

Advent Integrator App (AIA) User Manual For APX Users v2



The AIA is published and supported by:

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AIA User Manual for APX Users

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AIA User Manual for APX Users

Introduction To AIA

AIA is WealthTechs' proprietary software app that enables you as an APX user to download, translate and load data from WealthTechs into APX. In Advent-speak, AIA takes the place of Dataport, Data Exchange, Transport, and IRC. All the functionality of these standalone Advent programs is rolled up into one: AIA.

Rebranding

Advent Integrator App (AIA) is the new name for Custodian Data Interface (CDi). WealthTechs is in the process of this rebranding to better reflect the purpose of this Tool. This Tool is used only for Advent AxyS and APX systems, therefore, we felt the name Advent Integrator App better reflects the function of this tool. However, CDi will still be reflected in various places in this document since the rebranding is a work in progress.

Obtaining Customer Support from WealthTechs AIA Team

Customer support for AIA can be obtained by emailing: data@wealthtechs.com. This email is also used to report Problems and New Features Ideas.

Release Notes for AIA 3.1

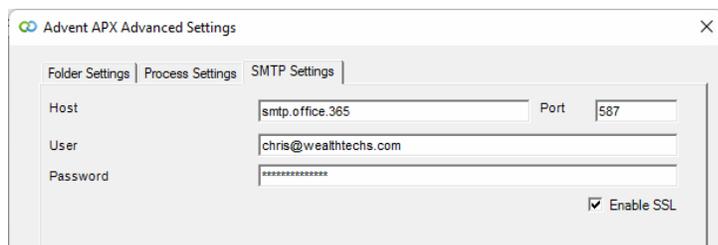
VERSION 3.1 June 2022

- CDI rebranding to Advent Integrator App (AIA)
- CDI automatically checks for updates on the WealthTechs Server
- CDI automatically updates after closing the application
- CDI automatically uploads files for customer service upon opening
- Remove SPC, Paxus and Blaze Portfolio Accounting System Integrations

APX Questions

Email Server Questions

We use this information to send notifications, to send the AIA Process Logs, to an email address or distribution group if you have AIA setup on a script to run unattended.



| Host | Port |
|--|------|
| smtp.office365 | 587 |
| User: chris@wealthtechs.com | |
| Password: ***** | |
| <input checked="" type="checkbox"/> Enable SSL | |

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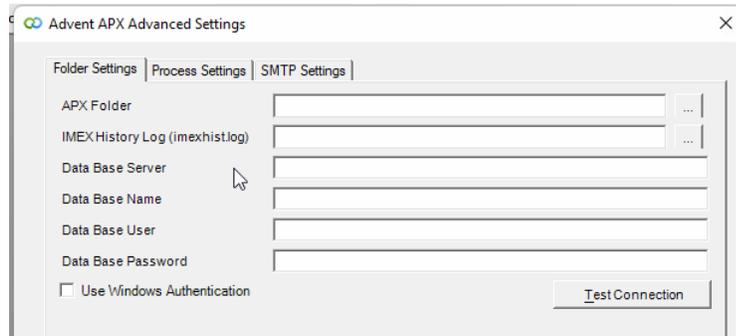
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1. Host – example: smtp.office365.com
2. Port – example: 587
3. User – example: chris@wealthtechs.com
4. Password – example: #*(&#(*&#&qweq
5. SSL – example: yes or no. FYI: most of the SMTP are tending to use SSL for security policies.

APX Location

To avoid permission issues and take advantage of all AIA automatization features, AIA must be installed on the APX App server. APX App server is the same server where APX is installed. From this server your IT Team can share AIA folder to the different Users that will run AIA.

- a. Database Name – typically this is “apxfirm”
- b. Database User – typically this is “SA”
- c. Database Password
- d. Windows Authentication – do you use your Windows login to access the SQL database? This is NOT typical, but if your network administrator has set it up that way, we can accommodate it. This means that you will need the same Windows user defined in your SQL Server.



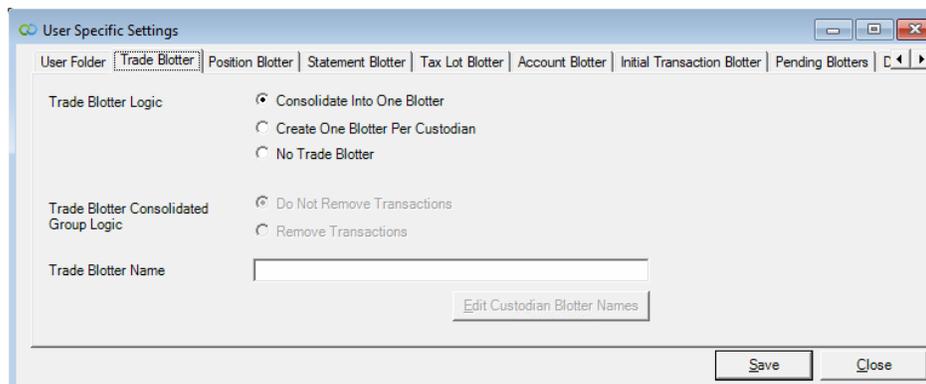
Users and Blotter Names:

1. Users Information
 - a. Names – list of APX users who will be using AIA.
 - b. Blotter Structure – each APX firm uses blotters in different ways, for example, a firm using REX uses statement blotters whereas a non-REX firm does not. In AIA we offer the following blotters by user. Using the list, flag which users use these blotters and what the name of the blotter is in APX for each blotter user (ex: chris_trade_blotter.trn):
 - i. Trade Blotter – AIA imports transactions into this blotter

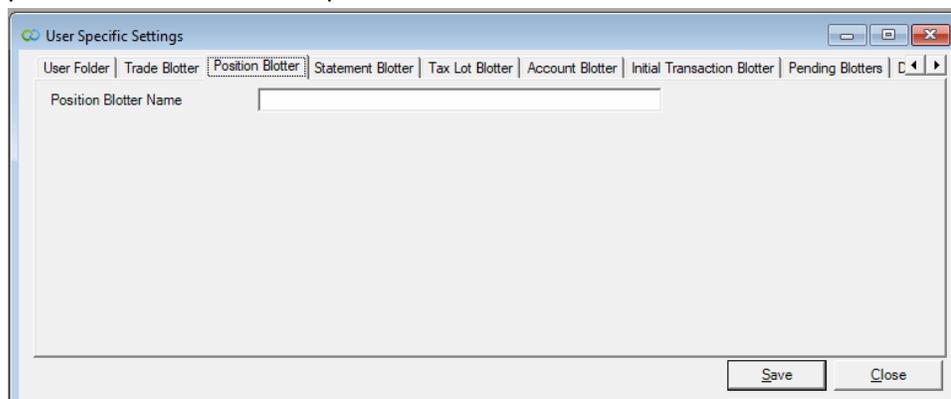
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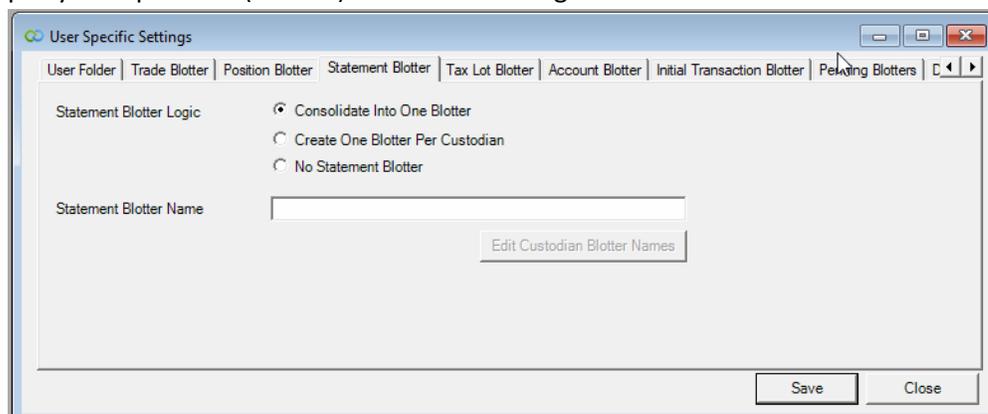
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- ii. Position Blotter – AIA imports positions for reconciliation of APX calculated positions versus custodian positions into this blotter



- iii. Statement Blotter – AIA imports transactions into this blotter to reconcile custodian transactions versus order management system (ex: Moxy) or third-party data provider (ex: ICE) transactions using REX

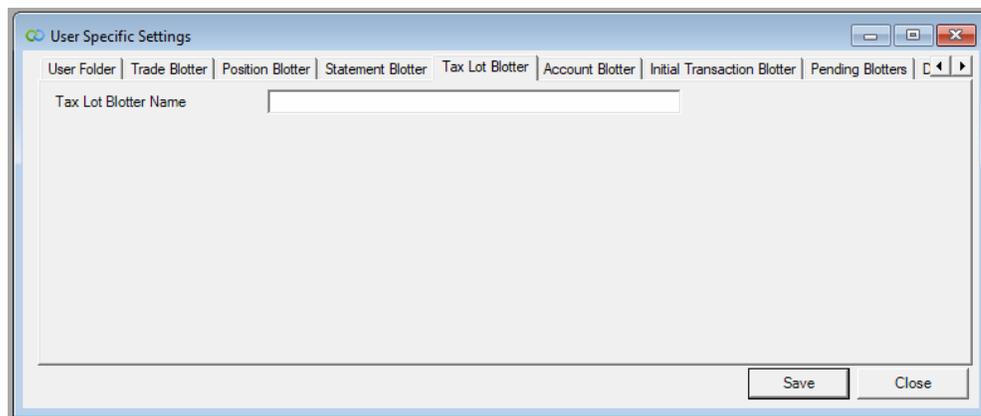


- iv. Tax Lot Blotter – AIA imports positions by tax lot for lot level reconciliation of APX calculated lots versus custodian lots into this blotter

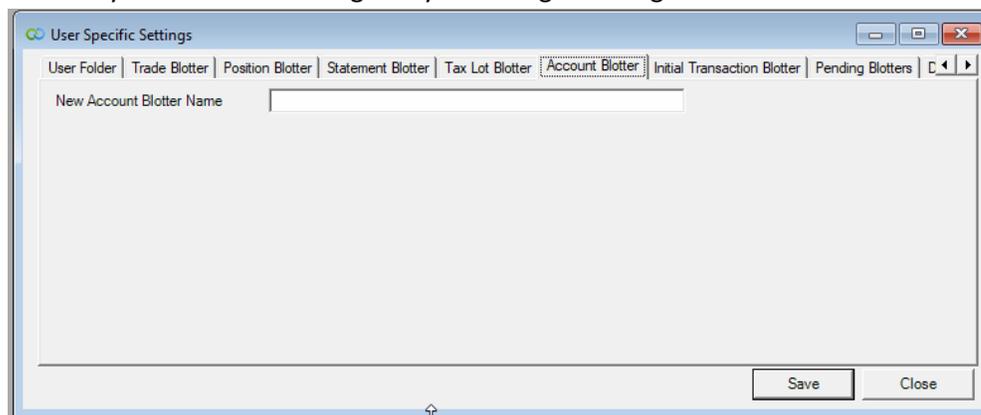
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- v. Account Blotter – AIA imports account demographic data from custodians (ex: Account Number, Account Name, Account Type, etc.) This is helpful for updating existing account data in APX and/or adding new accounts to APX. Using the account blotter is optional, not required so please do not worry that we are going to mess up your account information. If you find this concept interesting, write down your interest here and your AIA Training Rep will be sure to show you the feature and guide you through its usage.

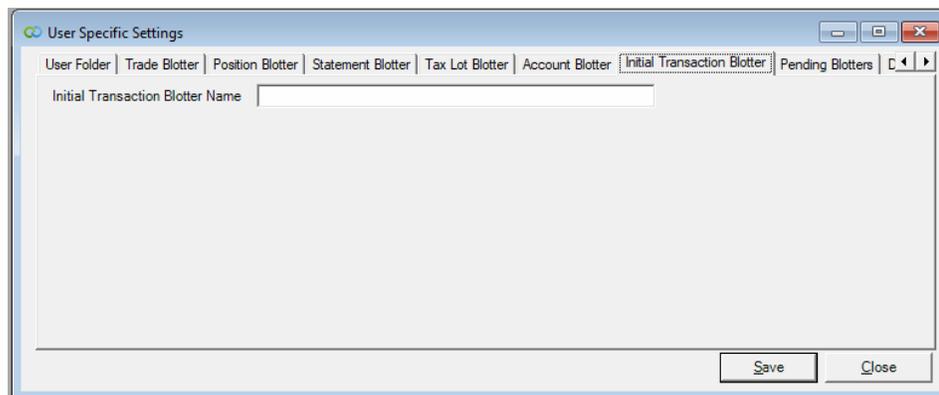


- vi. Initial Transaction Blotter- This function is driven by the setting: System Settings > Process Settings > Positions > Settings > Create Initial Deliver-In Transactions From Positions. If checked yes, then AIA checks APX and if the account has no transactions in it, the positions are written to the initial transaction blotter. As of now, if there were transactions received from WealthTechs on the same day as initial positions, the transactions would be ignored and not written to the blotter. Also, we should probably use tax lots for initial positions if they exist, not positions because the data is more detailed.

