

# Position Lots Guide

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## ABOUT THIS GUIDE

### Purpose of this guide

This guide describes the position lot capability provided by the service.

Note: the changes made on August 6, 2020 were to update the list of financial institutions (FIs) that support position lots as of July 28, 2020. The list of FIs that do not was corrected to reflect the list as of as of September 26, 2014. There were no functionality changes.

## OVERVIEW

A position lot is the record of the purchase of a “lot” of a security that is distinct for purposes of determining taxes related to capital gains and losses. The lot includes key information about the purchase such as security transacted upon, the date of purchase, and the purchase price. Positions lots may be referred to as “position lots”, “lots”, or “tax lots”. These terms are interchangeable.

The service can aggregate open position lot information from financial institution data sources that report that data and for which support has been engineered. It does not support the aggregation of closed lots.

The currently supported data sources are listed in “Data Sources that Currently Support Position Lots”, page 4. Support can be added for additional data sources for a one-time fee. However, There are some data sources for which support cannot be engineered, and they are listed in “Data Sources that Cannot Support Position Lots”, page 10.

The position lot capability is supported by AccountView, Custodial Integrator (PortfolioCenter, Universal, Axys, APX), and DataConnect API. It is not supported by Custodial Integrator TLM or TOD, or by other applications not listed here.

The data provided for position lots varies by the variant of Custodial Integrator (Universal, PortfolioCenter, etc.) so please refer to the *Custodial Integrator User Guide* for your variant for these details. If you use the DataConnect API directly please refer to the *DataConnect User Guide*.

You must have the position lot capability enabled for your firm before you can use position lot features provided by the service. Technical support can enable the position lot feature for you. You must make a manual aggregation request to obtain position lot data; position lot data is not aggregated automatically on a nightly basis.

## USING POSITION LOTS

### Getting Started

To get started using lots, you need to complete the following tasks:

1. Review the list of data sources for which lot data is supported.
  - a. Obtain the latest list of sources with tax lot support from Technical Support.
  - b. Determine if the institution data sources from which you need lot data are already supported. There is no fee to use lot data from data sources that already support this type of data.
  - c. If needed, submit requests to Technical Support to add support for lots to specific data sources. There is a one-time fee of \$500 (per data source) to add lot support to a data source that does not already support it.

2. Obtain the software that supports lots.
  - a. Upgrade to AccountView (if you are still using WebPortfolio).
  - b. Install Custodial Integrator 3.3 (prior versions of CI do not support tax lots).
3. Request that Technical Support enable the lots feature for your firm. There is no fee to enable this feature.

## Obtaining Lot Data

After you have completed the tasks in the prior section you are ready to begin receiving lot data. There are two major steps in this process:

1. Gathering the lot data
  - a. Use AccountView to set the *Include tax lots* option on the accounts for which you want lot data gathered.

You can do this using the All Accounts View, Edit Account menu option for accounts at data sources that support lot gathering. In the Edit Account screen, find and expand the Options section, then select the *Include tax lots* checkbox and click *Save*. When you set this option on an account it remains set until you change it.
  - b. Submit an aggregation request to gather lot data.

In the All Accounts tab, select *More Actions > Aggregate Tax Lots for All* to request that lot data be aggregated for all accounts that have the *Include tax lots* option checked. Note that this aggregation request also performs a full position and transaction aggregation on these accounts at the same time.
  - c. Confirm that lot aggregation has completed.

To determine the status of tax lot aggregation, open the All Accounts tab and review the *Last Aggregated* date for the accounts configured for lots. Confirm that aggregation has completed for those accounts before going on to the next step.
2. Delivering the lot data
  - a. To obtain lot data, run Custodial Integrator.
  - b. Check the appropriate check box to have CI deliver lot data in its output files (see **Position Lots in Custodial Integrator**, page 3).
  - c. Perform the Import, Export, and Accept steps to deliver the lot file.

## Recommended Workflow

It is very important to note that you to manually select the tax lot aggregation request every time you want to obtain lot data. It is time consuming and resource intensive to obtain lot data and it is rarely used on a daily basis. For these reasons, the aggregation of this data must be done separately from the nightly aggregation of positions and transactions.

We recommend the following workflow:

1. On the day before you wish to receive lot data, complete your daily data download process with Custodial Integrator.
2. After you have completed your daily process, log into AccountView and select *Aggregate Tax Lots for All*.
3. Allow the aggregation process to run and check it again later in the day to determine if it is complete. If any accounts failed, you can selectively aggregate them with tax lots, using the *Aggregate Tax Lots for Accounts* menu option which works on selected accounts.
4. The next day, perform your daily data download process with CI but check the “include lots” option for your CI variant so that CI will deliver the data that was gathered the prior day.
5. Perform your lot reconciliation process.

## POSITION LOTS IN CUSTODIAL INTEGRATOR

Custodial Integrator (CI) variants that support lots have an option for including position lots in the import. Selecting that option causes CI to output a position lot file using the lot data that was aggregated most recently.

The following sections describe the position lot features for each variant of CI that supports position lots. These features are available only when the position lots feature has been enabled.

