

AccountView and DataConnect Export

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Technical Support: (866) 856-4951
Web: byallaccounts.morningstar.com

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INTRODUCTION TO EXPORT

This guide describes the files produced using Morningstar® ByAllAccounts® Export and how to get them. The methods for Export (also called “bulk export”) are:

- DataConnect, the API for ByAllAccounts Web Services
- AccountView (AV), a web-based application with a graphical user interface

These two methods produce the same files. Using either method, various types of data for accounts are extracted from the financial institution source information and normalized to the ByAllAccounts data model, including the ByAllAccounts transaction type codes.

Note: This document does not describe Custodial Integrator (CI), which is another product from ByAllAccounts that produces different export files. CI is an installed application that requires a database. Using CI, data is normalized and enhanced. For example, missing values are calculated (prices, units, total amounts, and market value). CI also provides ways to customize the data, including rules specific to financial institutions, configuration settings, and ways to improve the data. CI provides data that Export does not, including:

- Fields related to tax lots
- Multi-currency fields for positions and transactions
- Third-party (IDC) prices
- Fields that are calculated or derived within CI

For information about the capabilities and requirements for CI, refer to the *Custodial Integrator Installation Guide* and the *Custodial Integrator User Guide*.

ABOUT THE EXPORT FILES

File Formats

Both DataConnect and AccountView can be used to export the following files in a zip file.

Filename	Reference
README.txt	A brief log file.
export_accounts.csv	A list of accounts. Refer to Accounts Export File , page 5.
export_positions.csv	A list of holdings. Refer to Positions Export File , page 14.
export_transactions.csv	A list of transactions. Refer to Transactions Export File , page 14.
export_clients.csv	A list of clients. Refer to Clients Export File , page 21.
export_investmentoptions.csv	A list of the investment options. Refer to Investment Options File , page 32.

For additional information about file structure, data types, asset subclasses, etc., refer to “[Appendix A: Export Files and Formats](#)”, page 4.

Scope of Records

The records returned are for accounts that are accessible to the user. The records can be limited to select accounts, and can be limited by date range, execution period, etc.

OBTAINING EXPORT FILES

Exporting from DataConnect

For information about exporting files using DataConnect, refer to “Export Data” and “Claim File” in the [DataConnect V4 Ultra User Guide](#).

Exporting from AccountView

Note: Export features for AccountView must be enabled at the Firm level in order to use them. When the method is enabled for the firm, the user can export data for the accounts they can access.

Export enables users to export to comma-delimited files the accounts, positions, and transactions for all (or selected) accounts and includes date range control.

Export Features for AccountView

Feature	Description
Export file format	AccountView exports to fixed-format .csv files.
Export file delivery	Exports run while user keeps working. The data is prepared on demand and then available for the user to download, within that login session only, to their desktop. When the Export Ready indicator appears the user can optionally access, view, and download the file(s) created during that session. The user can run more exports using different criteria, and choose which to download, within that login session only, to their desktop. When Export is enabled, it is available for the tables in the All Accounts and Financial Data views in AccountView. When export files are created from the All Accounts view, they are packaged together in a zip file which also contains a readme file that lists the file(s) created as well as those that were selected but not created due to lack of data.
File names	The names of AccountView export files are prefixed with ‘export’. Filenames are standardized and not editable within the user interface. The file names can be found within Appendix A: Export Files and Formats , which starts on page 4.
File content	The export files contain much more information than is visible in the AV user interface. For fields and their descriptions, refer to Appendix A: Export Files and Formats , page 4.
Export accounts for one client	Achieved in the All Accounts view by selecting all the client's accounts and then performing Export.
Export accounts for all clients under the advisor	Achieved in the All Accounts view by clearing any selection of accounts and performing Export.

Feature	Description
Choice of data to output	<p>Data for accounts the user can access can be output, including:</p> <ul style="list-style-type: none"> ▪ all accounts for multiple clients ▪ selected accounts for one account holder ▪ positions (holdings) ▪ transactions ▪ transaction date range ▪ historical accounts/positions <p>If there is no data available, the file will not be generated.</p>
Two workflows	<p>AccountView provides two workflows for Export: one from the Financial Data view and one from the All Accounts view.</p> <p>The Financial Data Export works off the accounts chosen when entering the Financial Data view so it is appropriate when researching data for a small number of specific accounts. Using Financial Data Export, positions and transactions data for selected accounts can be exported.</p> <p>The All Accounts Export is appropriate for exporting larger sets of data, for example to load into spreadsheets for analysis. It is also the method to use if you need account records. Using All Accounts Export, account, position, and transaction data for all accounts or selected accounts can be exported.</p> <p>The set of fields output for each file is fixed and they always contain the same columns. For example, the columns, format, sort order, etc. of the position export file is the same when produced by either method and whether the request was for current data or historical data.</p>

Export from Financial Data View

In the Financial Data view, you can export positions and transactions data for the accounts you selected upon entering the view. In the Financial Data view, you set the tables to indicate the date ranges (**As of** for positions and **Execution** for transactions). Note that in either case, if you make a change to the date range, click **Show** to update the table.