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Examples:

Transaction blotter:

011320.trn

customer123, li, 100, csus, apl, 1020

customer123, dv, 1, csus, apl, 5

Position Blotter with Transactions:

011320.pos

li, 100, appl, 1050

li, 100, cash, 1500

Position Blotter without Transactions:

account customer123 in APX has no trans

AIA creates the following trans in initial position blotter:

customer123, li, 100, appl, 1050

customer123, li, 100, cash, 1500

2. Reconciliation Groups

- a. Maintaining groups of accounts for each custodian in APX is a pain. You must manually maintain the groups or write scripts to auto update groups based on a field of data in the account. AIA can create and maintain groups in APX for you based on the accounts in the daily positions files. For example, let's say on 1/15/21 you have 1000 accounts at Schwab. AIA will create a group = 0023 which contains 1000 accounts. Then on 1/16/21, you have 1001 accounts a Schwab, you gained 2 and lost 1. AIA will update

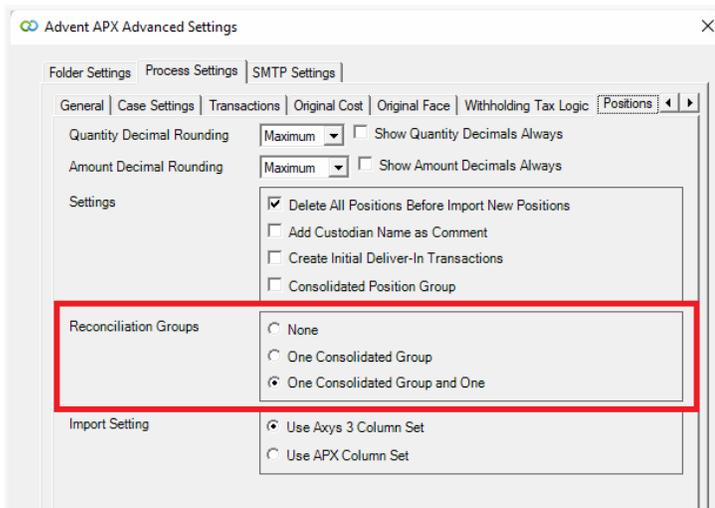
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with the group in APX with the 1001 accounts on 1/16/21, thus deleting 1 account and adding 2. You have some options so please answer the following questions:

- b. Should AIA Create One Consolidated Group for all accounts at all custodians?
 - i. Yes
 - ii. No
- c. Should AIA Create One Consolidated Group for Each Custodian?
 - i. Yes
 - ii. No

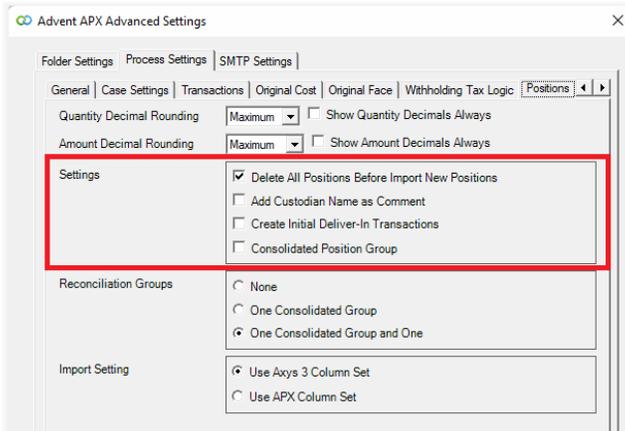


3. Consolidated Positions – in APX, some advisor firms break out one custodian account into many APX accounts. This is typically done to track components of an account such as Large Cap, SMID Cap & Fixed Income, thus resulting in performance for each account which can be attributed to a separate composite. To reconcile; you must have one “Consolidated Position” file for the account in APX. For example: Schwab account 4793-2033 Chris Casey Schwab One account is broken up into the following accounts in APX:
 - A. CCASEYLARGECAP – stores all equity transactions for large cap stocks
 - b. CCASEYSMIDCAP – stores all cash transactions for small and mid-cap stocks
 - c. CCASEYFIXED – stores all bond transactions
 - i. Does your firm use this feature in APX?
 1. Yes
 2. No

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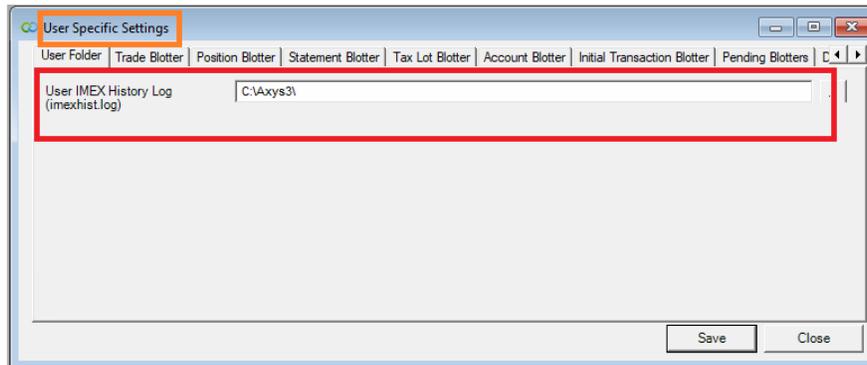
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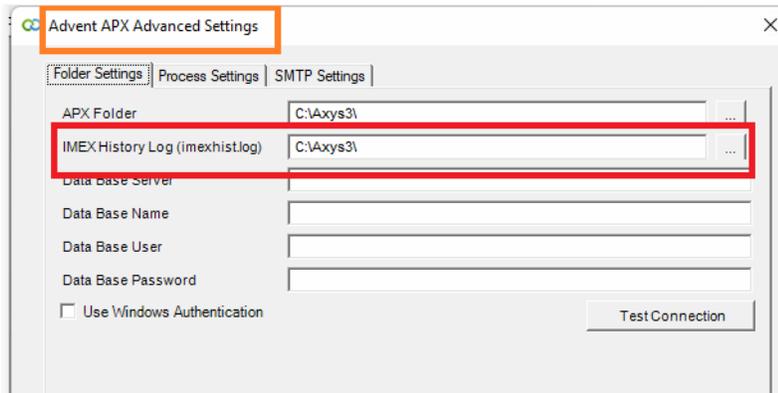


4. APX Import/Export Log File Locations and Names

a. APXIX Log locations by user.



b. APXIX History Log location for firm.



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5. Default Transaction Accounts (\$cash, \$income)

Does your firm use default cash accounts for each account in APX? If so, we want to know how your firm uses cash. Do you have an individual money market fund for each account? Do you separate principal and income cash? Explain it to us so we can best utilize the automation features in AIA.

6. Broker Firm and Reps

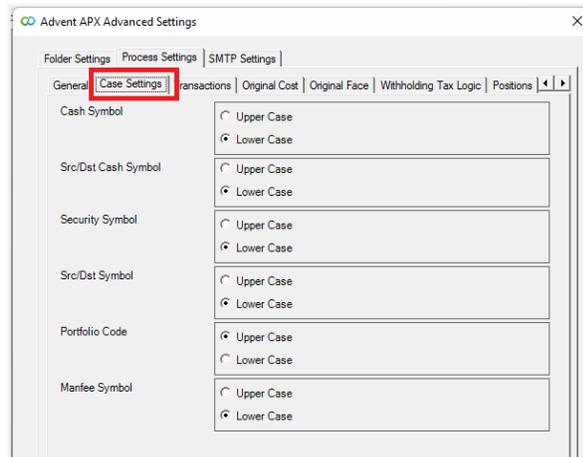
Does your firm track brokers only or brokers and reps? Do you default the broker to the custodian where the account is custodied by using \$brok? This is important to know because we can then help you setup rules in AIA to populate these fields. A full list of brokers and reps is necessary to see your data and how you use it in APX.

7. Custodian ID (Lot Location)

Lot location is an old layover from Axys which allowed a firm to track multiple custodians in one account. It was meant for prime brokers of hedge funds and is integrated into the lot accounting structure of APX. It's somewhat of a pain, but if we set it up correctly in AIA, it's not. So, can you explain how you use lot location aka custodian ID? The default value that we send in all our transaction files is 250. If you use 250, great, tell us. If you use another such as 254 or 6553 or another method, let us know. If you use more than one lot location, tell us the logic so we can automate it in AIA.

APX is case sensitive (uppercase/lowercase). Please let us know what case you require for the following entities in APX.

- a. Vehicle Symbols – U/L
- b. Account Code – U/L
- c. Management Fee Symbol (manfee) – U/L



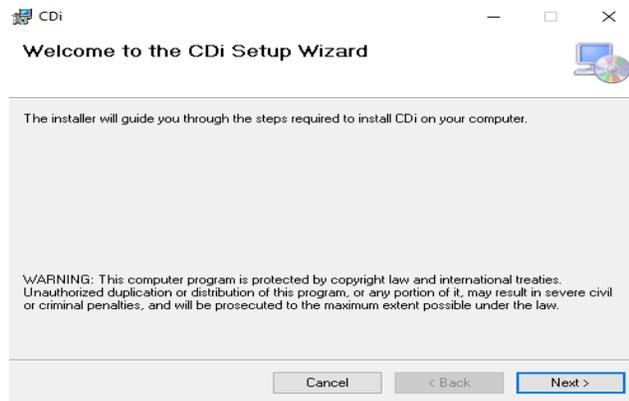
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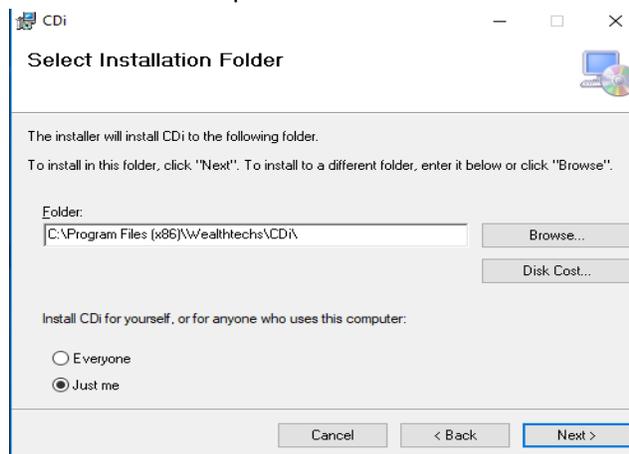
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Installing AIA

1. Before installation, complete the questionnaire above. Your AIA Training/Support Person will assist with completion of these questions.
2. Contact WealthTechs Customer Service to schedule an online installation meeting via email data@wealthtechs.com.
3. Your AIA Training/Support Person will help you with the following steps:
 - a. Double click the installer provided by WealthTechs. This dialog box will appear, then click the Next button:



- b. The next screen will need the path where AIA is going to be installed. If this is a shared computer, select Everyone, otherwise select Just Me. Click the Next button after all information is complete.

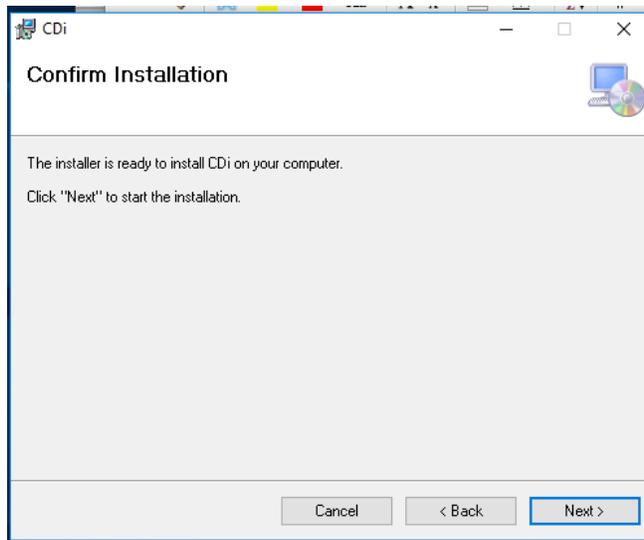


- c. This brings the next dialog box showing AIA is ready to install. Click Next.

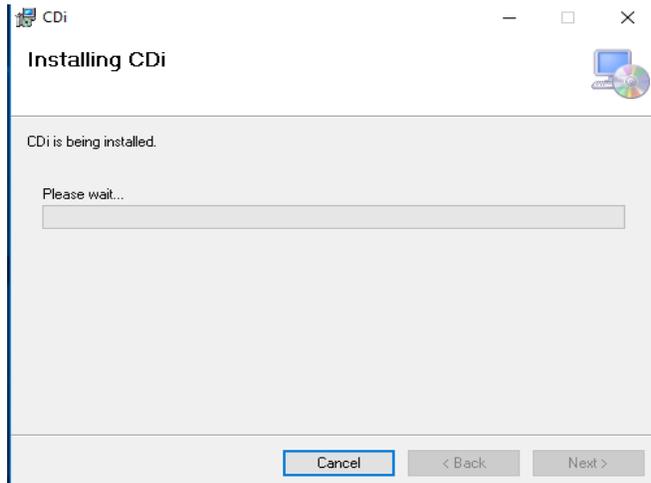
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AIA User Manual for APX Users



- d. The next dialog box that will be displayed shows the progress of the AIA installation:

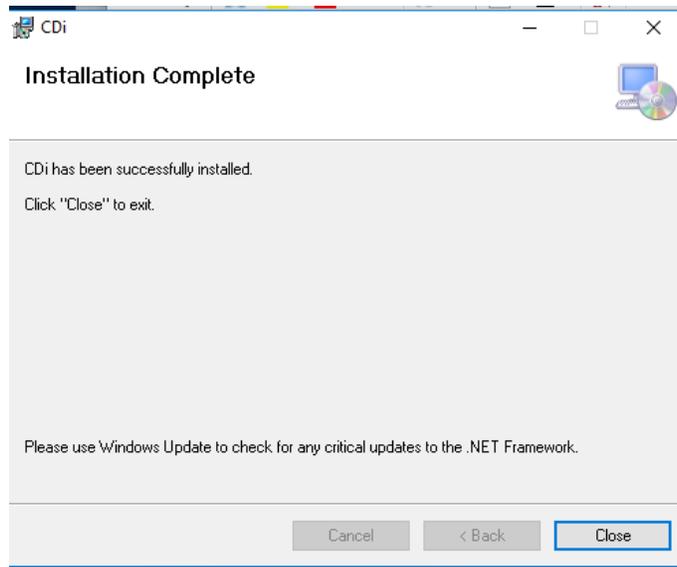


- e. When the AIA installation is complete, this dialog box appears, click Close button.