### CI Universal

- The Import data section on the main view of CI has an *Include position lots* option that controls the creation of a new position lot file (BAALOT<yyyyMMdd>.csv).
- To customize which columns to include in the position lot output file, use the Position Lots tab accessed using the *Advanced* button in the Output Configuration section of the Configuration tab in CI.
- The transactions output file optionally can contain fields that are related to position lots. To customize which of the new columns to include in the transactions output file, select them for inclusion on the Transactions tab accessed using the *Advanced* button in the Output Configuration section of the Configuration tab in CI. If fields are selected for inclusion, they will be empty unless CI is set to include position lots in the Import step.
- When position lots are imported, the details pane for Untranslated Securities includes a table of untranslated securities referenced by position lots. The table can be printed or saved to a file.

### CI APX

- The Import data section on the main view of CI has an *Include position lots* option. When it is selected, position lots will be imported. The exported lot file will include lot data for positions that contain lots. In the case of cash/money market positions, or if the position does not include any lot, then position data will be output to the file.
- When position lots are imported, the details pane for Untranslated Securities will include a table of untranslated securities referenced by position lots. The table can be printed or saved to a file.
- The Configuration screen will have an option for naming the Lots blotter.
- The IMEX Logs will include a tab for apixPositionLots.log.

## CI Axys

- The *Include Positions* option on the Import data section on the main view of CI has a sub-option called *Use position lots*. When it is selected, position lots are used instead of positions when they are available. The exported position file will include lot data instead of position data for positions that contain lots. In the case of cash/money market positions, or if the position does not include any lot, then position data will be output to the file.
- When position lots are imported, the details pane for Untranslated Securities includes a table of untranslated securities referenced by position lots. The table can be printed or saved to a file.
- The IMEX Logs will include a tab for *imexPositionLots.log* instead of *imexPositions.log*.

## CI PC

- The Import data section on the main view of CI has an *Include position lots* option that controls the creation of a new position lot file (AD<yyMMdd>.CBL).
- The transactions output file contains a field that indicates the Security Sell Method. The field can contain one of the following strings: ACOST, FIFO, LIFO, HCLLOT, LCLLOT, or SLLLOT.
- When position lots are imported, the details pane for Untranslated Securities includes a table of untranslated securities referenced by position lots. The table can be printed or saved to a file.

## Position Lots and CI Automation

Position lots can be imported by CI Automation using a parameter setting, which works the same way as enabling lots for import in the CI user interface. When this parameter is set to 'y', CI Automation imports position lots in addition to the other data (securities, positions, etc.) configured to be imported. The parameter is only effective for CI Automation, only when the firm is licensed for position lot data, and position lots are imported for accounts that are set to include tax lots in AccountView.

Refer to *Custodial Integrator Automation Guide* for more about CI Automation, including CI Automation with position lots.

## DATA SOURCES THAT CURRENTLY SUPPORT POSITION LOTS

As of July 28, 2020 the following data sources provide support for positions lots.

FI ID	NAME	USER LOGIN URL
98284	AMG National Trust - WebLink	<a href="https://login2.fisglobal.com/idp/AMGTRPWL/?ClientID=WebLinkUI">https://login2.fisglobal.com/idp/AMGTRPWL/?ClientID=WebLinkUI</a>
49455	Alerus Financial - Investments	<a href="https://www3.alerusfinancial.com/Weblink/logon/frmlogon.aspx?ReturnUrl=%2fweblink%2fDefault.aspx">https://www3.alerusfinancial.com/Weblink/logon/frmlogon.aspx?ReturnUrl=%2fweblink%2fDefault.aspx</a>
110810	American Bank Center - Trust	<a href="https://icp.infovisa.com/0149">https://icp.infovisa.com/0149</a>
98522	American National Bank & Trust (TX) - TrustWeb	<a href="https://icp.infovisa.com/0296/">https://icp.infovisa.com/0296/</a>
98729	American State Bank - InfoVisa Client Portal	<a href="https://icp.infovisa.com/0142">https://icp.infovisa.com/0142</a>
110813	American Trust Center - Trust	<a href="https://icp.infovisa.com/0149">https://icp.infovisa.com/0149</a>
97316	Anchor Bank (MN) - Trust	<a href="https://icp.infovisa.com/0208/">https://icp.infovisa.com/0208/</a>
98436	Argent Financial Group	<a href="https://accountaccess.argentfinancial.com">https://accountaccess.argentfinancial.com</a>
110975	AssetMark - FTP	<a href="sftp://ftp1.assetmark.com/">sftp://ftp1.assetmark.com/</a>