After starting the export, you can continue to work while AccountView generates the file(s). When the **Export ready** link appears you can click it to access all data exports for your current AccountView session. The file(s) generated during an export from the Financial Data view are individual files with sequence numbers in their names to make them unique within your current AccountView session.

Export from the All Accounts View

In the All Accounts view, you can export accounts, positions, and transactions data for all accounts or selected accounts. After selecting one or more accounts, select Export then choose whether to export data for all or the selected accounts, request historical data for accounts and positions by specifying a close of business date, and whether to produce accounts, positions and/or transactions files. For transactions, you can limit them to a specific execution period.

After starting the export, you can continue to work while AccountView generates the files. When the **Export ready** link appears you can click it to access all data exports for your current AccountView session. The file(s) generated during an export from the All Accounts view are contained in a .zip file, which also contains a readme file.

The readme.txt file lists the requested files and identifies any warnings or errors that occurred when producing the files. For example, the readme.txt file could include a message stating that a requested file was not produced because there was no data to include in the file. The zip file is named exportN.zip where N is a sequence number to make the file name unique within your current AccountView session.

APPENDIX A: EXPORT FILES AND FORMATS

File Structure

Each export file is a comma separated values (CSV) file where the first row contains column headers and the remaining rows contain data. The column headers are always the same for each file of a given type (such as position). The column headers do not vary based on the export request. Field values are enclosed by double-quotes. Each file has a defined sort order. Neither the files nor the file content is encrypted.

Note: The format of these files may change in the future to include new columns of data. If new columns are added they will be added to the “end” or “right” within the CSV file.

Data Types

The following table defines the data types for the columns included in the AV Export files.

Data Type	Description
BOOLEAN	Value is either 1 (indicating TRUE) or 0 (indicating FALSE).
CHARn	Alphanumeric string containing up to n characters.
DATE	Date in the form YYYYMMDD , where YYYY is a 4-digit year (e.g., 2003), MM is a 2-digit month code from 01 (January) through 12 (December), and DD is a 2-digit day code from 01 to 31.
ID	Unique persistent numeric identifier (Unique ID) ranging from 0 to 9999999999999999 (eighteen digits). Fields of this Data Type are either a primary key or a foreign key and are designated as such in the field Data Type definition. All ID fields have values generated and maintained by ByAllAccounts. An object’s ID is persistent (does not change from one day to the next). ID values for a field are monotonically increasing (e.g., ID values assigned to a new object tomorrow are greater than ID values assigned to a new object created today).

NUMBER	Amounts, quantities, and prices use this numeric data type that can contain up to 39 numeric characters including the decimal point. Negative values are indicated by a leading minus sign (-). Values that do not represent whole numbers (e.g., 1.3504) include a decimal point to indicate the start of the fractional amount. Values gathered directly from a Financial institution may have six or more digits to the right of the decimal point. No punctuation is used to separate thousands, millions, etc.
TIMESTAMP	Provides a full time stamp, including time zone of the server. The timestamp uses the form: YYYYMMDDHHmmSS [{gmt-offset}]:{tz-name}] where: YYYY is a 4-digit year (e.g., 2003) MM is a 2-digit month code from 01 (January) through 12 (December) DD is a 2-digit day code from 01 to 31 HH is a 2-digit hour code in 24-hour format (00 through 23) mm is a 2-digit minute code (00 through 59) SS is a 2-digit seconds code (00 through 59) gmt-offset is the number of hours that the time zone is offset from GMT; has a leading + or - tz-name is the name of the time zone (e.g., EST) Example: 20030721143522 [-5:EST] is July 21, 2003 2:35:22 PM, Eastern Standard Time

Historical Data

An Export request for data as of a business day date that is earlier than the immediate prior business day will populate some columns differently because the request is historical (versus a request for the “latest” or “current” data). The historical treatment for each field is noted in the tables in this section where applicable.

Accounts Export File

The following table defines the content of the Accounts file (export_accounts.csv). The top to bottom order of rows in this table match the left to right order of columns in the file. The data in this file is sorted ascending by: 1) FI_ID, and then 2) ACCOUNT_ID.

Accounts Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FINANCIAL_INSTITUTION_NAME		CHAR256	Current Value	Name of the financial institution in which the account is held.
ACCOUNT_NUMBER		CHAR128	Current Value	Alphanumeric string used to identify this Account at the financial service where this account is held.
NAME	√	CHAR64	Current Value	User-assigned nickname for the account.