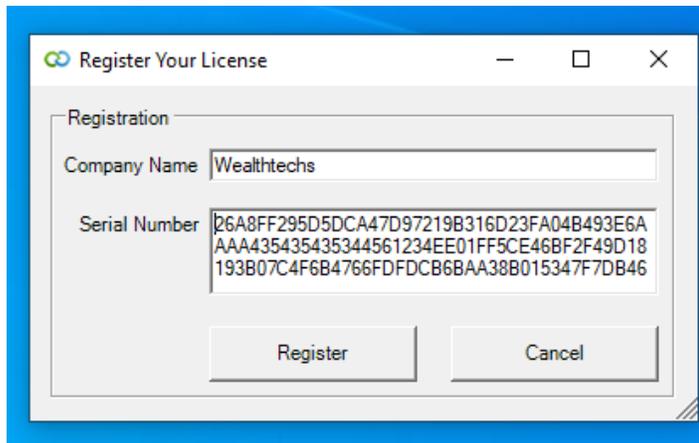
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AIA User Manual for APX Users



4. After the installation is complete, double click the shortcut icon of AIA found on the desktop. This brings up the Register Your License dialog box and you should enter the Company Name and the Registration Key provided by WealthTechs.



5. Click Register and a Success message should appear:



6. Click the OK button and the AIA desktop application is ready for use.

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AIA User Manual for APX Users

7. After setup is complete, whenever AIA is started, a validation process will assure that all necessary folders and database connections are valid. If they are not, an error message will appear. All the settings in AIA are stored in a file named settings.inf. This file is located where the CDI.exe is located.
8. Each time AIA is started, it will also verify you are using the latest version, if not, it will automatically update when AIA is closed or the script running it is finished.

APX Setup

Blotters

In APX, setup at least one of each of the following blotters as needed, they can be named however you like, and there can be more than one of each depending on how your users are setup in APX:

1. Position Blotter
2. Trade Blotter
3. Statement Blotter

Please make sure this information matches the information provided in the Pre-Installation Questionnaire.

Starting AIA

To start AIA, click on the provided desktop shortcut, or you can access through the start menu. AIA creates both shortcuts automatically.

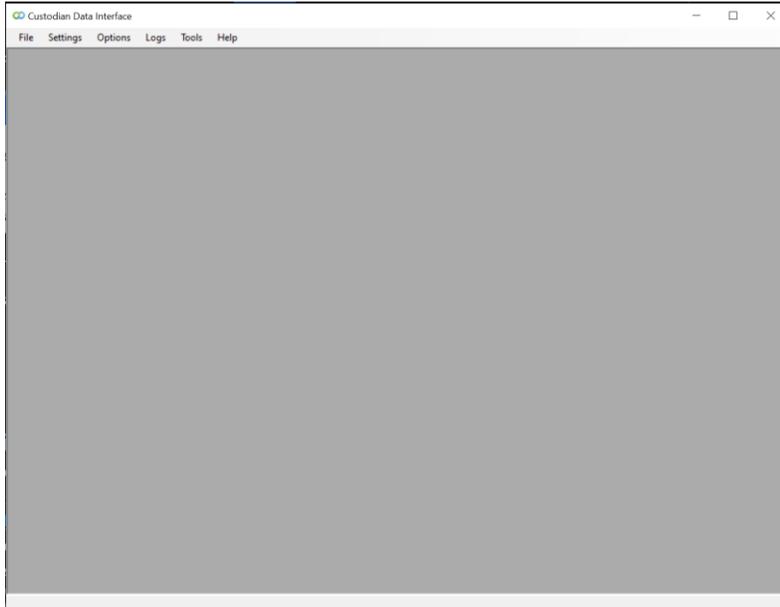
Select your start-up method; when AIA launches the first time, you will be prompted to enter the license Key. The WealthTechs AIA Support Team will provide you with the license key prior to the installation.

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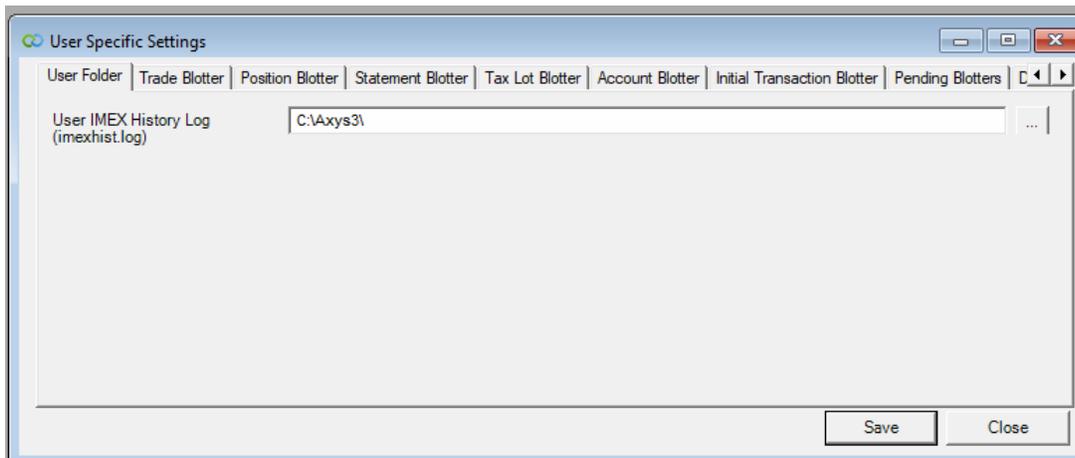
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AIA User Manual for APX Users

Once the license key has been entered, you will see a screen with the menu options:



User Specific Settings



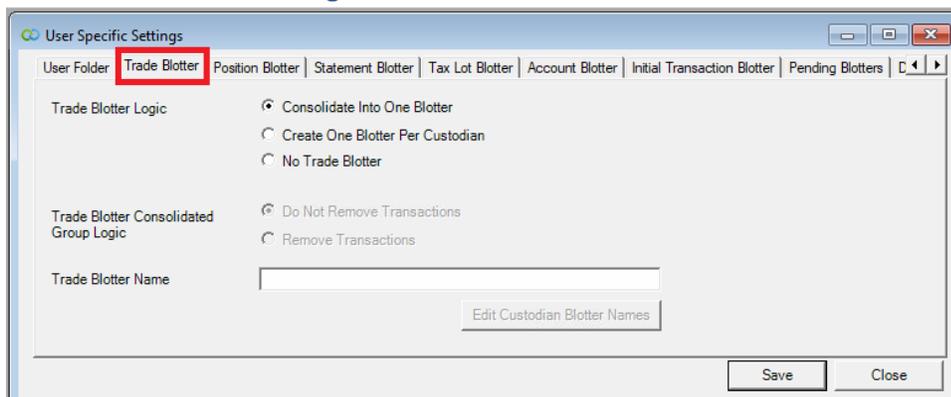
These settings are stored in the Computer Registry. Therefore, for User Specific Settings to function correctly, it is better if CDi.exe is started with a shortcut (assuming the CDi.exe is installed on your server). If you run AIA on a server and access it via remote desktop the user specific settings will use the settings in the Registry of the remote desktop computer.

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AIA User Manual for APX Users

Trade Blotter Logic



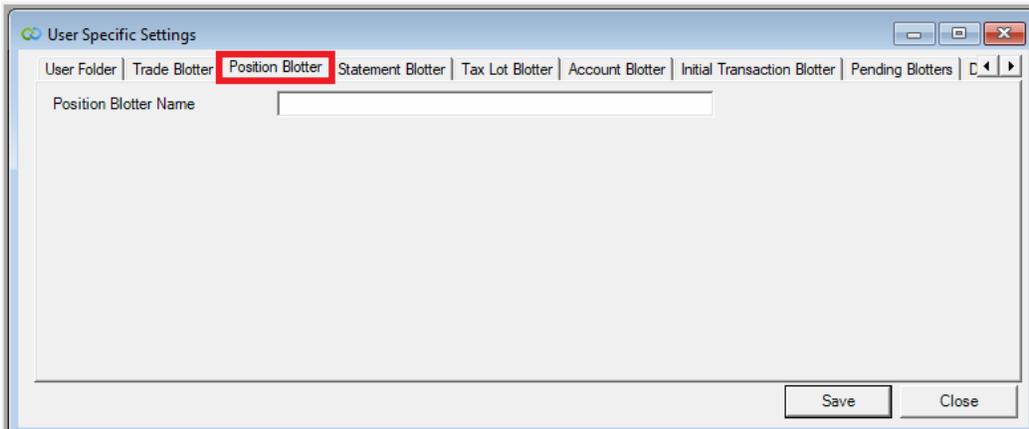
1. Trade Blotter Logic –
 - a. Consolidate Into One Blotter – aggregates all transactions from all custodians into one trade blotter.
 - b. Create One Blotter Per Custodian – distributes transactions into one blotter for each custodian
 - c. No Trade Blotter - no trade blotter is created by AIA
2. Trade Blotter Consolidated Group Logic – Applies if Settings>Advance>Process Settings>Positions-Consolidated Position Group is checked.
 - a. Do Not Remove Transactions – will not remove any transactions from the trade blotter for groups. (Default Setting)
 - b. Remove Transactions – will remove only group transactions from the trade blotter created by AIA.
3. Trade Blotter Name – Enter the name of the trade blotter where transactions should be imported.

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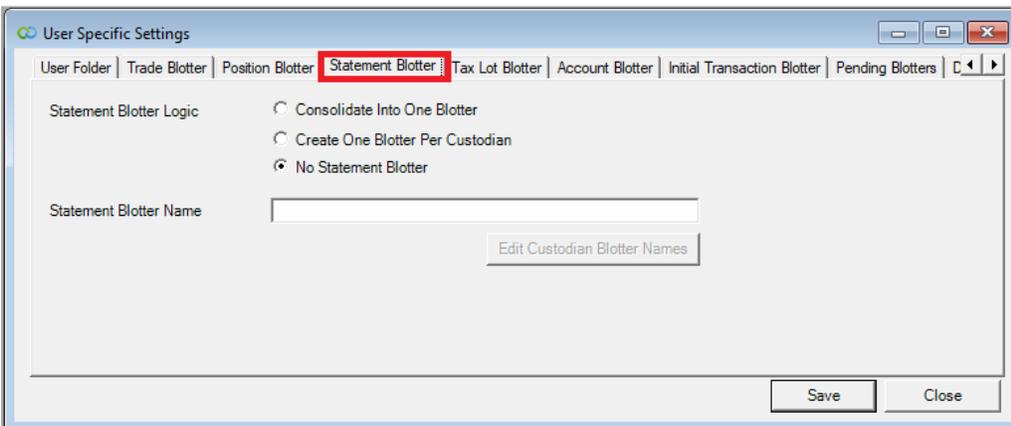
Position Blotter



The screenshot shows the 'User Specific Settings' dialog box with the 'Position Blotter' tab selected. The 'Position Blotter Name' field is empty. The 'Save' and 'Close' buttons are visible at the bottom right.

The Position Blotter Name should be completed with the name of the blotter where positions will be imported into APX.

Statement Blotter



The screenshot shows the 'User Specific Settings' dialog box with the 'Statement Blotter' tab selected. The 'Statement Blotter Logic' section has three radio buttons: 'Consolidate Into One Blotter', 'Create One Blotter Per Custodian', and 'No Statement Blotter' (selected). The 'Statement Blotter Name' field is empty. The 'Edit Custodian Blotter Names' button is visible below the field. The 'Save' and 'Close' buttons are visible at the bottom right.

Normal Path: A statement blotter is normally used to post all transactions that would appear on a customer's statement from the custodian. Using the statement blotter, the AIA user would use a reconciliation tool such as REX™ to match each transaction in the portfolio transactions with corresponding transaction from the custodian in the statement blotter. In APX, the statement blotter transactions can be viewed in a portfolio tab "Statement Transactions" and transactions posted through the Trade Blotter can be viewed in the portfolio tab "Transactions".

Alternative Path: Another use for the statement blotter; it can be used to post all trade data. This path is normally used to reconcile trades done in an OMS (Order Management System) such as Moxy™ with the trades from the custodian via a reconciliation tool such as REX™.