FI ID	NAME	USER LOGIN URL
97343	B. Riley Wealth Management	<a href="https://brileywealth.fccaccessonline.com/">https://brileywealth.fccaccessonline.com/</a>
98186	BNC National Bank - Trust	<a href="https://icp.infovisa.com/0209/">https://icp.infovisa.com/0209/</a>
98581	BNY Mellon Wealth Management - SFTP	<a href="ftp://ftx-servsh.bnymellon.com/">ftp://ftx-servsh.bnymellon.com/</a>
97352	Bank of America - Merrill Edge	<a href="https://www.merrilledge.com/m/pages/home.aspx">https://www.merrilledge.com/m/pages/home.aspx</a>
49756	Bank of America - TrustView Express	<a href="https://trustviewexpress.bankofamerica.com/logon/frmLogon.asp">https://trustviewexpress.bankofamerica.com/logon/frmLogon.asp</a>
109831	Bank of Jackson Hole - Trust	<a href="https://icp.infovisa.com/0317">https://icp.infovisa.com/0317</a>
98666	BankChampaign - Wealth Management	<a href="https://icp.infovisa.com/0103">https://icp.infovisa.com/0103</a>
55741	Boston Trust & Investment Management Company	<a href="https://bostontrust.clientviewportal.com/wmss/web/itc-bt-clientview/login">https://bostontrust.clientviewportal.com/wmss/web/itc-bt-clientview/login</a>
97630	Broker Dealer Financial Services - Client	<a href="https://bdfs.fccaccessonline.com/">https://bdfs.fccaccessonline.com/</a>
46915	Brown Advisory (First Clearing)	<a href="https://brown.fccaccessonline.com/">https://brown.fccaccessonline.com/</a>
97578	Bryn Mawr Trust Company - WebLink - Trust	<a href="https://services2.sungard.com/idp/BMTCTRPWL/?ClientID=WebLinkUI">https://services2.sungard.com/idp/BMTCTRPWL/?ClientID=WebLinkUI</a>
88622	Capital Guardian Personal Investment Management	<a href="https://pim.capguardian.com/">https://pim.capguardian.com/</a>
110700	Central Bank and Trust Co. - Trust	<a href="https://icp.infovisa.com/0203">https://icp.infovisa.com/0203</a>
97516	Central Trust & Investment Company - Trust and Investment	<a href="https://services2.sungard.com/idp/CBITRPWL/?ClientID=WeblinkUI">https://services2.sungard.com/idp/CBITRPWL/?ClientID=WeblinkUI</a>
43634	Charles Schwab & Co., Inc. - Institutional	<a href="https://ssl.schwabinstitutional.com/transact/LoginController">https://ssl.schwabinstitutional.com/transact/LoginController</a>
98091	Charles Schwab Institutional - SFTP	<a href="sftp://sft.schwab.com/">sftp://sft.schwab.com/</a>
15565	Chase Online	<a href="https://secure01c.chase.com/web/auth/#/logon/logon/chaseOnline">https://secure01c.chase.com/web/auth/#/logon/logon/chaseOnline</a>
92626	Citizens & Northern Bank - Trust	<a href="https://icp.infovisa.com/0169">https://icp.infovisa.com/0169</a>
96028	City National Rochdale - Investment Management	<a href="https://secure.cnr.com/myRochdale">https://secure.cnr.com/myRochdale</a>
48736	City Securities Corporation - Client	<a href="https://citysecurities.fccaccessonline.com/">https://citysecurities.fccaccessonline.com/</a>
110096	City State Bank - Trust & Investments	<a href="https://icp.infovisa.com/0196">https://icp.infovisa.com/0196</a>
95245	Community Bank & Trust (Waco) - Trust	<a href="https://icp.infovisa.com/0257/">https://icp.infovisa.com/0257/</a>
97277	Community Bank (Muscatine, et al.) - Retirement	<a href="https://icp.infovisa.com/0236">https://icp.infovisa.com/0236</a>
48556	Consultiva Internacional, Inc.	<a href="https://consultiva.fccaccessonline.com/">https://consultiva.fccaccessonline.com/</a>
110732	Countybank - Trust (MAUIWeb)	<a href="https://icp.infovisa.com/0323">https://icp.infovisa.com/0323</a>
98008	Covenant Trust Company	<a href="https://www.mauweb1.com/0194">https://www.mauweb1.com/0194</a>
48558	Cutter & Company - First Clearing	<a href="https://cutterco.fccaccessonline.com/">https://cutterco.fccaccessonline.com/</a>