Accounts Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
MARKET_VALUE	√	NUMBER	Historical Value	The sum of the position values for the account as of the LAST_UPDATED date. Is the total assets minus liabilities.
DATA_BASIS	√	CHAR12	Current Value	States whether the data in the account is SETTLEMENT (value "SETTLEMENT") basis or TRADE basis (value "TRADE").
LAST_UPDATED		TIMESTAMP	Omitted	Date/time on which data for this Account was (successfully) last retrieved from the associated Financial institution. May not be available for the off-line accounts.
UPDATE_STATUS_INFO		CHAR1024	Omitted	The status (textual description) of the last attempt to download this account from the financial institution.
UPDATE_STATUS_ERRCODE		CHAR6	Omitted	Error code for the result of the last attempt to download this account from the financial institution.
LAST_UPDATE_ATTEMPT		TIMESTAMP	Omitted	Date/time of the last access test or update attempt for this account.
ONLINE_ACCESS_ENABLED	√	BOOLEAN	Omitted	TRUE (1) if this account has sufficient online access credentials for the system to gather data from the financial service identified for this account; FALSE (0) in all other cases.
CREATION_DATE	√	TIMESTAMP	Current Value	Date when the account was created.
PRIOR_BUSINESS_DAY_DATE	√	DATE	Set to requested business day	The effective business day date for the export file contents.

Accounts Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
ADVISOR_ID		ID	Current Value	Unique internal identifier for the Advisor user associated with this account.
ADVISOR_FIRST_NAME		CHAR64	Current Value	First name of advisor user associated with this account.
ADVISOR_MIDDLE_NAME		CHAR64	Current Value	Middle name of advisor user associated with this account.
ADVISOR_LAST_NAME		CHAR64	Current Value	Last name of advisor user associated with this account.
CLIENT_ID	√	ID	Current Value	Unique internal identifier for the Investor user (also called Client) associated with this account.
CLIENT_FIRST_NAME	√	CHAR64	Current Value	First name of investor user associated with this account.
CLIENT_MIDDLE_NAME		CHAR64	Current Value	Middle name of investor user associated with this account.
CLIENT_LAST_NAME	√	CHAR64	Current Value	Last name of investor user associated with this account.
FI_ID		ID	Current Value	Unique internal identifier for the financial institution where account is held.
ACCOUNT_ID	√	ID	Current Value	Unique internal identifier for account.
FI_SUPPLIED_REP_ID		CHAR32	Current Value	Advisor/Rep identifier for the account, as supplied by the FI.
FI_SUPPLIED_FIRM_ID		CHAR32	Current Value	ID of the Firm for the advisor of the account, as supplied by the FI
FI_SUPPLIED_ACCOUNT_TAX_ID		CHAR32	Current Value	TAX ID (SSN or TIN) associated with the account, as supplied by the FI.
FI_SUPPLIED_ACCOUNT_NAME		CHAR128	Current Value	Name for the account, as supplied by the FI.
FI_SUPPLIED_ACCOUNT_TITLE		CHAR128	Current Value	Title of the account, as supplied by the FI.
FI_SUPPLIED_CLIENT_FIRST		CHAR64	Current Value	First name for the account holder for the account, as supplied by the FI.

Accounts Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FI_SUPPLIED_CLIENT_MIDDLE		CHAR64	Current Value	Middle name for the account holder of the account, as supplied by the FI
FI_SUPPLIED_CLIENT_LAST		CHAR64	Current Value	Last name for the account holder for the account, as supplied by the FI.
FI_SUPPLIED_CLIENT_PHONE		CHAR32	Current Value	Phone number of the client who owns this account. Will stay in the format provided by the custodian.
FI_SUPPLIED_CLIENT_DOB		CHAR12	Current Value	Date of birth of the client who owns this account. Will be converted to a standard date format MM/DD/YYYY.
FI_SUPPLIED_CLIENT_EMAIL		CHAR64	Current Value	Email address of the client who owns this account.
FI_SUPPLIED_ADDRESS_STREET		CHAR64	Current Value	Street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_LINE2		CHAR64	Current Value	Additional street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_LINE3		CHAR64	Current Value	Additional street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_LINE4		CHAR64	Current Value	Additional street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_LINE5		CHAR64	Current Value	Additional street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_LINE6		CHAR64	Current Value	Additional street address of the client who owns this account.
FI_SUPPLIED_ADDRESS_CITY		CHAR32	Current Value	City portion of the address of the client who owns this account.
FI_SUPPLIED_ADDRESS_STATE		CHAR32	Current Value	State portion of the address of the client who owns this account.

Accounts Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FI_SUPPLIED_ADDRESS_ZIP_CODE		CHAR16	Current Value	Zip code portion of the address of the client who owns this account.
FI_SUPPLIED_ACCOUNT_TYPE		CHAR32	Current Value	Custodian-reported account type for this account.
FI_SUPPLIED_CUSTODIAN_CODE		CHAR32	Current Value	Custodian-reported custodian code.
FI_SUPPLIED_CUSTODIAN_NAME		CHAR128	Current Value	Custodian-reported custodian name.
ACCOUNT_TYPE		CHAR32	Current Value	Account type as determined by the system from information available from the custodian. See list of possible types in Account Types , page 10.
ACCOUNT_PRIOR_BUSINESS_DAY_DATE		DATE	Omitted	<p>This field is calculated from the LAST_UPDATED date on the account:</p> <ul style="list-style-type: none"> ▪ if LAST_UPDATED date is blank (no value) then this field is also empty ▪ if LAST_UPDATED has a value, then the value for ACCOUNT_PRIOR_BUSINESS_DAY_DATE is the actual business day date immediately prior to the LAST_UPDATED date.
UIM_GUID		CHAR36	Current Value	UIM unique identifier for user.
EXTERNAL_SERVICE_LEVEL	√	CHAR20	Current Value	The external service level. The value is either Positional or Transactional.