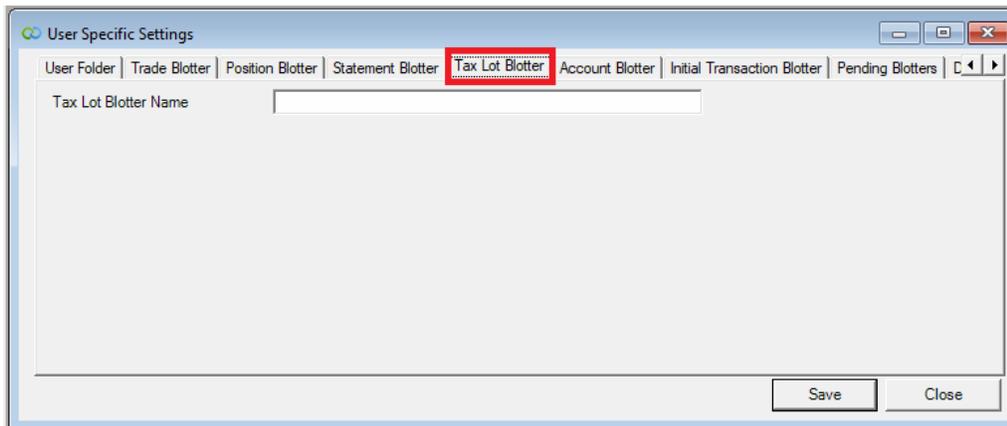
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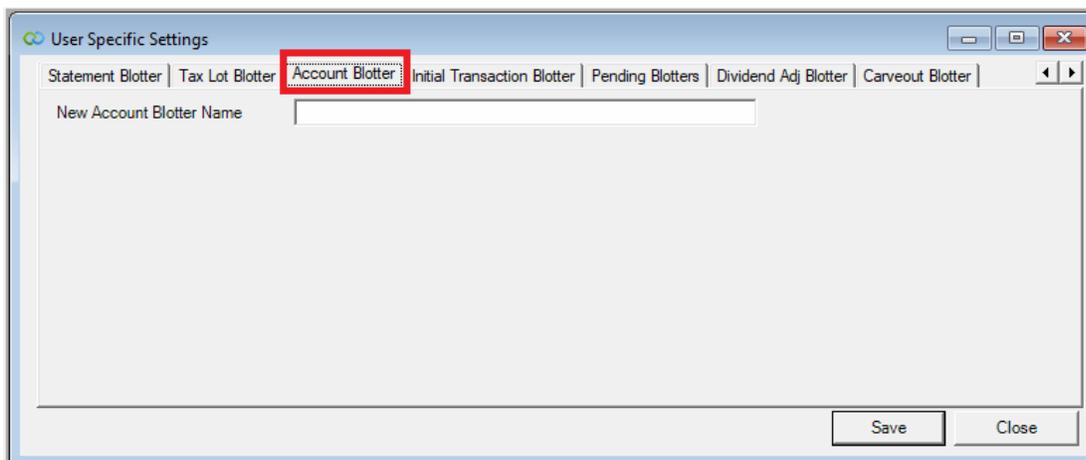
1. Statement Blotter Logic –
 - a. Consolidate Into One Blotter – aggregates all transactions from all custodians into one trade blotter.
 - b. Create One Blotter Per Custodian – distributes transactions into one blotter for each custodian
 - c. No Statement Blotter - no statement blotter is created by AIA
2. Statement Blotter Name – Enter the name of the statement blotter AIA should import the transactions into APX.

Tax Lot Blotter



The Tax Lot Blotter is where the specific tax lot for positions is imported from AIA to APX. Enter the name of the blotter where this data should be imported.

Account Blotter



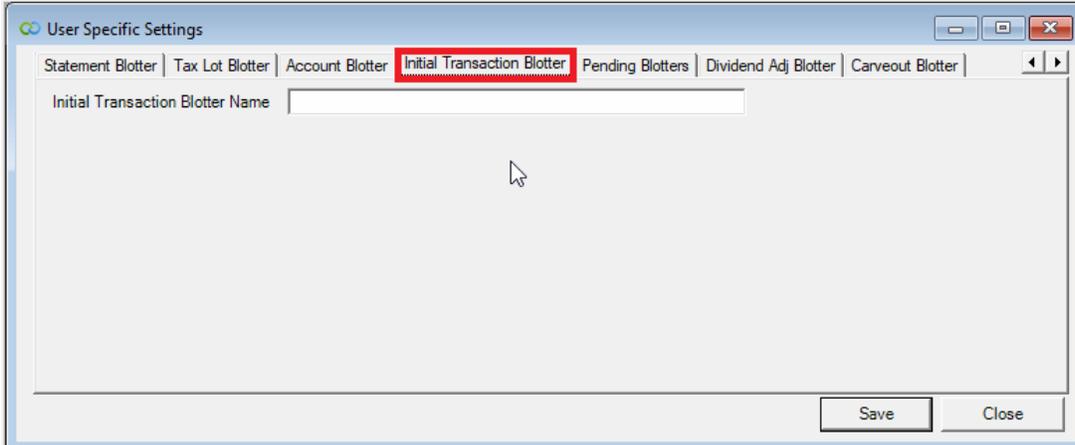
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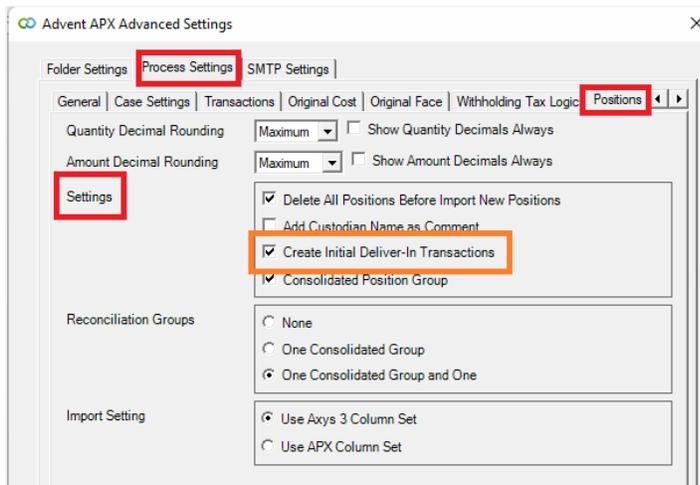
AIA User Manual for APX Users

The Account Blotter is the blotter used for importing account information, i.e., Name, Address, etc. Enter the name of the specific blotter AIA should import this data to APX.

Initial Transaction Blotter



This blotter requires Global Settings>Advance>Process Settings>Positions – Create Initial Deliver-In Transactions Checked.



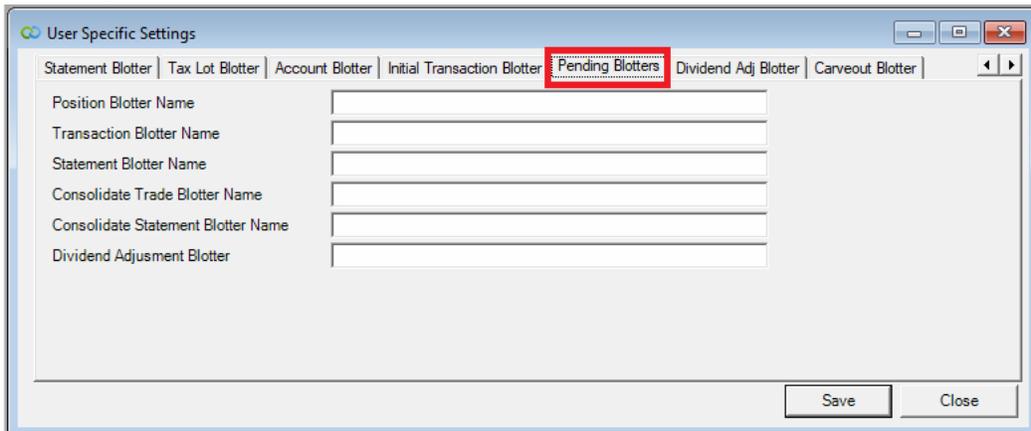
This is for accounts that do **not** have transactions. It will import the position file as transactions to be posted to the account. Enter the name of the specific blotter AIA should import these transactions to in APX.

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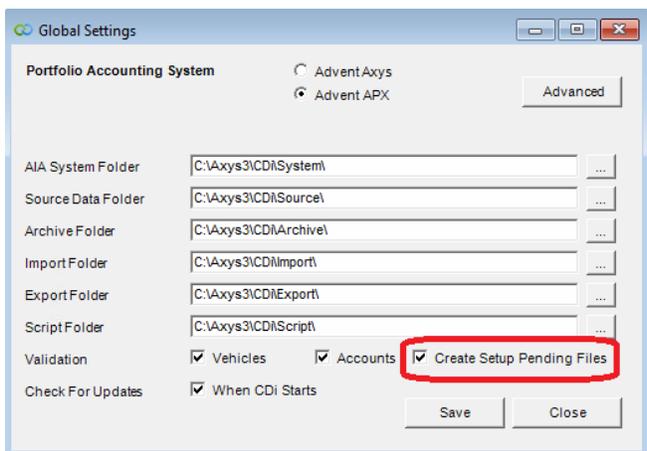
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AIA User Manual for APX Users

Pending Blotters



The Pending blotters are where the rejected positions, vehicles, transactions and accounts are placed when this option is selected in your APX Global Settings. They are placed in the various pending blotters for processing after the items are fixed in APX, i.e., accounts added, vehicles added. For each blotter listed above, enter the name of the specific blotter where this information should be imported from AIA to APX.

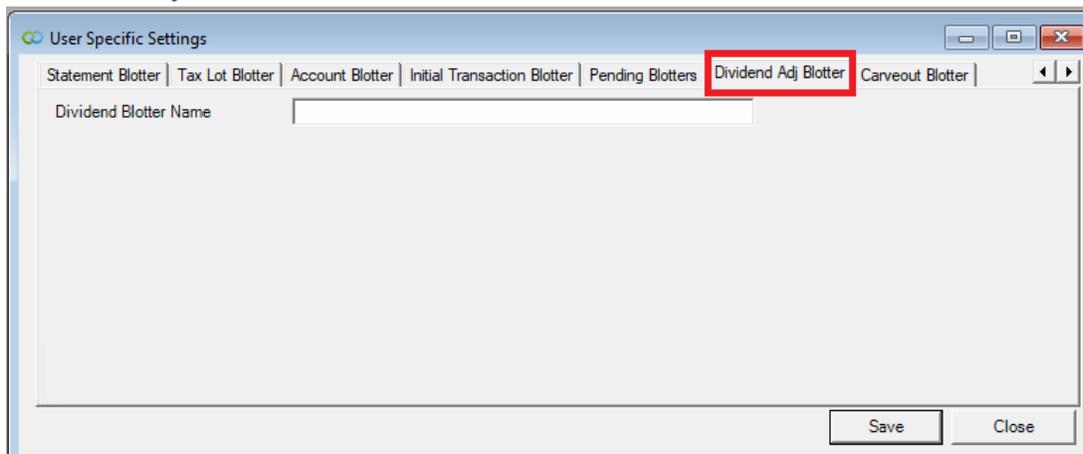


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AIA User Manual for APX Users

Dividend Adjustment Blotter



Using the blotter forces AIA to check the APX database for any transaction for dividends and interest already posted with the dates as the current date of processing and will create an adjustment to the dividend or interest to the correct amount if necessary.

Example:

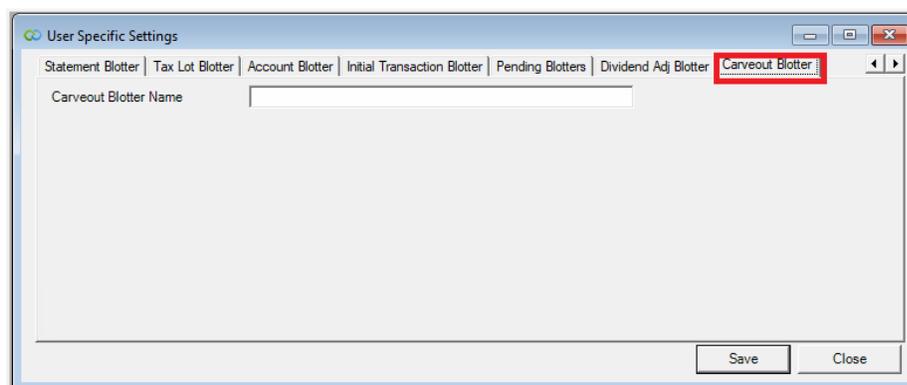
APX previously posted: acctx, dv, 06132022, 06152022, csus, aapl, 99.99

Actual AIA transaction: acctx, dv, 06132022, 06152022, csus, aapl, 100

Adjustment Blotter: acctx, dv, 06132022, 06152022, csus, aapl, 0.01

Insert the name of the specific blotter AIA should import these transactions to in APX.