<b>FI ID</b>	<b>NAME</b>	<b>USER LOGIN URL</b>
48738	David A. Noyes & Company - Clients	<a href="https://danoyes.fccaccessonline.com/">https://danoyes.fccaccessonline.com/</a>
109505	Deutsche Asset And Wealth Management - DB InSight	<a href="https://www.dbinsight.com/dbinsight">https://www.dbinsight.com/dbinsight</a>
94146	Extraco Banks - E-Trust	<a href="https://icp.infovisa.com/0326">https://icp.infovisa.com/0326</a>
97079	FSG Bank - Wealth Management (MAUI)	<a href="https://icp.infovisa.com/0259/">https://icp.infovisa.com/0259/</a>
111089	FTJ Fundchoice Data Feed (via TDA)	<a href="sftp://216.105.253.89:25021">sftp://216.105.253.89:25021</a>
98045	Fidelity IWS - FTP Access	<a href="https://fiws.fidelity.com/">https://fiws.fidelity.com/</a>
20268	Fidelity Investments - Fidelity.com	<a href="https://oltx.fidelity.com/ftgw/fbc/ofsummary/summary">https://oltx.fidelity.com/ftgw/fbc/ofsummary/summary</a>
111345	Fiduciary Trust Company - SFTP	<a href="sftp://sftp.fiduciary-trust.com">sftp://sftp.fiduciary-trust.com</a>
96586	First Clearing LLC	<a href="https://fcc.fccaccessonline.com/">https://fcc.fccaccessonline.com/</a>
111160	First County Bank - First County Advisors	<a href="https://icp.infovisa.com/0230">https://icp.infovisa.com/0230</a>
52342	First Financial Trust N.A. - Trust	<a href="https://www.mauiweb1.com/FFT/scenes/login.asp">https://www.mauiweb1.com/FFT/scenes/login.asp</a>
42041	First National 1870 Wealth Management	<a href="https://innovue30.innovestsystems.com/sfl/sfl/authentication/login">https://innovue30.innovestsystems.com/sfl/sfl/authentication/login</a>
109996	First PREMIER Bank - Trust and Investments	<a href="https://icp.infovisa.com/0309/">https://icp.infovisa.com/0309/</a>
111065	First Point Wealth Management - Financial Management & Trust	<a href="https://icp.infovisa.com/0216">https://icp.infovisa.com/0216</a>
98271	First Southwest Company - FSAccess	<a href="https://fsaccess.firstswclearing.com/secure/Login.aspx">https://fsaccess.firstswclearing.com/secure/Login.aspx</a>
98361	First Western Bank & Trust - Trust	<a href="https://icp.infovisa.com/0144/">https://icp.infovisa.com/0144/</a>
98023	Founders Bank & Trust - Investment	<a href="https://www.mauiweb1.com/0281/">https://www.mauiweb1.com/0281/</a>
110407	Godfrey & Kahn - Trust	<a href="https://icp.infovisa.com/A177/">https://icp.infovisa.com/A177/</a>
42352	Goldman Sachs Private Wealth Management	<a href="https://www.goldman.com">https://www.goldman.com</a>
98080	Goulston & Storrs - MAUIWeb	<a href="https://icp.infovisa.com/0274">https://icp.infovisa.com/0274</a>
98189	Great Western Bank - Trust	<a href="https://icp.infovisa.com/0283/">https://icp.infovisa.com/0283/</a>
99241	Hand Benefits & Trust Company - WebLink	<a href="https://services2.sungard.com/idp/HANDTRPWL/?ClientID=WebLinkUI">https://services2.sungard.com/idp/HANDTRPWL/?ClientID=WebLinkUI</a>
97027	Harrington Wealth Management	<a href="https://icp.infovisa.com/0114/">https://icp.infovisa.com/0114/</a>
97432	Haverford Trust Company	<a href="https://icp.infovisa.com/0330">https://icp.infovisa.com/0330</a>
98802	Horizon Bank (IN, MI) - Trust	<a href="https://services2.sungard.com/idp/TSS278/?ClientID=WebLinkUI">https://services2.sungard.com/idp/TSS278/?ClientID=WebLinkUI</a>
109848	Howland Capital - Tamarac	<a href="https://howlandcapital.portal.tamaracinc.com/">https://howlandcapital.portal.tamaracinc.com/</a>
96465	Huntleigh Securities Corporation	<a href="https://huntleigh.fccaccessonline.com/">https://huntleigh.fccaccessonline.com/</a>
109640	IBERIA Wealth Advisors	<a href="https://services2.sungard.com/idp/TSS402/?ClientID=WebLinkUI">https://services2.sungard.com/idp/TSS402/?ClientID=WebLinkUI</a>
98140	Integrity Bank & Trust - Wealth Management & Trust	<a href="https://icp.infovisa.com/0189">https://icp.infovisa.com/0189</a>