Account Types

Valid values for **ACCOUNT_TYPE** are listed in this table.

Account Types	
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	<p>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.</p> <p>A credit card is different from a charge card, which requires the balance to be repaid in full each month.</p>
HEALTHACCOUNT_FSA	Health Savings account of the type Flexible Spending Account (FSA).
HEALTHACCOUNT_HRA	Health Savings account with Health Reimbursement Arrangement (HRA).

Account Types	
Type	Description
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
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.

Account Types	
Type	Description
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.
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.

Account Types	
Type	Description
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.
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.

Positions Export File

The following table defines the content of the Positions file (export_positions.csv). The top to bottom order of rows in this table match the left to right order of columns in the file. The data in this file is sorted ascending by: 1) FI_ID, 2) ACCOUNT_ID, and 3) POSITION_ID.

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FINANCIAL_INSTITUTION_NAME		CHAR256	Current Value	Name of financial institution in which the account containing this position is held.
ACCOUNT_NUMBER		CHAR128	Current Value	Alphanumeric string used to identify this account at the financial service where the account that contains this position is held.
ACCOUNT_NAME	√	CHAR64	Current Value	User-assigned nickname for the account containing this position.
TICKER		CHAR32	Current Value	The ticker from related security, if available.
CUSIP		CHAR9	Current Value	The CUSIP from related security, if available. Only included when CUSIP is enabled for the firm.
NAME	√	CHAR128	Current Value	The position's name (typically identifies the security) as provided by financial service or entered by the user (offline accounts).
FI_SUPPLIED_TICKER		CHAR32	Current Value	Security's Ticker as provided by the financial institution.
FI_SUPPLIED_CUSIP		CHAR20	Current Value	Security's CUSIP as provided by the financial institution. Only included when CUSIP is enabled for the firm.
FI_SUPPLIED_SEDOL		CHAR7	Current Value	Security's SEDOL as provided by the financial institution. Only included when enabled for firm.

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FI_SUPPLIED_ISIN		CHAR12	Current Value	Security's ISIN as provided by the financial institution. Only included when CUSIP is enabled for the firm.
SECURITY_TYPE		CHAR20	Current Value	Position's security type. Possible values: BOND, CASH, STOCK, MUTUALFUND, OPTION, OTHER.
UNITS		NUMBER	Historical Value	Units of the security held.
MARKET_VALUE		NUMBER	Historical Value	Total market value for this holding as retrieved from the financial institution or entered by the user.
COST_BASIS		NUMBER	Omitted	Financial Service-supplied cost basis for the Holding. If the cost basis is not available, this field may be populated with a calculated value, derived by multiplying the average Financial Service-supplied per-share cost by the total units of the Holding.
UNIT_PRICE		NUMBER	Historical Value	Unit price for the security as provided by the financial institution.
PRICE_DATA_AS_OF		DATE	Omitted	Date for which the UNIT_PRICE is valid.
ACCRUED_INCOME		NUMBER	Omitted	Value of the income that has accrued to the holding but has not yet been distributed.
LAST_UPDATED		TIMESTAMP	Omitted	Date/time on which the data for this holding was last updated with information from the financial service. Absent for holdings maintained manually by the user.

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
DATA_AS_OF		DATE	Omitted	The date which the holding data is 'as of' as reported by the financial institution. If the financial institution does not report a date then this field will be empty.
VALUE_SOURCE		CHAR12 (ENUM)	Historical Value	Source of the market value for this holding. May be one of the following strings: FI, WPAPPROX, or USER. FI –market value was collected from the financial institution. WPAPPROX –system approximated market value using the units reported by the financial institution and a closing security price obtained from a third party. USER –user edited the market value.
COUPON		NUMBER	Current Value	The interest payment rate of a debt instrument.
MATURITY_DATE		DATE	Current Value	The date a debt instrument becomes due and pays in full.
ORIGINAL_FACE		NUMBER	Current Value	The original face or par value for a security that amortizes or accretes (e.g. a mortgage). For such securities the "current face" is available in UNITS field.
ASSET_CLASS		CHAR64 (ENUM)	Current Value	The asset class of this security, one of: Unclassified Stocks Bonds Cash Real Estate Other