Carveout Blotter

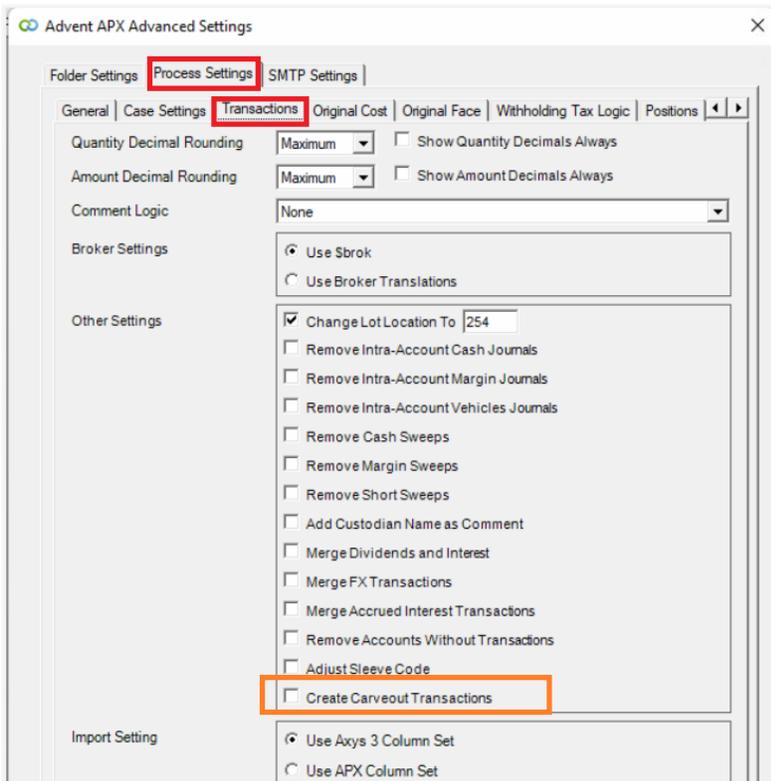


To use this feature: Global Settings>Advance>Process Settings>Transactions - Create Carveout Transactions CHECKED

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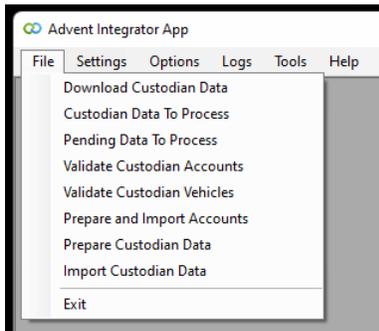
AIA User Manual for APX Users



Sleeve management is a complex way to manage accounts in APX; where one custodian account may be separated into individual portfolios to achieve a specific investment goal, typically a model. The result is one custodian account can be separated into multiple sleeves in APX where each sleeve is assigned to a model portfolio.

Insert the name of the specific blotter these transactions should be imported from AIA to APX.

AIA File Menu – Daily Processing



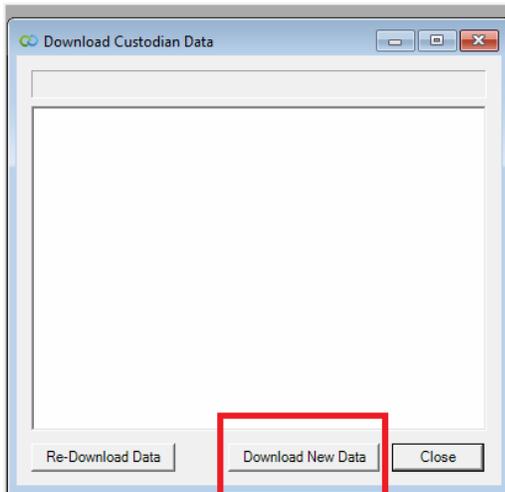
The above is the menu displayed to process the daily files. It is located under the heading File.

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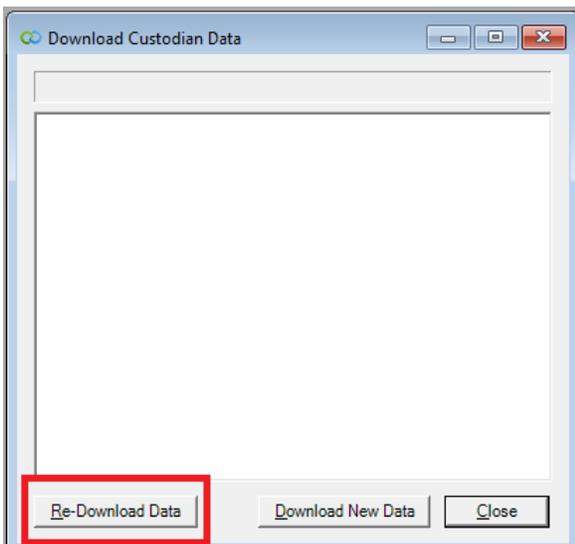
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AIA User Manual for APX Users

Download Custodian Data



This is used to download all the available data for one or several Custodians at the same time. This can only download new data, any data already downloaded can be found on the “Re-Download” Section, clicking on the Re-Download Button. All the files downloaded that were not processed yet, can be found in the AIA Source Folder.



All the files downloaded that were not processed yet, can be found in the AIA Source Folder.

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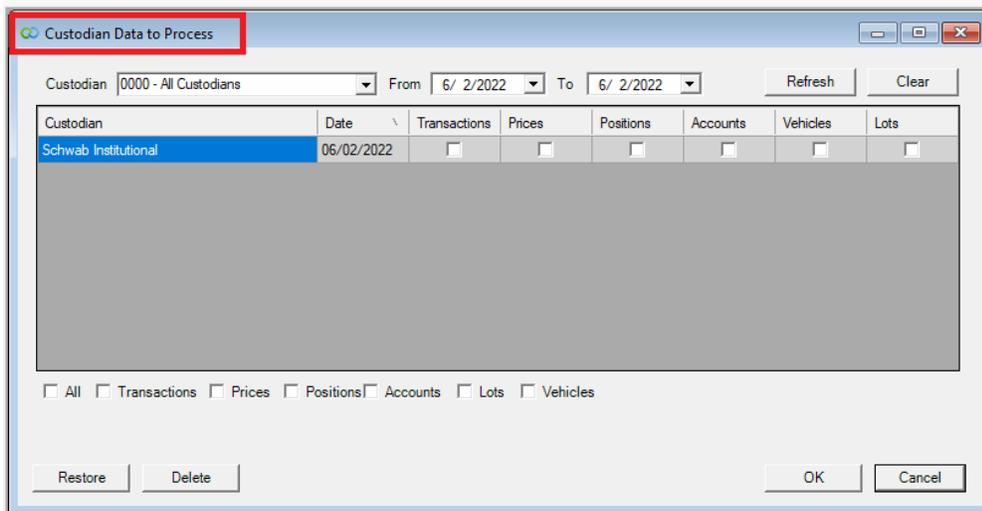
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AIA User Manual for APX Users

> This PC > Windows (C:) > Axy3 > CDi >

| Name | Date modified | Type | Size |
|---------------|------------------|-------------|------|
| Archive | 6/8/2022 9:50 AM | File folder | |
| Export | 6/8/2022 8:14 AM | File folder | |
| Import | 6/8/2022 8:19 AM | File folder | |
| PX | 5/5/2021 9:37 AM | File folder | |
| Script | 6/8/2022 8:16 AM | File folder | |
| Source | 5/5/2021 9:45 AM | File folder | |
| System | 6/9/2022 5:51 AM | File folder | |

Custodian Data to Process



Custodian Data to Process

Custodian: 0000 - All Custodians From: 6/ 2/2022 To: 6/ 2/2022 Refresh Clear

| Custodian | Date | Transactions | Prices | Positions | Accounts | Vehicles | Lots |
|----------------------|------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Schwab Institutional | 06/02/2022 | <input type="checkbox"/> |

All Transactions Prices Positions Accounts Lots Vehicles

Restore Delete OK Cancel

The feature allows you to select and prepare all files available or any specific file from any specific custodian(s) available in the grid.

Files Processed can be easily restored and be reprocessed clicking on the Restore Button. All the files processed can be found in the AIA Archive folder.

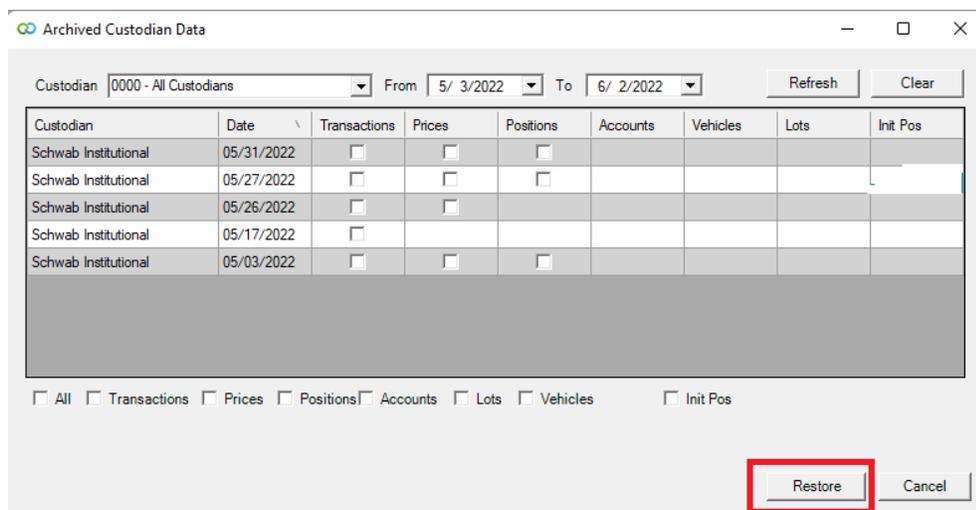
> This PC > Windows (C:) > Axy3 > CDi >

| Name | Date modified | Type | Size |
|----------------|------------------|-------------|------|
| Archive | 6/8/2022 9:50 AM | File folder | |
| Export | 6/8/2022 8:14 AM | File folder | |
| Import | 6/8/2022 8:19 AM | File folder | |
| PX | 5/5/2021 9:37 AM | File folder | |
| Script | 6/8/2022 8:16 AM | File folder | |
| Source | 5/5/2021 9:45 AM | File folder | |
| System | 6/9/2022 5:51 AM | File folder | |

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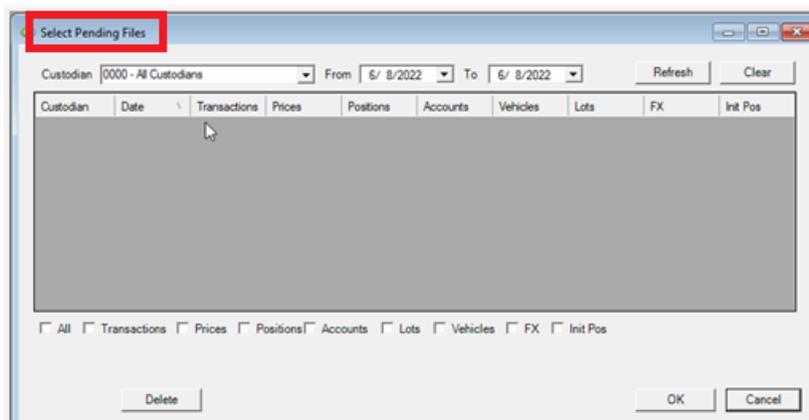
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AIA User Manual for APX Users



Pending Data to Process

Any accounts or vehicles not found during the validation processes are written to the Pending Data to Process File. This enables the user to continue the morning process and add the accounts and vehicles later. Once the accounts and vehicles have been added to APX, the Pending Data to Process File can be processed.



The user can select the All button or one or more of the options on the bottom of the screen as well. After the selection is made, follow the normal procedures as described below.

Validate Custodian Accounts

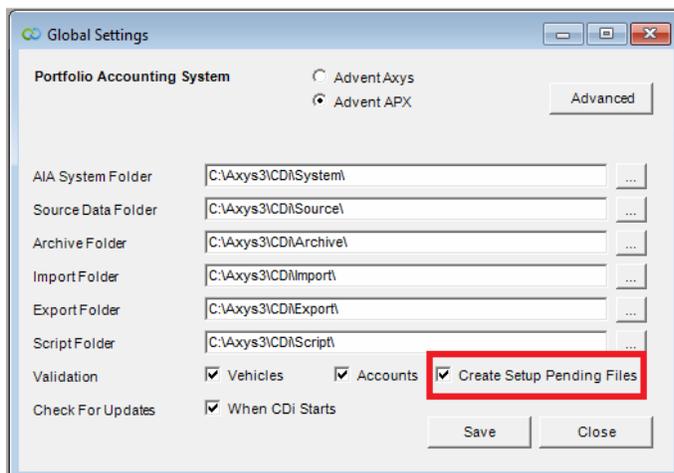
The feature will validate the Custodian Account Numbers, and verify their respective translations exist in APX Database. When AIA doesn't find a Custodian Account Number or its respective translation, a grid exception will show up with the messages related to the exception, common message is that the Custodian Account Number or its respective translation to a Portfolio Code, doesn't exist in APX. When

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AIA User Manual for APX Users

this happens, the user will be able to pick the exceptions and add translations, edit wrong translations, or filter the Custodian Account Number. These will be written to the Pending Data to Process if this option is selected in the Global Settings:



Validate Custodian Vehicles

The feature will read from your Security Master File and will match with any received CUSIP from the Custodial data. If there is a Match, AIA will proceed with the next record until a record cannot be found. When this occurs, AIA will present you with a screen that will allow you to Add, Translate or Filter the Vehicle in AIA for processing. These will be written to the Pending Data to Process if this option is selected in the Global Settings, as displayed above.

Prepare and Import Accounts

The feature will read from your accounts file and will verify against the custodial data received. If you receive a new account, AIA will add it to your Account Master and will not require further set up on APX.

Prepare Custodian Data

The feature will prepare the selected set of Data for processing by applying all the Translations and Filters set up previously on AIA, this will create a file ready for import into APX in the proper format.

Import Custodian Data

The feature will select the data prepared on the previous step and will import the data into their respective blotters, the Transactions and Positions blotters are required to be set up previously for this step to work. Please bear in mind that when you are processing the data it is required to close any open Blotters for AIA to be able to import the data into it. If you are having issues with the importing process, please make sure all the Blotters are closed and that they are not locked for use.