FI ID	NAME	USER LOGIN URL
54441	Interactive Brokers	<a href="https://www.interactivebrokers.com/Universal/servlet/AccountAccess.Login?forwardTo=1">https://www.interactivebrokers.com/Universal/servlet/AccountAccess.Login?forwardTo=1</a>
50095	Janney Montgomery Scott LLC.	<a href="https://www.myjanney.com/Lists/PublicFolder/LoginContent/Home.aspx">https://www.myjanney.com/Lists/PublicFolder/LoginContent/Home.aspx</a>
92868	Jefferson Bank	<a href="https://icp.infovisa.com/0100">https://icp.infovisa.com/0100</a>
98179	Lafayette Investments	<a href="https://lafayetteinvestments.fccaccessonline.com/">https://lafayetteinvestments.fccaccessonline.com/</a>
55665	M&T Bank WebFolio	<a href="http://mandtbank.cconnect.com/">http://mandtbank.cconnect.com/</a>
109066	Marriott Rewards Visa	<a href="https://www.chase.com/content/chase-ux/en/personal/credit-cards/marriott-account-access">https://www.chase.com/content/chase-ux/en/personal/credit-cards/marriott-account-access</a>
110090	Martha's Vineyard Financial Group - Trust	<a href="https://www.mauiweb1.com/0187">https://www.mauiweb1.com/0187</a>
54984	Mercantile Investment & Wealth Management	<a href="https://mercantile.vfi-web.com/Weblink/logon/frmlogon.aspx?ReturnUrl=%2fweblink%2fDefault.aspx">https://mercantile.vfi-web.com/Weblink/logon/frmlogon.aspx?ReturnUrl=%2fweblink%2fDefault.aspx</a>
55041	Merrill Lynch Benefits OnLine Non-Qualified Deferred Compensation	<a href="https://www.benefits.ml.com">https://www.benefits.ml.com</a>
261	Merrill Lynch Benefits Online - 401k Plan	<a href="https://www.benefits.ml.com">https://www.benefits.ml.com</a>
97463	Merrill Lynch Benefits Online Employee Stock Purchase Plan	<a href="https://www.benefits.ml.com">https://www.benefits.ml.com</a>
221	Merrill Lynch Direct	<a href="https://www.fs.ml.com/login/Login.asp?site=mlld">https://www.fs.ml.com/login/Login.asp?site=mlld</a>
222	Merrill Lynch Online	<a href="https://www.fs.ml.com/login/Login.asp?site=mlol">https://www.fs.ml.com/login/Login.asp?site=mlol</a>
91790	Moors & Cabot (First Clearing)	<a href="https://moorscabot.fccaccessonline.com/">https://moorscabot.fccaccessonline.com/</a>
262	Morgan Stanley Smith Barney ClientServ (non-Quicken)	<a href="https://login.morganstanleyclientserv.com/">https://login.morganstanleyclientserv.com/</a>
111171	National Advisors Trust - SFTP Access	<a href="sftp://sftp.nationaladvisorstrust.com">sftp://sftp.nationaladvisorstrust.com</a>
88725	National Penn Investors Trust Company - Investment and Trust	<a href="https://www.vfi-web.com/NPITCWeblink">https://www.vfi-web.com/NPITCWeblink</a>
96547	Nations Financial Group	<a href="https://nations.fccaccessonline.com">https://nations.fccaccessonline.com</a>
45212	Neuberger Berman Private Asset Management	<a href="https://caa.nb.com/login.aspx?aa=pam/">https://caa.nb.com/login.aspx?aa=pam/</a>
111039	North Shore Bank (MN, WI) - Trust	<a href="https://icp.infovisa.com/0245/">https://icp.infovisa.com/0245/</a>
87262	Northern Trust - FTP Access	<a href="http://www.northerntrust.com/">http://www.northerntrust.com/</a>
44185	Northern Trust Passport	<a href="http://www.northerntrust.com/">http://www.northerntrust.com/</a>
110111	Old North State Trust	<a href="https://icp.infovisa.com/0237">https://icp.infovisa.com/0237</a>
42852	Oppenheimer	<a href="https://www.oppenheimer.com/client-login.aspx">https://www.oppenheimer.com/client-login.aspx</a>
46496	PNC I-Link	<a href="https://ilink2.pnc.com/">https://ilink2.pnc.com/</a>
97221	Pentegra Retirement Services - RSGroup	<a href="https://icp.infovisa.com/0198/">https://icp.infovisa.com/0198/</a>
98285	Peoples Bank (OH) - Trust & Investment	<a href="https://services2.sungard.com/idp/PEBOTRPWL/?ClientID=WebLinkUI">https://services2.sungard.com/idp/PEBOTRPWL/?ClientID=WebLinkUI</a>
98619	Peoples Bank and Trust (KS) - Trust	<a href="https://icp.infovisa.com/0250/">https://icp.infovisa.com/0250/</a>

