the first time. Please refer to the manual entitled *Getting Started with PortfolioCenter Standard Interface* for information on configuration. Complete the following steps to configure the PortfolioCenter Standard Interface for AV PC export files:

1. In the PortfolioCenter main window, click the Interfaces tab to switch to the Interfaces page.

2. Select the appropriate Standard Interface in the interface tree on the left side of the page.

3. Click the Settings button at the bottom of the window to display the Interface Settings dialog.

4. On the Transfer Parameters tab:

    a. Check (enable) the "Display new position files" option.

5. On the Extended Settings tab:

    a. Check (enable) the "Use Delimited Fields" option.

    b. Set "Delimiting Character" to a comma (",").

6. Click Ok to save the parameters.

**Notes:**

You must download the AV PC export zip file from AV and move the files in it to where PortfolioCenter needs them.

There are a number of override options in the Transfer Parameters Tab whose settings are not required but, if enabled, can reduce the number of warnings received during the PortfolioCenter posting of the AV PC export data. Please review these options and enable the override cases that you prefer to be posted without warnings.

# PortfolioCenter Additional Configuration

We recommend that you perform the following additional configuration step in PortfolioCenter:

1. Create a Portfolio in PortfolioCenter for each account that you plan to download through AccountView. AccountView will use the account number you have configured in it as the default PortfolioCenter account number to identify an account in output files.

A financial institution may not report buy and sell transactions against the account's sweep vehicle. For accounts with this behavior you should set the Default Account to the symbol for the sweep vehicle. For all other accounts the Default Account should be set to CASH.