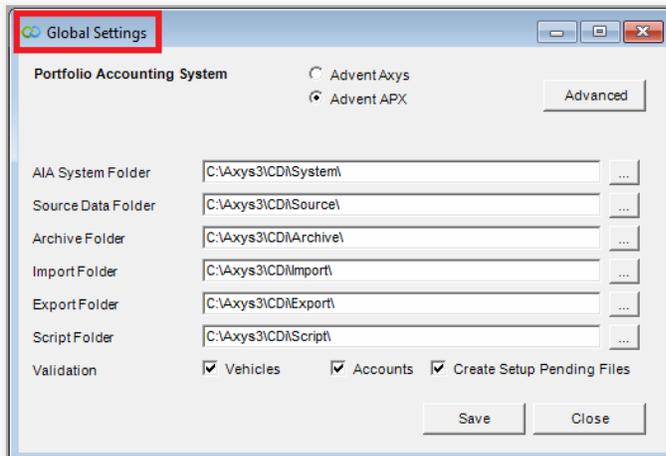
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AIA User Manual for APX Users

AIA Settings Menu

Settings – Global Settings



1. Portfolio Accounting System – choose Advent APX
2. AIA System Folder – stores all AIA logs and translations files. Every time you update AIA this is the folder where you will find the history folder that contains all files related to the previous version.
3. Source Data Folder – when custodian data is downloaded from AIA, the files go here, these are the files that have gone through the WealthTechs normalization process, these are NOT the raw data files from the custodian.
4. Archive Folder – after AIA has processed custodian source files, they are archived here. AIA logically renames the files with a prefix of I or S. S is for source files; these are the files as WealthTechs delivered them to you. I is for imported files, these files are copies of exactly what was imported to APX after all translations and filters have been applied.
5. Import Folder – after AIA has prepared the source files for import, they will reside in this folder. If you want to review data before it is imported this is where you would go or you could go to [Tools>View Files](#).
6. Export Folder – AIA exports data from APX: security information and if using Interlisted dupe removal and processing historical files, historical holdings.
7. Script Folder – AIA has an easy-to-use scripting language, all scripts you create are stored here. Here is a link to the Scripting instructions. [AIA Scripting User Manual/v5.0.pdf](#)
8. Validation – These check boxes will activate the validation screens. Validation compares source files with APX and lists all vehicles and accounts that exist in the custodian data and do not exist in APX.

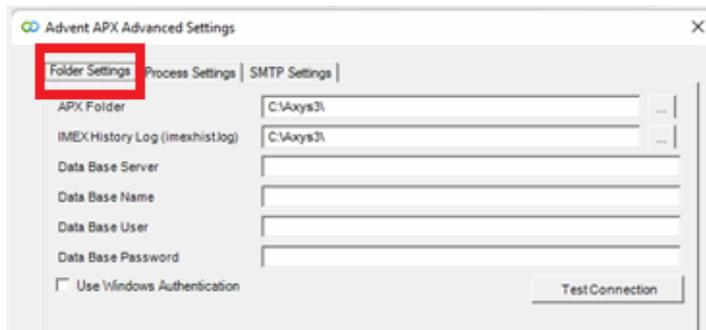
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AIA User Manual for APX Users

9. Create Setup Pending Files – This is used in the event a record is found as an exception during the validation process. It is then created as a pending file that can be imported once the pending issues have been resolved. This function is intended for automatization purposes.

Settings – Global Settings - Advanced – Folder Settings



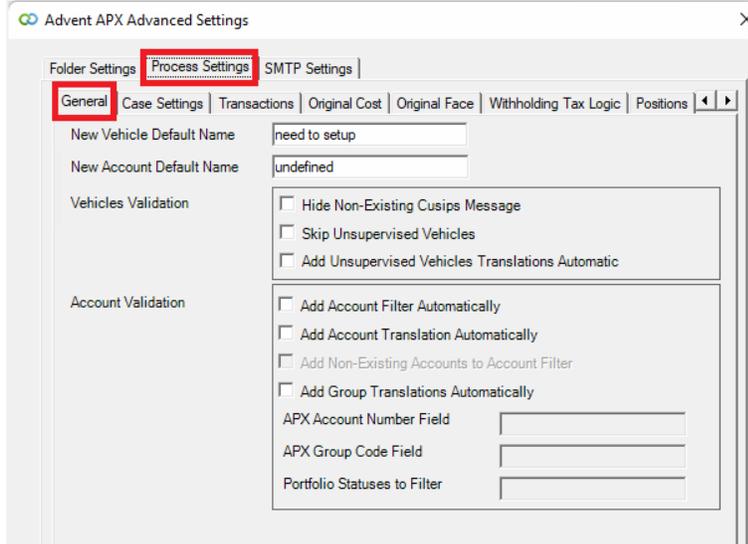
1. APX Folder – the folder where APXIX.exe exists. APXIX.exe is the import/export function of APX.
2. IMEX History Log – the folder where APXIX writes to the imexhist.log file. FYI, if your firm uses user specific logs, the [User Specific Settings](#) screen is where you will set the user folder up.
3. Data Base Server – this is the name of the SQL Server where APX database is loaded. Hint: if you open SQL Server Management Studio, go to the Object Explorer and you will see the name of the server at the top, next to the green arrow. It will be a single word with no spaces, like “local” or “sqlsrv01”.
4. Data Base Name – this is the name of the APX database. Usually this is “APXFIRM”. Hint: if you open SQL Server Management Studio, go to the Object Explorer>Databases and you will see the names of all the data bases.
5. Data Base User – this is the username for the SQL Server. Usually this is “sa”. If you do not know this, you must ask the person who manages your SQL Server.
6. Data Base Password – this is the password for the SQL Server. Usually this is “administrator”. If you do not know this, you must ask the person who manages your SQL Server.
7. Use Windows Authentication – This is used in the event the Windows user has its own SQL user and that is the one used to access the APX Database.
8. Test Connection – this button tests the connection between AIA and your SQL Server. If you get errors, contact the person who manages your SQL Server or WealthTechs.

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AIA User Manual for APX Users

Settings – Global Settings Advanced – Process Settings – General



The screenshot shows the 'Advent APX Advanced Settings' window with the 'Process Settings' tab selected. Under the 'General' sub-tab, the following settings are visible:

- New Vehicle Default Name:** need to setup
- New Account Default Name:** undefined
- Vehicles Validation:**
 - Hide Non-Existing Cusips Message
 - Skip Unsupervised Vehicles
 - Add Unsupervised Vehicles Translations Automatic
- Account Validation:**
 - Add Account Filter Automatically
 - Add Account Translation Automatically
 - Add Non-Existing Accounts to Account Filter
 - Add Group Translations Automatically
 - APX Account Number Field:** [Empty text box]
 - APX Group Code Field:** [Empty text box]
 - Portfolio Statuses to Filter:** [Empty text box]

1. **New Vehicle Default Name** - During Vehicle validation process, AIA can create a new vehicle in APX. AIA currently does not download the name of the vehicle; therefore, the value entered in this field will be imported into APX as the security name. This field is mandatory and if left blank, it will default to 'undefined'.
2. **New Account Default Name** – When you are doing your daily processing, AIA has an option to create a new account in APX. AIA currently does not download the name of the account for all custodians; therefore, the value entered this field will be imported into APX. This field is mandatory and if left blank, it will default to 'undefined'.
3. **Vehicle Validation**
 - a. **Hide Non-Existing Cusips Messages** – This option will prevent the message in the Logs that identifies Cusips not found from displaying.
 - b. **Skip Unsupervised Vehicles** – if the Vehicle Validation process in AIA finds an unsupervised variant security type in APX, it skips and it will not suggest a translation to an unsupervised type.
 - c. **Add Unsupervised Vehicles Translations Automatically** – This allows AIA to add translations of unsupervised vehicles automatically if the translation is found for the symbol in APX.
4. **Account Validation**
 - a. **Add Account Filter Automatically** – If you allow this setting, you will need to put the name of the custom field that contains the Custodian Account Number in APX in Item b,

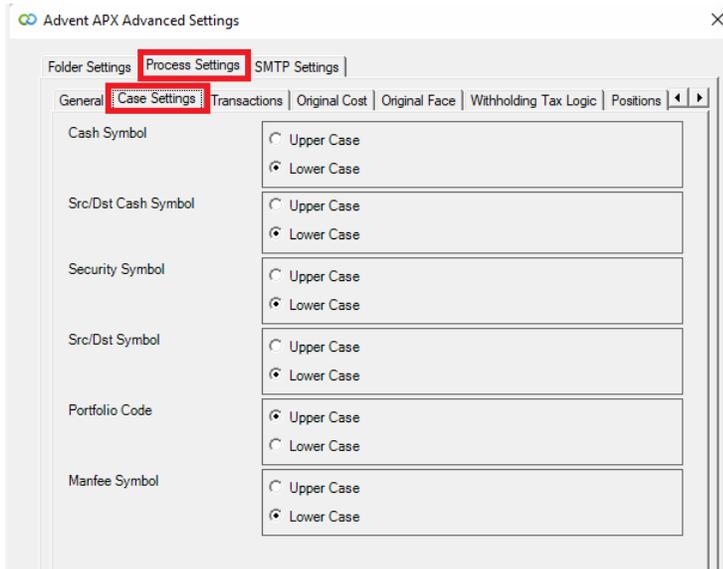
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AIA User Manual for APX Users

- option iii, below. AIA will check that field and will add it to the accounts filter. If the account is closed, AIA will remove it and changes the status.
- b. Add Account Translation Automatically – this option will automatically add account translations based on you identifying the field in APX that stores the APX custodian account number in setting below.
 - i. APX Account Number Field – if you are using the Add Account Translation Automatically feature, enter the name of the field in APX that stores your custodian account numbers.
 - ii. APX Group Code Field – if you are using the Add Group Translations Automatically, enter the name of the field in APX that stores the Group Code.
 - iii. Portfolio Statuses to Filter – if you are using the Add Account Translation Automatically feature, enter the portfolio status that will tell AIA to filter the account. Ex: if portfolio status in APX = house, then all accounts in APX with this status will be automatically added to the account filter.
 - c. Add Non-Existing Accounts to Account Filter – this option will automatically add any account that exists in PAD (Portfolio Accounting Data) data and not in APX to the account filter.
 - d. Add Group Translations Automatically – this option will automatically add group translations based on the identifying filed in APX that stores the APX group code in Item b, option ii above.

Settings – Global Settings – Advanced – Process Settings – Case Settings



Advent APX Advanced Settings

Folder Settings | **Process Settings** | SMTP Settings

General | **Case Settings** | Transactions | Original Cost | Original Face | Withholding Tax Logic | Positions

| | |
|---------------------|---|
| Cash Symbol | <input type="radio"/> Upper Case <input checked="" type="radio"/> Lower Case |
| Src/Dst Cash Symbol | <input type="radio"/> Upper Case <input checked="" type="radio"/> Lower Case |
| Security Symbol | <input type="radio"/> Upper Case <input checked="" type="radio"/> Lower Case |
| Src/Dst Symbol | <input type="radio"/> Upper Case <input checked="" type="radio"/> Lower Case |
| Portfolio Code | <input checked="" type="radio"/> Upper Case <input type="radio"/> Lower Case |
| Marfee Symbol | <input type="radio"/> Upper Case <input checked="" type="radio"/> Lower Case |

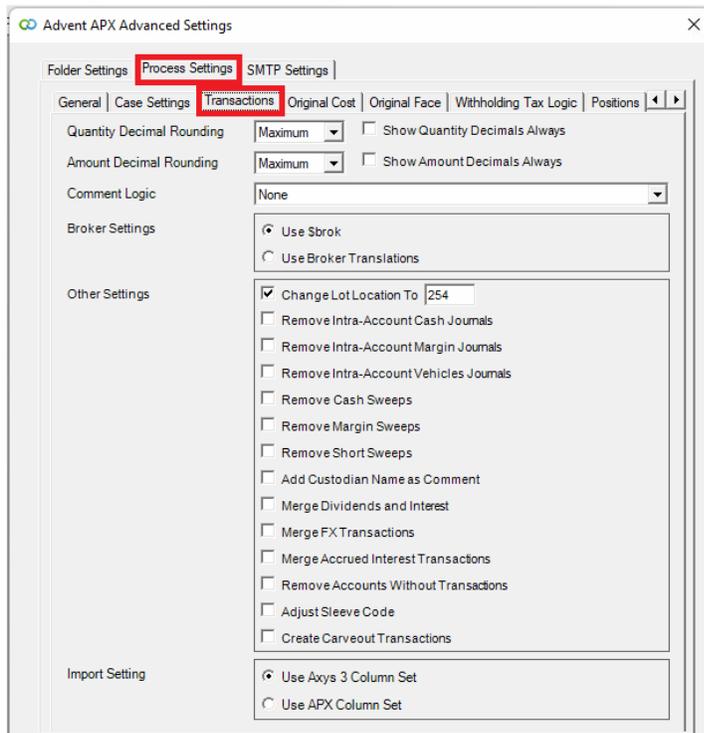
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AIA User Manual for APX Users

1. APX does not work well with mixed cases in Symbols or Portfolio Codes. Therefore, it is important to be consistent. Indicate on this screen if the settings are upper or lower case.
2. Case Settings
 - a. Cash Symbol – Indicate if cash symbols are in uppercase or lowercase.
 - b. Src/Dst Cash Symbol - indicate if the source and destination cash symbols are uppercase or lowercase.
 - c. Security Symbol – indicate if the security symbols are uppercase or lowercase
 - d. Src/Dst Symbol – indicate if the source and destination symbols are uppercase or lowercase
 - e. Portfolio Code – indicate if the portfolio codes are in uppercase or lowercase
 - f. Manfee Symbol – indicate if the management fee symbol is uppercase or lowercase

Settings – Global Settings Advanced – Process Settings – Transactions



Advent APX Advanced Settings

Folder Settings | **Process Settings** | SMTP Settings

General | Case Settings | **Transactions** | Original Cost | Original Face | Withholding Tax Logic | Positions

Quantity Decimal Rounding: Maximum Show Quantity Decimals Always

Amount Decimal Rounding: Maximum Show Amount Decimals Always

Comment Logic: None

Broker Settings: Use Sbrok Use Broker Translations

Other Settings: Change Lot Location To 254

Remove Intra-Account Cash Journals

Remove Intra-Account Margin Journals

Remove Intra-Account Vehicles Journals

Remove Cash Sweeps

Remove Margin Sweeps

Remove Short Sweeps

Add Custodian Name as Comment

Merge Dividends and Interest

Merge FX Transactions

Merge Accrued Interest Transactions

Remove Accounts Without Transactions

Adjust Sleeve Code

Create Carveout Transactions

Import Setting: Use Axyx 3 Column Set Use APX Column Set

1. Quantity Decimal Rounding – this option allows you to truncate the decimals in the quantity field in positions and transactions. The AIA default is 6 decimals. If the Show Quantity Decimals Always is checked, this will force two decimal place quantities.