FI ID	NAME	USER LOGIN URL
92028	Pershing InfoDirect	<a href="https://infodirect.pershing.com/cehttp/html/index.html">https://infodirect.pershing.com/cehttp/html/index.html</a>
110798	Pershing InfoDirect - New	<a href="https://mfgw.sfg.pershing.com/infodirect/">https://mfgw.sfg.pershing.com/infodirect/</a>
110170	Pinnacle Bank (NE, KS, MO) - Trust	<a href="https://icp.infovisa.com/0310">https://icp.infovisa.com/0310</a>
93646	Pinnacle Financial Partners - Trust	<a href="https://services2.sungard.com/idp/PFPTRPWL/?ClientID=WeblinkU">https://services2.sungard.com/idp/PFPTRPWL/?ClientID=WeblinkU</a> <a href="#"> </a>
96945	Plante Moran - Client Access	<a href="https://icp.infovisa.com/0223">https://icp.infovisa.com/0223</a>
50697	Pruco Securities, LLC.	<a href="https://www.prudential.com/wps/portal/production/common/login">https://www.prudential.com/wps/portal/production/common/login</a>
109662	Queensborough National Bank & Trust - Trust	<a href="https://icp.infovisa.com/0300">https://icp.infovisa.com/0300</a>
97913	Reliance Trust - SecureLink SFTP	<a href="sftp://SecureLink.FISGlobal.com/">sftp://SecureLink.FISGlobal.com/</a>
109884	SEI Institutional 370	<a href="https://www.account3000.com/institutional370/Aspx/Login.aspx">https://www.account3000.com/institutional370/Aspx/Login.aspx</a>
98245	Sabal Trust Company - Client	<a href="https://www.rt-wms.com/rtcdirect/Logon/frmLogon_rtc.aspx">https://www.rt-wms.com/rtcdirect/Logon/frmLogon_rtc.aspx</a>
98685	Simmons Bank - Wealth Management & Trust	<a href="https://services2.sungard.com/idp/SFTTRPWL/?ClientID=WebLinkU">https://services2.sungard.com/idp/SFTTRPWL/?ClientID=WebLinkU</a> <a href="#"> </a>
98237	South Carolina Bank & Trust - Trust Asset Management	<a href="https://www.account3000.com/scbandt/Aspx/TFALogin.aspx?ReturnUrl=/scbandt/Aspx/account3000.aspx">https://www.account3000.com/scbandt/Aspx/TFALogin.aspx?ReturnUrl=/scbandt/Aspx/account3000.aspx</a>
88423	South Dakota Trust Company	<a href="https://icp.infovisa.com/0226/">https://icp.infovisa.com/0226/</a>
110267	Southeastern Trust Company	<a href="https://icp.infovisa.com/0259">https://icp.infovisa.com/0259</a>
98477	Southern Michigan Bank & Trust - Wealth Management	<a href="https://icp.infovisa.com/0337">https://icp.infovisa.com/0337</a>
95865	Soy Capital Bank and Trust Company	<a href="https://icp.infovisa.com/0246">https://icp.infovisa.com/0246</a>
98299	State Street - Secure Transport (Wealth Management)	<a href="https://sft.statestreet.com">https://sft.statestreet.com</a>
33284	State Street WealthConnect	<a href="https://wealthconnect.statestreet.com">https://wealthconnect.statestreet.com</a>
98611	StateTrust Wealth Management - Customer	<a href="https://statetrust.automatedfinancial.com/secure_login.html">https://statetrust.automatedfinancial.com/secure_login.html</a>
44912	SunTrust Trust & Portfolio Management	<a href="https://trustservices.suntrust.com/">https://trustservices.suntrust.com/</a>
110658	Sunflower Bank - Trust (Innovue)	<a href="https://innovue30.innovestsystems.com/sfl/sfl/authentication/login">https://innovue30.innovestsystems.com/sfl/sfl/authentication/login</a> <a href="#">n</a>
97193	Sunflower Bank - Trust (SEI)	<a href="https://sunflower.cconnect.com/">https://sunflower.cconnect.com/</a>
98059	TD Ameritrade - Institutional SFTP Access	<a href="sftp://216.105.253.89:25021">sftp://216.105.253.89:25021</a>
110458	TD Ameritrade - Institutional Trust VEO	<a href="https://www.advisorservices.com">https://www.advisorservices.com</a>
98617	Talmer Bank and Trust - Portfolio Review	<a href="https://www.mauieweb1.com/0244/">https://www.mauieweb1.com/0244/</a>
98864	The Bennington State Bank - Wealth Management	<a href="https://icp.infovisa.com/0290">https://icp.infovisa.com/0290</a>
109583	The Commercial & Savings Bank - Trust	<a href="https://icp.infovisa.com/0249">https://icp.infovisa.com/0249</a>

<b>FI ID</b>	<b>NAME</b>	<b>USER LOGIN URL</b>
52861	The PrivateBank - Asset Management	<a href="https://services2.sungard.com/idp/PBTCTRPWL/?ClientID=WebLinkUI">https://services2.sungard.com/idp/PBTCTRPWL/?ClientID=WebLinkUI</a>
49981	The Stephenson National Bank & Trust	<a href="https://icp.infovisa.com/0213/">https://icp.infovisa.com/0213/</a>
98185	The Trust Company - Client Login	<a href="https://www.mauweb1.com/0214">https://www.mauweb1.com/0214</a>
96827	Tiedemann Trust Company	<a href="https://icp.infovisa.com/0202/">https://icp.infovisa.com/0202/</a>
98580	Trust Point Inc. - Trust/Investment	<a href="https://services2.sungard.com/idp/NCTCTRPWL/?ClientID=WebLinkUI">https://services2.sungard.com/idp/NCTCTRPWL/?ClientID=WebLinkUI</a>
41813	U.S. Bank TrustNOW	<a href="https://usbank.cconnect.com/">https://usbank.cconnect.com/</a>
98032	UBS Financial Services ConsultWorks - IS Manager Link	<a href="https://www.ubspwmobile.com/CWM/cw2mlogin.jsp">https://www.ubspwmobile.com/CWM/cw2mlogin.jsp</a>
98570	UMB InvestmentDirect - Investments	<a href="https://login2.fisglobal.com/idp/umbid/?ClientID=WP_UX">https://login2.fisglobal.com/idp/umbid/?ClientID=WP_UX</a>
98636	US Bank - PIVOT	<a href="https://pivot.usbank.com/wmss/web/it-c/login">https://pivot.usbank.com/wmss/web/it-c/login</a>
98051	Union Bank & Trust Company (NE, KS) - Trust	<a href="https://mauiweb.ubt.com">https://mauiweb.ubt.com</a>
110138	United Bank & Trust (IA) - Wealth Management	<a href="https://icp.infovisa.com/0216">https://icp.infovisa.com/0216</a>
97237	United Bank (GA) - Investments and Trust Services	<a href="https://icp.infovisa.com/0258/">https://icp.infovisa.com/0258/</a>
54062	VSR Financial Services - First Clearing	<a href="https://vsrfinancial.fccaccessonline.com/">https://vsrfinancial.fccaccessonline.com/</a>
109584	WealthSouth - Trust	<a href="http://icp.infovisa.com/0271">http://icp.infovisa.com/0271</a>
109633	Wedbush - FolioDynamix SFTP	<a href="sftp://sftp.foliodx.com/">sftp://sftp.foliodx.com/</a>
97563	Wells Fargo Advisors	<a href="https://www.wellsfargoadvisors.com/login">https://www.wellsfargoadvisors.com/login</a>
97627	Wells Fargo Advisors - First Clearing	<a href="https://wfa.fccaccessonline.com/">https://wfa.fccaccessonline.com/</a>
98148	Wells Fargo Advisors - First Clearing (Money Manager Portal)	<a href="https://mgr.fccaccessonline.com/">https://mgr.fccaccessonline.com/</a>
48499	Wells Fargo Commercial Electronic Office	<a href="https://wellsoffice.wellsfargo.com/ceo/signon/index.jsp">https://wellsoffice.wellsfargo.com/ceo/signon/index.jsp</a>
44893	Wells Fargo Online Brokerage	<a href="http://www.wellsfargo.com/">http://www.wellsfargo.com/</a>
98309	Wells Fargo Prime Services - FTP	<a href="ftp://ftp.merlinsecurities.com/">ftp://ftp.merlinsecurities.com/</a>
110042	West Bank - Trust	<a href="https://icp.infovisa.com/0104">https://icp.infovisa.com/0104</a>
98016	iAB Financial Bank - Wealth Management	<a href="https://www.mauweb1.com/0188">https://www.mauweb1.com/0188</a>