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
ASSET_SUBCLASS		CHAR128 (ENUM)	Current Value	Asset subclass of this security. For a list, see Asset Subclass page 19.
PRINCIPAL_UNITS		NUMBER	Omitted	Principal units as reported by the financial institution.
PRINCIPAL_COST_BASIS		NUMBER	Omitted	Principal cost basis as reported by the financial institution.
PRINCIPAL_MARKET_VALUE		NUMBER	Omitted	Principal market value as reported by financial institution (e.g. PRINCIPAL CASH market value).
INCOME_UNITS		NUMBER	Omitted	Income units as reported by financial institution.
INCOME_COST_BASIS		NUMBER	Omitted	Income cost basis as reported by the financial institution.
INCOME_MARKET_VALUE		NUMBER	Omitted	Income market value as reported by the financial institution (e.g. INCOME CASH market value).
PRIOR_BUSINESS_DAY_DATE		DATE	Set to requested business day	The effective business day date for the export file contents.
ADVISOR_ID		ID	Current Value	Unique internal identifier for Advisor user associated with this position.
CLIENT_ID	√	ID	Current Value	Unique internal identifier for Investor user associated with this position.
FI_ID		ID	Current Value	Unique internal identifier for financial institution where the position is held.
ACCOUNT_ID	√	ID	Current Value	Unique internal identifier for the account that contains this position.
POSITION_ID	√	ID	Current Value	Unique internal identifier for position.
FI_SUPPLIED_SEC_TYPE		CHAR64	Current Value	Security type name/identifier, as supplied by the FI.

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
MORNINGSTAR_SECID		CHAR10	Current Value	Morningstar investment identifier.
MORNINGSTAR_PERFID		CHAR10	Current Value	For equities, this field contains the Morningstar performance identifier. This field is empty for anything other than equities.
PAYDOWN_FACTOR		NUMBER	Omitted	Paydown factor value for the bond is included in the file if it is provided by the financial institution.
ASSET_LIABILITY_INDICATOR	√	CHAR9	Current Value	Valid values for this field are: Asset Liability
UIM_GUID		CHAR36	Current Value	UIM unique identifier for user.
CLIENT_FIRST_NAME		CHAR64	Current Value	First name of the client.
CLIENT_MIDDLE_NAME		CHAR64	Current Value	Middle name of the client.
CLIENT_LAST_NAME		CHAR64	Current Value	Last name of the client.
EXTERNAL_SERVICE_LEVEL	√	CHAR20	Current Value	The external service level. The value is either Positional or Transactional.
ACCOUNT_TYPE		CHAR32	Current Value	Account type as determined by the system from information available from the custodian. See list of possible types in Account Types , page 10.

Positions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
ACCOUNT_PRIOR_BUSINESS_DAY_DATE		DATE	Omitted	<p>This field is calculated from the LAST_UPDATED date on the account:</p> <ul style="list-style-type: none"> ▪ if LAST_UPDATED date is blank (no value) then this field is also empty ▪ if LAST_UPDATED has a value, then the value for ACCOUNT_PRIOR_BUSINESS_DAY_DATE is the actual business day date immediately prior to the LAST_UPDATED date.

Asset Subclass

The asset subclass can be one of:

Asset Subclass
Unclassified
Large Cap Growth (US)
Large Cap Core (US)
Large Cap Value (US)
Mid Cap Growth (US)
Mid Cap Core (US)
Mid Cap Value (US)
Small Cap Growth (US)
Small Cap Core (US)
Small Cap Value (US)
Large Cap Growth (Emerging Foreign)
Large Cap Core (Emerging Foreign)
Large Cap Value (Emerging Foreign)
Mid Cap Growth (Emerging Foreign)
Mid Cap Core (Emerging Foreign)

Asset Subclass
Mid Cap Value (Emerging Foreign)
Small Cap Growth (Emerging Foreign)
Small Cap Core (Emerging Foreign)
Small Cap Value (Emerging Foreign)
Large Cap Growth (Developed Foreign)
Large Cap Core (Developed Foreign)
Large Cap Value (Developed Foreign)
Mid Cap Growth (Developed Foreign)
Mid Cap Core (Developed Foreign)
Mid Cap Value (Developed Foreign)
Small Cap Growth (Developed Foreign)
Small Cap Core (Developed Foreign)
Small Cap Value (Developed Foreign)
Unclassified Stocks
Invest. Grade Short (US Tax Exempt)
Invest. Grade Intermediate (US Tax Exempt)
Invest. Grade Long (US Tax Exempt)
Medium Grade Short (US Tax Exempt)
Medium Grade Intermediate (US Tax Exempt)
Medium Grade Long (US Tax Exempt)
High Yield Short (US Tax Exempt)
High Yield Intermediate (US Tax Exempt)
High Yield Long (US Tax Exempt)
Invest. Grade Short (US Taxable)
Invest. Grade Intermediate (US Taxable)
Invest. Grade Long (US Taxable)
Medium Grade Short (US Taxable)
Medium Grade Intermediate (US Taxable)
Medium Grade Long (US Taxable)
High Yield Short (US Taxable)
High Yield Intermediate (US Taxable)
High Yield Long (US Taxable)

Asset Subclass
Invest. Grade Short (Foreign)
Invest. Grade Intermediate (Foreign)
Invest. Grade Long (Foreign)
Medium Grade Short (Foreign)
Medium Grade Intermediate (Foreign)
Medium Grade Long (Foreign)
High Yield Short (Foreign)
High Yield Intermediate (Foreign)
High Yield Long (Foreign)
Unclassified Bonds
Cash
Real Estate
Hedge Funds
Private Equity Investments
Options & Futures
Precious Metals
Natural Resources
Other Investments
Unclassified Other