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AIA User Manual for APX Users

2. Amount Decimal Rounding – this option allows truncating the decimals in the amount field in positions and transactions. If the Show Amount Decimals Always box is checked this will force two decimal place amounts.
3. Comment Logic – this setting controls how AIA imports comments into the trade blotter that exist in the source transaction files in the comment field. This comment field in the source file is programmed by WealthTechs to contain the Custodian Entry Type aka Custodian Transaction Code, a white space, then the comment which is often the name of the security or other commentary we receive from the custodian regarding the transaction. Example 1:

```
ACCTX, BY, BUY APPLE INC. NASDAQ @100.00  
,01012016,0101012016, CSUS,AAPL,100,CAUS,CASH,10000
```

Occasionally, the custodian will send a transaction that is a standalone comment, which is not related to a real transaction. In this case, WealthTechs programs the transaction as a standalone comment transaction line. Example 2:

```
ACCTX, LI, CSUS,LKFN,08052016,08052016,50,3500  
ACCTX,;,08052016,3:2 SPLIT LAKELAND FINANCIAL CORPORATION
```

- a. None – no comments are imported for example 1, comments are imported for example 2
- b. All – comments are imported for example 1 and example 2.

Specific Using Transaction Translation – this option activates the “Add Transaction Comment” option in Transaction Translation, which allows you to identify specific transactions and write the comments to the trade blotter only for successful matches to your IF statement. The rules setup in Transaction Translation are only applicable to Transaction Comments like Example 1. Standalone comments like example 2 will always post to the import transaction file.

4. Broker Settings
 - a. Use \$brok - this option writes \$brok to the broker rep field in the transaction blotter. This is defined in the .cli file in APX for each portfolio typically.
 - b. Use Broker Translations – this option activates the Broker Translations table in the Options menu and allows you to map the broker rep field to a unique code setup in APX. Activating this feature will provide the Broker Translations feature on the Options Menu.
5. Other Settings
 - a. Change Lot Location To – the default value in source file is 250, this option allows you to modify it to another code. This was part of the [APX Questionnaire](#), Item 7.
 - b. Remove Intra-Account Cash Journals - An intra-account cash journal is A PAIR of opposite transactions that wipe each other out; codes (dp>wd, li>lo, ti>to, si>so, tr>ts).

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The logic for removing intra-account journals for dp>wd is: both transactions have the same trade date, account, amount, and quantity, and both type and sdtype are caxx (xx=2 digit currency code) or awxx and both symbol and sdsymbol are not: margin, short, dvwash, dvshrt, dvlng, cashrt, calong, income. If all this criterion is met, AIA will remove the transactions from the source TRN files. Examples (must be pairs):

```
ACCTX,010117,LI,100,100,CAUS,MMF,CAUS,CASH
ACCTX,010117,LO,100,100,CAUS,MMF,CAUS,CASH
```

```
ACCTX,010117,DP,100,100,CAUS,MMF,CAUS,CASH
ACCTX,010117,WD,100,100,CAUS,MMF,CAUS,CASH
```

- c. Remove Intra-Account Vehicle Journals - same logic as Cash Journals, example:

```
ACCTX,010117,LI,100,14000,CSUS,AAPL
ACCTX,010117,LO,100,14000,CSUS,AAPL
```

- d. Remove Cash Sweeps - A cash sweep is A SINGLE transaction to move money from one cash account to another, typically to or from cash and a money market fund. WealthTechs uses double entry accounting transactions, so there is no need to track cash and money market fund balances in your PAS unless you want to. If you do not want to track separate balances and want to remove all cash sweeps this feature will remove all transactions in source TRN files with WD or DP transaction code, security type and Source/Destination Type fields = ca AND Security Symbol and Source/Destination Symbol fields do not contain margin, short, dvwash, dvshrt, dvlng, cashrt, calong, income. Example:

```
DP,CAUS,CASH,CAUS,MMF
```

- e. Remove Margin Sweeps - Same as “Remove Cash Sweeps” for margin cash transactions. Example:

```
DP,CAUS,CASH,CAUS,MARGIN
```

- f. Remove Short Sweeps - Same as “Remove Cash Sweeps” for short cash transactions. Example:

```
DP,CAUS,CASH,CAUS,SHORT
```

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AIA User Manual for APX Users

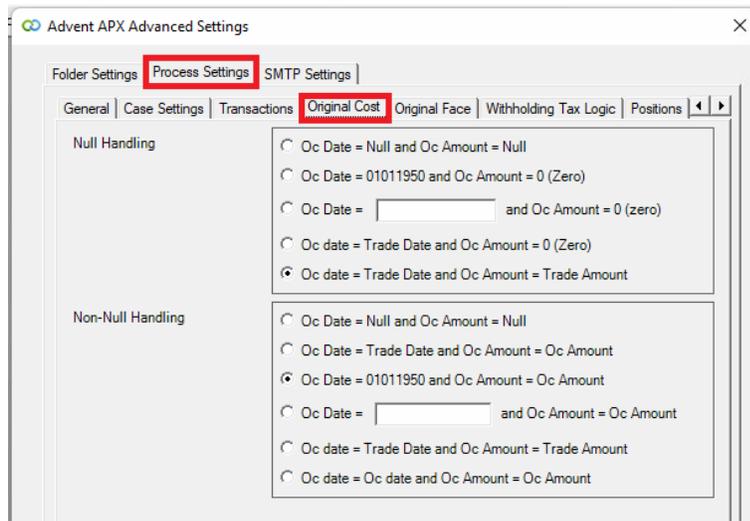
- g. Add Custodian Name as Comment – this option adds the name of the custodian to the comment in the transactions, this should be dependent on the Comment Logic. When more than one custodian is selected for transactions files and are imported into one blotter, there is no way to know when the next custodian starts in the transaction blotter. This feature adds a comment in the transactions to identify where the next custodian files start.
 - h. Merge Dividends and Interest – this option will merge multiple entries for portfolios with multiple dividend or interest entries for the same symbol into one entry.
 - i. Merge FX Transactions – this option will merge multiple entries for portfolios with multiple FX transactions for the same currency into one entry.
 - j. Merge Accrued Interest Transactions – this option will merge multiple accrued interest transactions for multiple trades for one portfolio into one transaction.
 - k. Remove Accounts Without Transactions – The feature looks at the APX database and checks if the account has transactions, if it doesn't, it will remove it from the .trn file. This means if the account only has a Comment in the transaction file, this record will be removed.
 - l. Adjust Sleeve Code – this option will adjust the portfolio code to the correct sleeve code within the APX blotter.
 - m. Create Carveout Transactions – this option will create the “carveout” transactions for portfolios carving out different transaction types into their appropriate sleeve.
6. Import Setting – both column sets work in APX
- a. Use Axys 3 Column Set – AIA will use the traditional Axys layout.
 - b. Use APX Column Set – AIA will use the APX layout, very similar to Axys but has 40 additional fields. If the format used on APX is different from the setting, APX can give an error message that "the file format wasn't recognized".

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AIA User Manual for APX Users

Settings – Global Settings - Advanced – Process Settings – Original Cost



This AIA feature allows you to deal with the inconsistent original cost and original cost date transaction data from custodians. This logic is specific to LI, LO, TI, TO, SI, SO transactions. This feature will enable the user to select default values for the Original Cost Date and Original Cost fields.

FYI, we abbreviate Original Cost = OC in AIA to save space.

Currently, if the Original Cost Date field is not received from the custodian, we are defaulting the OC date to 01011950 in the source files.

The Original Cost Amount field may or may not be populated. If we do not get original cost from the custodian, we put nothing in the field (NULL), not a zero.

To handle these inconsistencies, AIA has the following options:

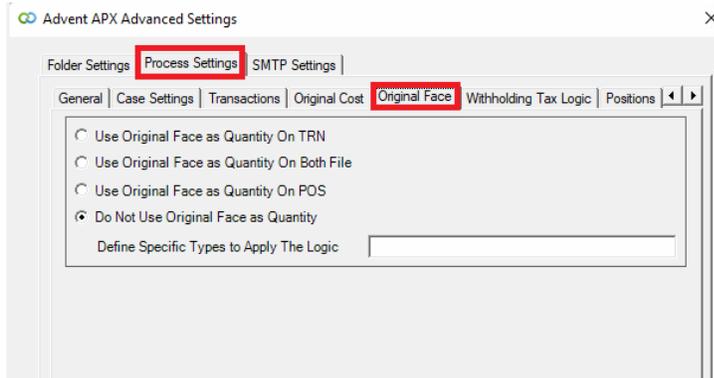
1. Null Handling – these are the options when both the Original Cost Date and Original Cost fields are not received from the custodian, i.e., no cost basis information.
2. Non-Null Handling - these are the options when the Original Cost Date is NOT received, and Original Cost IS received.

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AIA User Manual for APX Users

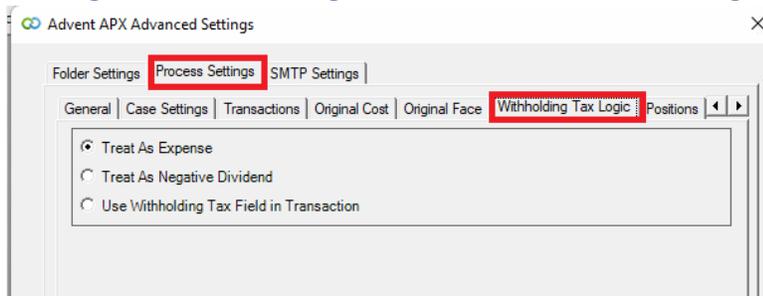
Settings – Global Settings Advanced – Process Settings – Original Face



This setting allows you to write the original face value to the quantity field. The following options allow you to customize:

1. Use Original Face as Quantity on TRN – this will write the original face value to the quantity field on BY transactions.
2. Use Original Face as Quantity on Both Files - this will write the original face value to the quantity field on BY transaction and to the quantity field on positions.
3. Use Original Face as Quantity on POS – this will write the original face value to the quantity field on positions.
4. Do not use original face as quantity – this will leave the files as-is, with quantity = the quantity on the trade, and the original face in the original face field.
5. Do Not Use Original Face as Quantity - Define specific types to apply the logic – this option allows the user to enter specific 4-character vehicle types to apply the logic for items 1-3. For example: fmus,cmus

Settings – Global Settings Advanced – Process Settings – Withholding Tax Logic



Currently source data from custodians related to Withholding Taxes is not homogenous across all custodians. Follow this set of instructions carefully or contact AIA Support Team for assistance.

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AIA User Manual for APX Users

AIA offers users three different options for handling Withholding Taxes on income transactions in APX:

1. Treat as Expense - When a portfolio receives a dividend or interest payment, and there are related withholding taxes and fees on taxes on withholding taxes, the data will default to separate line items.

Example:

```
acctx,dv,csus,aapl,060122,060122,1,2.50,caus,cash
acctx,dp,exus,whttax,060122,060122,1,0.10,caus,cash
```

2. Treat as Negative Transaction - WHT transaction will import as a negative dividend or interest payment.

Example:

```
acctx,dv,csus,aapl,060122,060122,1,2.50,caus,cash
acctx,dv,csus,aapl,060122,060122,1,-0.10,caus,cash
```

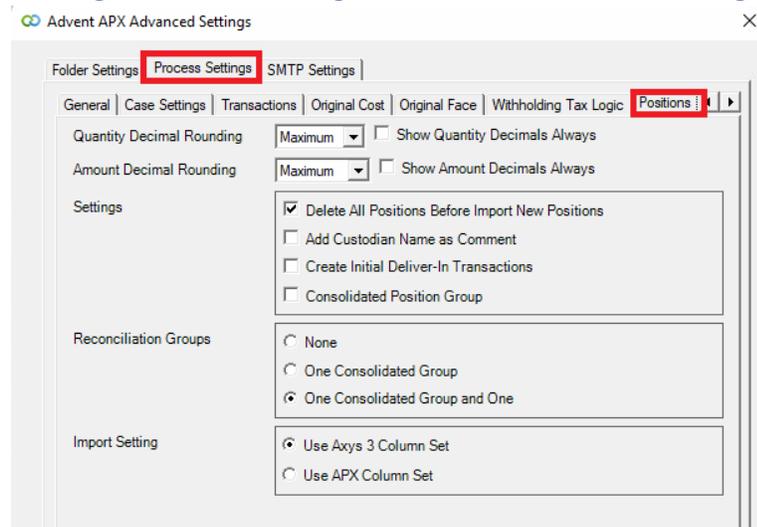
3. Use Withholding Tax Field in Transaction - AIA will make a single line item using the Advent withholding tax field and deduct the Withholding Tax amount from the Trade Amount field.