## DATA SOURCES THAT CANNOT SUPPORT POSITION LOTS

As of September 26, 2014, the following institutions have been evaluated and it has been determined that they cannot support position lots (either because the site does not provide this data or for technical reasons).

Name	User Login URL
Altman Investment Management LLC	<a href="https://toolkit.clearco.com/altmaninv/">https://toolkit.clearco.com/altmaninv/</a>
American Express Credit Card	<a href="https://online.americanexpress.com/myca/logon/us/action?request_type=LogonHandler&amp;Face=en_US&amp;inav=iNavLnkLog">https://online.americanexpress.com/myca/logon/us/action?request_type=LogonHandler&amp;Face=en_US&amp;inav=iNavLnkLog</a>
American Funds - non-Quicken/Money	<a href="https://www.americanfunds.com/account/login.html">https://www.americanfunds.com/account/login.html</a>
Angelo Gordon (Bear Stearns)	<a href="https://toolkit.clearco.com/agbdllc">https://toolkit.clearco.com/agbdllc</a>
Ash Brokerage for LBL	<a href="ftp://ftp.ashbrokerage.com/">ftp://ftp.ashbrokerage.com/</a>
Axiom Capital Management	<a href="https://toolkit.clearco.com/AXIOM/">https://toolkit.clearco.com/AXIOM/</a>
BTIG LLC	<a href="https://wwwca01.btig.com/Home.aspx">https://wwwca01.btig.com/Home.aspx</a>
Bear Stearns - Presidio Capital Advisors	<a href="https://morcomprime.jpmorgan.com/portal/login.do">https://morcomprime.jpmorgan.com/portal/login.do</a>
Bear Stearns - Presidio Wealth Management	<a href="https://morcomprime.jpmorgan.com/portal/login.do">https://morcomprime.jpmorgan.com/portal/login.do</a>
Bel Air Investment Advisors	<a href="https://toolkit.clearco.com/belair/">https://toolkit.clearco.com/belair/</a>
Birinyi Associates	<a href="https://toolkit.clearco.com/birinyi">https://toolkit.clearco.com/birinyi</a>
BlackRock Funds	<a href="https://nge01.bnymellon.com/NextGenV4/dflt/Login.blk">https://nge01.bnymellon.com/NextGenV4/dflt/Login.blk</a>
Burnham Financial Group	<a href="https://toolkit.clearco.com/burnham/">https://toolkit.clearco.com/burnham/</a>
CFT Securities	<a href="https://toolkit.clearco.com/cftsecurities/">https://toolkit.clearco.com/cftsecurities/</a>
Capstar Bank - Business	<a href="https://capstarbank.ebanking-services.com/">https://capstarbank.ebanking-services.com/</a>
Carnes Capital Corp	<a href="https://toolkit.clearco.com/carnescapitalcorp">https://toolkit.clearco.com/carnescapitalcorp</a>
Charles Schwab & Co., Inc. - Client Log In	<a href="https://investing.schwab.com/trading/start">https://investing.schwab.com/trading/start</a>
Chelsea Management FTP	<a href="ftp://64.186.251.126">ftp://64.186.251.126</a>
Chickasaw Capital Management	<a href="https://toolkit.clearco.com/chickasawcap/">https://toolkit.clearco.com/chickasawcap/</a>
Condera Advisors (JPMorgan)	<a href="https://toolkit.clearco.com/condera/">https://toolkit.clearco.com/condera/</a>
Consolidated Financial Investments	<a href="https://toolkit.clearco.com/cfii/">https://toolkit.clearco.com/cfii/</a>
ConvergEx Group Prime Services - JPMorgan (www.clearco.com)	<a href="https://toolkit.clearco.com/convergexprime/">https://toolkit.clearco.com/convergexprime/</a>
Curian Capital - PortfolioCenter	<a href="https://www.curian.com/login.xhtml">https://www.curian.com/login.xhtml</a>
Curian Capital - Principia CAMS	<a href="https://www.curian.com/login.xhtml">https://www.curian.com/login.xhtml</a>
DSM Capital Partners	<a href="https://toolkit.clearco.com/dsmcapital/">https://toolkit.clearco.com/dsmcapital/</a>
David J Greene & Company	<a href="https://toolkit.clearco.com/djgreene">https://toolkit.clearco.com/djgreene</a>
Fidelity NetBenefits (401k.com)	<a href="https://login.fidelity.com/ftgw/Fas/Fidelity/NBPart/Login/Init">https://login.fidelity.com/ftgw/Fas/Fidelity/NBPart/Login/Init</a>
First Alliance Asset Management (Access Financial Group)	<a href="https://toolkit.clearco.com/accessfinancial/">https://toolkit.clearco.com/accessfinancial/</a>
First Allied Securities, Inc.	<a href="https://toolkit.clearco.com/fas/">https://toolkit.clearco.com/fas/</a>
Friedman Billings Ramsey	<a href="https://toolkit.clearco.com/FBR/">https://toolkit.clearco.com/FBR/</a>
GBS Financial	<a href="https://toolkit.clearco.com/gbs/">https://toolkit.clearco.com/gbs/</a>

