

AccountView and DataConnect Export

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INTRODUCTION TO EXPORT

This guide describes the files produced using 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 (Morningstar) 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 33. |

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 999999999999999999 (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 | This field is calculated from the LAST_UPDATED date on the account: <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 | 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. 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). |

| 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. |

| Account Types | |
|---------------------------|---|
| Type | Description |
| 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. |
| 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. |

| Account Types | |
|-------------------------|---|
| Type | Description |
| 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. |
| 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. |

| Positions Export File | | | | |
|------------------------------|---------------------------------|------------------|-----------------------------|---|
| Column Header | Field always has a value | Data Type | Historical Treatment | Description |
| 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. |
| 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. |

| Positions Export File | | | | |
|-------------------------|--------------------------|----------------|-------------------------------|--|
| Column Header | Field always has a value | Data Type | Historical Treatment | Description |
| ASSET_CLASS | | CHAR64 (ENUM) | Current Value | The asset class of this security, one of: Unclassified Stocks Bonds Cash Real Estate Other |
| 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. |

| Positions Export File | | | | |
|---------------------------|--------------------------|-----------|----------------------|--|
| Column Header | Field always has a value | Data Type | Historical Treatment | Description |
| 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. |
| 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 <p>May be omitted for the firm.</p> |
| SPENDING_CATEGORY_INFO | | CHAR7 | Current Value | <p>For consumer spending transactions, specifies if the transaction was an outgoing payment (expense) or incoming receipt (income).</p> <p>May be omitted for the firm.</p> |
| UIM_GUID | | CHAR36 | Current Value | <p>UIM unique identifier for user.</p> |

Transaction TypesValid 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. FOR MANUAL clients this is the phone number from the PERSON object for this client. For INSTITUTION clients this is the client phone number provided by the financial institution. |

| Clients Export File | | | | |
|----------------------------|---------------------------------|------------------|-----------------------------|--|
| Column Header | Field always has a value | Data Type | Historical Treatment | Description |
| EMAIL_ADDRESS | | CHAR64 | Current Value | Client's email address. FOR MANUAL clients this is the email address from the PERSON object for this client. For INSTITUTION clients this is the client email address provided by the financial institution. |
| 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'. |
| 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. |

| Clients Export File | | | | |
|----------------------------|---------------------------------|------------------|-----------------------------|--|
| Column Header | Field always has a value | Data Type | Historical Treatment | Description |
| CLIENT_DOB | | CHAR12 | Current Value | Client's date of birth in standard date format YYYYMMDD. Provided by the financial institution. Only has a value when CLIENT_SOURCE_TYPE is "INSTITUTION". |
| CLIENT_ADDRESS_STREET | | CHAR12 | Current Value | Client's street address. Provided by the financial institution. Only has a value when CLIENT_SOURCE_TYPE is "INSTITUTION". |

√* = 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. |