Transactions Export File

The following table defines the content of the Transactions file (export_transactions.csv). The top to bottom order of rows in this table match the left to right order of columns in the file. The data in this file is sorted ascending by: 1) FI_ID, 2) ACCOUNT_ID, 3) POSITION_ID, (4) EXECUTION_DATE, and then 5) TRANSACTION_ID.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FINANCIAL_INSTITUTION_NAME		CHAR256	Current Value	Name of financial institution in which account containing this position is held.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
ACCOUNT_NUMBER		CHAR128	Current Value	Alphanumeric string used to identify this Account at the financial service where the Account that contains this position is held.
ACCOUNT_NAME	√	CHAR256	Current Value	User-assigned nickname for the Account containing this position.
TICKER		CHAR32	Current Value	The ticker from the related security, if available.
CUSIP		CHAR9	Current Value	The CUSIP from the related security, if available. Only included when CUSIP is enabled for the firm.
FI_SUPPLIED_TICKER		CHAR32	Current Value	Security's Ticker as provided by the financial institution.
FI_SUPPLIED_CUSIP		CHAR20	Current Value	Security's CUSIP as provided by the financial institution. Only included when CUSIP is enabled for the firm.
FI_SUPPLIED_SEDOL		CHAR7	Current Value	Security's SEDOL as provided by the financial institution. Only included when enabled for the firm.
FI_SUPPLIED_ISIN		CHAR12	Current Value	Security's ISIN as provided by the financial institution. Only included when CUSIP is enabled for the firm.
TX_TYPE	√	CHAR20	Current Value	Type of Transaction. For a list of valid values, see the table in Data Types "Transaction Types" on page 28.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
NAME		CHAR512	Current Value	Either the name of the Security or a short description of the Transaction. This will be the first valid value taken from related objects in this order: 1) security name, 2) position name, and 3) transaction name.
DESCRIPTION		CHAR2000	Current Value	Text that describes the transaction, provided by the financial service.
EXECUTION_DATE	√	DATE	Current Value	Date on which this Transaction was executed. Also called Trade Date.
SETTLEMENT_DATE		DATE	Current Value	Date on which this Transaction was settled.
UNITS		NUMBER	Current Value	Number of units (of security) involved in this Transaction.
UNIT_PRICE		NUMBER	Current Value	Per share price of the Security for purposes of this Transaction.
TOTAL_AMOUNT		NUMBER	Current Value	Total \$ value associated with this Transaction (may be negative).
COMMISSIONS_FEES		NUMBER	Current Value	Commission and/or fees associated with this Transaction.
ACCRUED_INCOME		NUMBER	Current Value	Amount of accrued interest.
POST_DATE		DATE	Current Value	The date that the transaction posted as provided by the financial institution.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
CONTRACTUAL_SETTLEMENT_DATE		DATE	Current Value	The date by which the transaction must contractually settle as provided by the financial institution.
CREATION_DATE	√	DATE	Current Value	Date when this Transaction object was created in the system.
SECURITY_TYPE		CHAR20	Current Value	Transaction's security type. Possible values: BOND, CASH, STOCK, MUTUALFUND, OPTION, OTHER.
PRINCIPAL_UNITS		NUMBER	Current Value	Principal units of the transaction as reported by the financial institution.
PRINCIPAL_TOTAL_AMOUNT		NUMBER	Current Value	Principal amount of the transaction as reported by the financial institution.
INCOME_UNITS		NUMBER	Current Value	Income units of the transaction as reported by the financial institution.
INCOME_TOTAL_AMOUNT		NUMBER	Current Value	Income amount of the transaction as reported by the financial institution.
FI_SUPPLIED_TX_TYPE		CHAR64	Current Value	Text provided by the financial institution that describes the type of activity that this transaction represents.
FI_SUPPLIED_TX_TYPE2		CHAR64	Current Value	Secondary text provided by the financial institution that describes the type of activity that this transaction represents.
FI_SUPPLIED_TX_TYPE_CODE		CHAR16	Current Value	Transaction type code or abbreviation provided by the financial institution.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FI_SUPPLIED_DESCRIPTION		CHAR2000	Current Value	Transaction description as provided by the financial institution.
FLOW_AMOUNT	√	NUMBER	Current Value	Total amount of cash flow for this transaction relative to the cash balance of the account. For information about signs refer to Signs for Flow Amount and Flow Units Fields in the Transaction File on page 29.
FLOW_UNITS		NUMBER	Current Value	Normalized units for the transaction. Whereas UNITS contains units value directly from the financial institution and may have great variations in sign within a given transaction type, FLOW_UNITS contains this same units value but is normalized by transaction type (e.g. Withdrawal will always have negative FLOW_UNITS). Refer to Signs for Flow Amount and Flow Units Fields in the Transaction File on page 29.
ORIG_TX_TYPE		CHAR20 (ENUM)	Current Value	Transactions reported as a reversal or cancellation by the financial institution will have the original transaction type code in this field. For a list of valid values, see the table in Transaction Types on page 28.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
PRIOR_BUSINESS_DAY_DATE		DATE	Set to requested business day	The effective business day date for the export file contents.
ADVISOR_ID		ID	Current Value	Unique internal identifier for the Advisor user associated with this position.
CLIENT_ID	√	ID	Current Value	Unique internal identifier for the Investor user associated with this position.
FI_ID		ID	Current Value	Unique internal identifier for the financial institution where position is held.
ACCOUNT_ID	√	ID	Current Value	Unique internal identifier for the account that contains this position.
POSITION_ID		ID	Current Value if position is active for requested date	Unique internal identifier for the position associated with this transaction.
TRANSACTION_ID	√	ID	Current Value	Unique internal identifier for this transaction.
COMMISSIONS		NUMBER	Current Value	Commission associated with this Transaction.
FEES		NUMBER	Current Value	Non-commission fees associated with this Transaction.