Glickenhau & Co.	<a href="https://toolkit.clearco.com/glickenhau/">https://toolkit.clearco.com/glickenhau/</a>
Goldman Sachs Private Wealth Management - Quicken	<a href="https://wealth.goldman.com">https://wealth.goldman.com</a>
Guggenheim Partners (Bear Stearns) Advisory Services - U.S. Domestic	<a href="http://www.guggenheimpartners.com/client-login-gpas.html">http://www.guggenheimpartners.com/client-login-gpas.html</a>
HighTower Securities (JPMorgan)	<a href="https://toolkit.clearco.com/hightowersecuritiesllc/">https://toolkit.clearco.com/hightowersecuritiesllc/</a>
JPMorgan Private Bank - Quicken	<a href="https://www.privateclient.jpmorgan.com/web/login/login.jsp">https://www.privateclient.jpmorgan.com/web/login/login.jsp</a>
Jefferson National - Client	<a href="https://www.jeffnat.com/login.cfm">https://www.jeffnat.com/login.cfm</a>
LCS Securities	<a href="https://toolkit.clearco.com/LCSSECURITIESLLC/">https://toolkit.clearco.com/LCSSECURITIESLLC/</a>
Leonard and Company	<a href="https://toolkit.clearco.com/leonardandcompany">https://toolkit.clearco.com/leonardandcompany</a>
M.J. Whitman	<a href="https://toolkit.clearco.com/mjwhitman">https://toolkit.clearco.com/mjwhitman</a>
Missouri Bank - Business	<a href="https://mobank.ebanking-services.com/EamWeb/account/login.aspx?appld=beb&amp;brand=mobank">https://mobank.ebanking-services.com/EamWeb/account/login.aspx?appld=beb&amp;brand=mobank</a>
Nollenberger Capital Partners - JPMCC Client Login	<a href="https://toolkit.clearco.com/nollenbergercapital/">https://toolkit.clearco.com/nollenbergercapital/</a>
Northeast Securities, Inc.	<a href="https://toolkit.clearco.com/NORTHEAST/">https://toolkit.clearco.com/NORTHEAST/</a>
Principal Financial Group - Personal	<a href="http://www.principal.com/index.shtm">http://www.principal.com/index.shtm</a>
Ramat Securities	<a href="https://toolkit.clearco.com/ramat/">https://toolkit.clearco.com/ramat/</a>
Raymond James Financial	<a href="https://wallstreet.rjf.com/">https://wallstreet.rjf.com/</a>
Roosevelt & Cross Inc.	<a href="https://toolkit.clearco.com/rooseveltcross/">https://toolkit.clearco.com/rooseveltcross/</a>
SMH Capital Advisors	<a href="https://toolkit.clearco.com/smh/">https://toolkit.clearco.com/smh/</a>
Sendero Wealth Management	<a href="https://toolkit.clearco.com/sendero/">https://toolkit.clearco.com/sendero/</a>
Shufro, Rose & Co., LLC	<a href="https://toolkit.clearco.com/shufrorose/">https://toolkit.clearco.com/shufrorose/</a>
Signature Bank (NY) - Banking & Brokerage	<a href="https://signatureny.ebanking-services.com/">https://signatureny.ebanking-services.com/</a>
Symetra - True VA	<a href="https://true.symetra.com/">https://true.symetra.com/</a>
Symetra Financial	<a href="https://profile.symetra.com/webcontent/common/GenericSignon/GenericSignon.aspx">https://profile.symetra.com/webcontent/common/GenericSignon/GenericSignon.aspx</a>
TD Ameritrade Institutional Client	<a href="https://www.advisorclient.com/">https://www.advisorclient.com/</a>
TradeStation Securities - Online Trading	<a href="https://toolkit.clearco.com/onlinetrading/">https://toolkit.clearco.com/onlinetrading/</a>
UBS Financial Services ConsultWorks - Power User	<a href="https://www.ubspwmobile.com/CWM/cw2mlogin.jsp">https://www.ubspwmobile.com/CWM/cw2mlogin.jsp</a>
Vanguard Group	<a href="http://www.vanguard.com/">http://www.vanguard.com/</a>
Western International Securities - Client	<a href="https://toolkit.clearco.com/wisdirect/">https://toolkit.clearco.com/wisdirect/</a>