Transactions Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
SPENDING_CATEGORY		CHAR32	Current Value	<p>The consumer spending category attributed to this transaction. Possible values include but are not limited to:</p> <ul style="list-style-type: none"> ▪ Housing ▪ Utilities ▪ Insurance ▪ Bills ▪ Groceries ▪ Transportation ▪ Clothing ▪ Medical ▪ Childcare ▪ Loans ▪ Entertainment & Restaurants ▪ Travel ▪ Personal Care ▪ Memberships ▪ Luxury ▪ Other Expenses ▪ Paycheck ▪ Deposits ▪ Other Income
SPENDING_CATEGORY_INFO		CHAR7	Current Value	For consumer spending transactions, specifies if the transaction was an outgoing payment (expense) or incoming receipt (income).
UIM_GUID		CHAR36	Current Value	UIM unique identifier for user.

Transaction Types

Valid values for **TX_TYPE** and **ORIG_TX_TYPE** are:

Transaction Types	
Value	Description
ATM	ATM debit or credit (depends on signage of amount)
Buy	Buy a Security
Check	Check written
Closure	Close a position for an option
Credit	Generic credit
Debit	Generic debit
Deposit	Deposit
Direct debit	Merchant initiated debit
Direct deposit	Direct deposit
Dividend	Dividend paid
Fee	Financial institution fee
Income	Investment income is realized as cash into the investment Account
Interest	Interest earned or paid (depends on signage of amount)
Expense	Miscellaneous investment expense that is associated with a specific Security
Journal	Journal cash or Securities between sub-accounts within the same investment Account
Margin interest	Margin interest expense
Other	Other
Payment	Electronic payment
Point of sale	Point of sale debit or credit (depends on signage of amount)
Reinvestment	Reinvestment of income
Repeat payment	Repeating payment/standing order
Return of capital	Return of capital
Sell	Sell a Security
Service charge	Service charge
Split	Stock or Mutual Fund split
Transfer	Transfer cash or Holdings in or out (depends on signage of amount)
Withdrawal	Withdraw funds from Account

Signs for Flow Amount and Flow Units Fields in the Transaction File

The following table defines the sign used for the FLOW_AMOUNT and FLOW_UNITS field in the Transaction file. Signs available are:

- Positive
- Negative
- Neutral – used only by FLOW_AMOUNT, this is a flow of 0
- As is – the sign in the original data from the financial institution, usually used to preserve the full meaning of the transaction (e.g. transfer in vs. transfer out are not distinguished by type alone, but by type plus unit sign).

TX_TYPE Value	FLOW_AMOUNT Sign	FLOW_UNITS Sign
ATM	As is	As is
Buy	Negative	Positive
Check	Negative	Negative
Closure	Neutral	As is
Credit	Positive	Positive
Debit	Negative	Negative
Deposit	Positive	Positive
Direct debit	Negative	Negative
Direct deposit	Positive	Positive
Dividend	Positive	Positive
Fee	Negative	Negative
Income	Positive	Positive
Interest	As is	As is
Expense	Negative	Negative
Journal	As is	As is
Margin interest	As is	As is
Other	Neutral	As is
Payment	Negative	Negative
Point of sale	Negative	Negative
Reinvestment	Neutral	Positive
Repeat payment	Negative	Negative
Return of capital	Positive	Positive
Sell	Positive	Negative
Service charge	Negative	Negative
Split	Neutral	As is
Transfer	As is	As is
Withdrawal	Negative	Negative

Clients Export File

The following table defines the content of the Client file (export_clients.csv). Rows in this table are sorted by the value of the following fields in precedence order listed 1) FIRST_NAME, 2) MIDDLE_NAME, 3) LAST_NAME, 4) TAX_ID.

Clients Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
FIRST_NAME		CHAR64	Current Value	Client's first name.
MIDDLE_NAME		CHAR64	Current Value	Client's middle name.
LAST_NAME		CHAR64	Current Value	Client's last name.
FULL_NAME	√*	CHAR200	Current Value	Client's full name. FOR MANUAL CLIENTS this is presented as the concatenation of FIRST_NAME MIDDLE_NAME LAST_NAME with spaces between the name components. (Note: this is NOT the HOUSEHOLD_NAME field value for MANUAL clients). For INSTITUTION clients this field contains whatever the composite "NAME" information provided by the institution. That could be a field name that cannot be parsed, containing any/all parts of the name. If the INSTITUTION provides name pieces (first, last, etc.) then those are stored in the corresponding fields and a composite is created for this field the same as for a MANUAL client.
TAX_ID	√*	CHAR32	Current Value	Client's SSN or TIN.
PHONE_NUMBER		CHAR20	Current Value	Client's phone number.
EMAIL_ADDRESS		CHAR64	Current Value	Client's email address.
CUSTOM_TAG1		CHAR128	Current Value	Value of the custom firm tag1 field for this client – only valued when CLIENT_SOURCE_TYPE = 'MANUAL'.
CUSTOM_TAG2		CHAR128	Current Value	Value of the custom firm tag2 field for this client – only valued when CLIENT_SOURCE_TYPE = 'MANUAL'.

Clients Export File				
Column Header	Field always has a value	Data Type	Historical Treatment	Description
CUSTOM_TAG3		CHAR128	Current Value	Value of the custom firm tag3 field for this client – only valued when CLIENT_SOURCE_TYPE is 'MANUAL'.
CLIENT_SOURCE_TYPE	√	CHAR12	Current Value	One of the following values: 'MANUAL' OR 'INSTITUTION'
CLIENT_SOURCE_NAME		CHAR128	Current Value	If CLIENT_SOURCE is INSTITUTION then this will contain the Financial Institution name for the institution providing the client info.
CLIENT_ID		ID	Current Value	Unique numeric internal identifier for the PERSON object for this CLIENT. Only provided if CLIENT_SOURCE_TYPE is 'MANUAL'.
ADVISOR_ID		ID	Current Value	Unique internal numeric identifier for the advisor associated with this client in the BAA system. Only valued when CLIENT_SOURCE_TYPE is 'MANUAL'.
FI_SUPPLIED_REP_ID		CHAR32	Current Value	FI-Supplied Advisor / REP ID for the Advisor associated to this client. Only valued when CLIENT_SOURCE_TYPE is 'INSTITUTION'.
FI_SUPPLIED_FIRM_ID		CHAR32	Current Value	Fi-Supplied firm id for the firm associated with this client. Only valued when CLIENT_SOURCE_TYPE is 'INSTITUTION'.
UIM_GUID		CHAR36	Current Value	UIM unique identifier for user.

√* = one of these fields will be non-null for each row in the client file.

Investment Options File

The following table defines the content of the Investment Options file (export_investmentoptions.csv). The investment options are ordered by FI_ID, ACCOUNT_ID, and INVESTMENTOPTION_ID.

Investment Options File			
Column Header	Field always has a value	Data Type	Description
FINANCIAL_INSTITUTION_NAME	√	CHAR128	Name of the financial institution in which the account containing this investment option is held.
ACCOUNT_NUMBER		CHAR128	Alphanumeric string used to identify this account at the financial service where the account that contains this investment option is held.
ACCOUNT_NAME	√	CHAR128	User-assigned nickname for the account containing this investment option.
TICKER		CHAR32	The ticker from the related security, if available.
CUSIP		CHAR20	The CUSIP from the related security, if available. Only included when CUSIP is enabled for the firm.
NAME	√	CHAR128	The name of the investment option (typically identifies the security) as provided by financial service or entered by the user (offline accounts).
FI_SUPPLIED_TICKER		CHAR32	Security's Ticker as provided by the financial institution.
FI_SUPPLIED_CUSIP		CHAR20	Security's CUSIP as provided by the financial institution. Only included when CUSIP is enabled for the firm.
SECURITY_TYPE		NUMBER	Security type of the investment option. Possible values: BOND, CASH, STOCK, MUTUALFUND, OPTION, OTHER.
UNIT_PRICE		NUMBER	Unit price for the security as provided by the financial institution.
PRICE_DATA_AS_OF		DATE	Date for which the UNIT_PRICE is valid.

Investment Options File			
Column Header	Field always has a value	Data Type	Description
LAST_UPDATED		TIMESTAMP	Date/time on which the data for this investment option was last updated with information from the financial service. Absent for investment option maintained manually by the user.
DATA_AS_OF		DATE	The date which the investment option data is 'as of' as reported by the financial institution. If the financial institution does not report a date then this field will be empty.
ADVISOR_ID		ID	Unique internal identifier for the Advisor user associated with this investment option.
CLIENT_ID	√	ID	Unique internal identifier for Investor user associated with this investment option.
FI_ID	√	ID	Unique internal identifier for financial institution where the investment option is held.
ACCOUNT_ID	√	ID	Unique internal identifier for the account that contains this investment option.
INVESTMENTOPTION_ID	√	ID	Unique identifier for the investment option.
MORNINGSTAR_SECID		CHAR10	The Morningstar security identifier.
MORNINGSTAR_FUND_ID		CHAR10	Unique identifier for the Morningstar fund.
MORNINGSTAR_PERFID		CHAR10	For equities, this field contains the Morningstar performance identifier. This field is empty for anything other than equities.
CREATION_DATE	√	DATE	Date when this investment option object was created in the system.
PLAN_NAME		CHAR128	Name of the plan.
UIM_GUID		CHAR36	UIM unique identifier for user.