Example:

```
acctx,dv,csus,aapl,060122,060122,1,2.40,caus,cash,0.10
```

The default option is Option 1, Treat as Expense.

Settings – Global Settings Advanced – Process Settings – Positions



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AIA User Manual for APX Users

1. Quantity Decimal Rounding – this option allows you to truncate the decimals in the quantity field in positions and transactions. The AIA default is 6 decimals. If the Show Quantity Decimals Always is checked, this will force two decimal place quantities.
2. Amount Decimal Rounding - this option allows you to truncate the decimals in the amount field in positions and transactions. The AIA default is 6 decimals. If the Show Amount Decimals Always is checked, this will force two decimal place quantities.
3. Settings –
 - a. Delete All Custodian Positions Before Import New Positions – prior to importing current data in AIA, this option automatically deletes custodian holdings, i.e., positions in APX. Only accounts that exist in the current position files being processed in AIA. Cool Tip: if you want to delete all positions in APX, go to AIA – [Tools>Delete All Positions](#), this tool will delete all positions in APX for all APX accounts.
 - b. Add Custodian Name as Comment – this adds a comment transaction line under each position stating the custodian.
 - c. Create Initial Deliver in Transactions – if the account in APX has no historical transactions, and a new LI transaction is found, this feature will automatically write positions or tax lot data with cost basis info to the LI transaction.
 - d. Consolidated Positions Group – if your firm uses consolidated positions in APX, checking this box will activate the Advent Consolidated Position Group Code field in Options> Account Translations. When positions are imported, the holdings of the source custodian account will be imported into APX using the consolidated group portcode, not the account portcode. Ex: an advisor uses consolidated position groups because they create more than 1 account in APX for a single custodian account. Typically used for composites, so the sub account with attributes of the composite can be placed in the composite, not the entire account.

Custodian Positions:

ACCTX,100,TSLA
ACCTX,1000,CASH

APX Consolidated Position Group Mappings:

@ACCTX>AUSTINE
@ACCTX-AUSTINC

4. Reconciliation Groups –
 - a. None – your firm does not use reconciliation groups

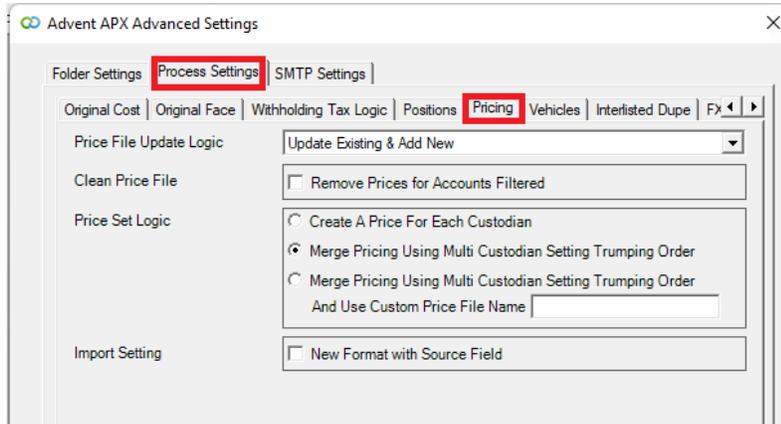
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AIA User Manual for APX Users

- b. One Consolidated Group – One group is created and maintained in APX by AIA: CDirecon group. The CDirecon group contains all accounts that exist in the custodian position files for the current processing date. For example, in APX, the CDirecon group has accounts A, B and C in it currently. Let's say the C account closes and is not in the current mmddyy.pos file. AIA will update the CDirecon group in APX to contain only accounts A & B.
 - c. One Consolidated Group and One Group For Each Custodian – this option will create and update the CDirecon group and create a group for each custodian using the AIA custodian ID (ex: 0001,0002, etc.)
5. Import Setting –
- a. Use Axys 3 Column Set – AIA will use the traditional Axys layout.
 - b. Use APX Column Set – AIA will use the APX layout, very similar to Axys but has 40 additional fields. If the format used on APX is different from the setting, APX can give an error message that "the file format wasn't recognized".

Settings – Global Settings Advanced – Process Settings – Pricing



1. Price File Update Logic – you have 3 options how AIA can import price data factoring in existing data already in APX.
 - a. Update Existing & Add New – this option updates the prices for any vehicles currently in an APX price file and adds any new vehicles to price file if they don't exist in APX
 - b. Add New – this option adds any new vehicles to price file if they don't exist in APX
 - c. Replace Entire File – this option deletes any prices currently in APX and replaces them with the prices in the AIA import file.
2. Clean Price File – By checking the box Remove Prices for Accounts Filtered, the prices for securities held only in filtered accounts will not be included in the APX price file.

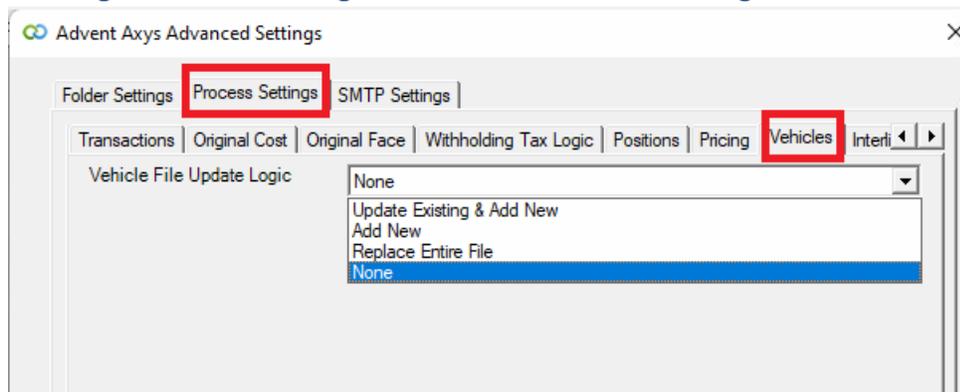
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AIA User Manual for APX Users

3. Price Set Logic – this option is used only if you use prices sets in APX.
 - a. Create A Price For Each Custodian – this will create a price file to be used specifically for each custodian. This means securities could be priced differently depending on their specific custodian.
 - b. Merge Pricing Using Multi Custodian Setting Trumping Order – this is the default for AIA and assumes you use one price file per day for all custodians. The trumping order for vehicles that are priced by more than one custodian is setup in your Multi Custodian Settings by the order the Custodians are listed. The first custodian has the highest priority in using the prices supplied.
 - c. Merge Pricing Using Multi Custodian Setting Trumping Order and Use Custom Price File Name – this option assumes you use one price file per day for all custodians processed through AIA and want to write the prices to a custom price file name. The best way to explain this feature is an example: assume you have 2 custodians: 0001 and 0002 and write prices from these custodians to a custom filename: “AIA”. This option will update, add new or replace 1 price file in APX: mmddyy_CDI.pri based on the Price File Update Logic you have setup. The trumping order for vehicles that are priced by more than one custodian is setup in [Settings – Multi Custodian Settings](#).

Settings – Global Settings Advanced – Process Settings – Vehicles



Vehicles Settings will create a vehicle file with the layout of sec.inf from the custodian information. It will save this file in the Archive folder as a .veh file, ex 060122.veh. This file is imported to APX unless the option “None” is selected. The information imported for each is defined in the AIA Options Menu, [Vehicle Importing Translations](#).

There are four options available:

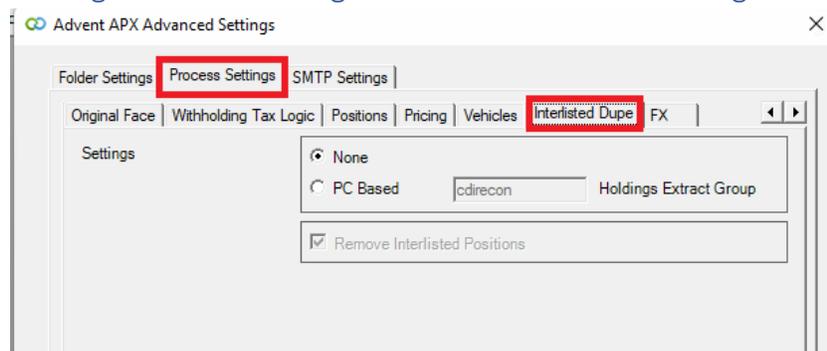
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AIA User Manual for APX Users

1. Update Existing & Add New – this will update existing securities and add new securities to the .veh file with the information from the custodian selected in the Vehicle Importing Translations. (Imports to APX).
2. Add New – this will only add new securities with the information from the custodian selected in the Vehicle Importing Translations. (Imports to APX).
3. Replace Entire File – this will replace everything in the file with the information from the custodian. (Imports to APX).
4. None – this will create the file but will NOT import to APX. This is the default option.

Settings – Global Settings Advanced – Process Settings – Interlisted Dupe



Interlisted Dupe Removal – this option is only valid for NBIN (0002) users; if you do NOT use NBIN, this setting should be set to None and you do not need this section.

The reason for this feature is Advent’s need to differentiate between a US and Canadian version of the same vehicle. For example: Goldcorp would be setup in Advent twice: csus.gg and csca.g. The NBIN ISM back-office system only has one vehicle: Goldcorp, not 2. Let’s assume you hold 100 shares of csca.g in an account 123456A. NBIN only shows a position of 100 shares of Goldcorp and does not differentiate between csca or csus in the position and price.

To solve this problem, WealthTechs writes 2 positions and prices to the NBIN source data files: 100 shares of csus,gg and 100 shares of csca,g. When creating the import files, AIA reads the APX database for current date holdings & pricing; or if you are processing historical data, AIA exports holdings via the CDHold.rep report run for the holdings extract group (default is CDIrecon group) and removes the unnecessary positions in prices. In this example, you would end up with a position file with 100 shares of csca.g with a CAD amount for account 123456A and the CAD price for csca.g in the price file.

- a. None – use this option if you do not use NBIN.
- b. PC Based – this is the default and is used by all NBIN customers except one.
 - i. Holdings Extract Group – if you choose pc based, AIA needs to know the name of the group to run CDHold.rep:

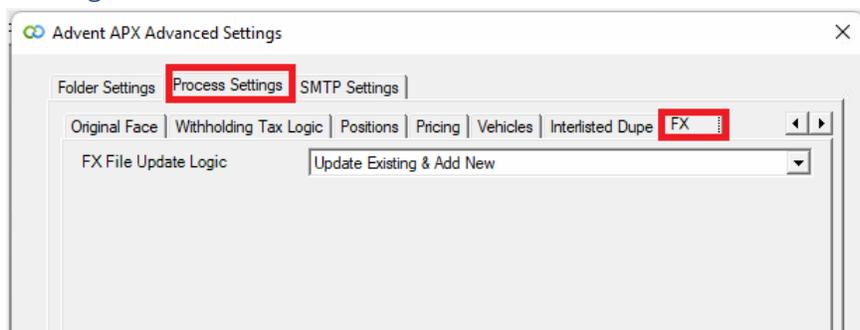
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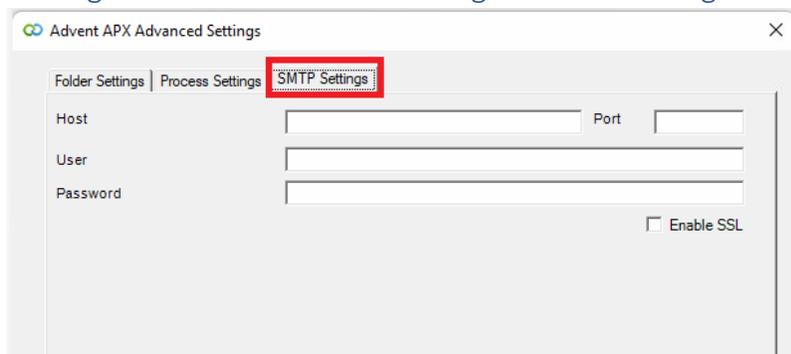
1. CDIrecon - The default is the CDIrecon group, which AIA creates and updates daily. The CDIrecon group is simply a list of all accounts that exist in the custodian position files for the current processing date.
2. Other – if you manually maintain a group for all the NBIN accounts, enter the name of the group like this ‘nbin’, do not include the .grp extension.

Settings – FX



1. FX File Update Logic – you have 3 options how AIA can import price data factoring in existing data already in APX.
 - a. Update Existing & Add New – this option updates the FX for any existing currently in an APX adds any new FX to the file if they don’t exist in APX
 - b. Add New – this option adds any new FX to the file if they don’t exist in APX
 - c. Replace Entire File – this option deletes any FX currently in APX and replaces them with the FX in the AIA import file.

Settings – Global Advanced Settings – SMTP Settings



This is where the email is setup to receive notifications from WealthTechs.

1. Host – example: smtp.office365.com

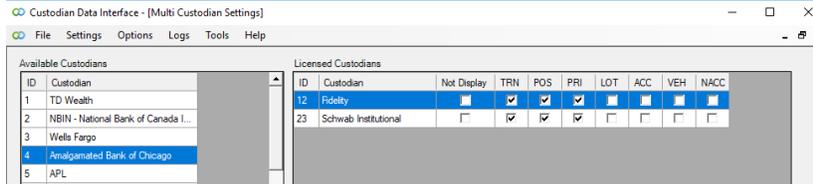
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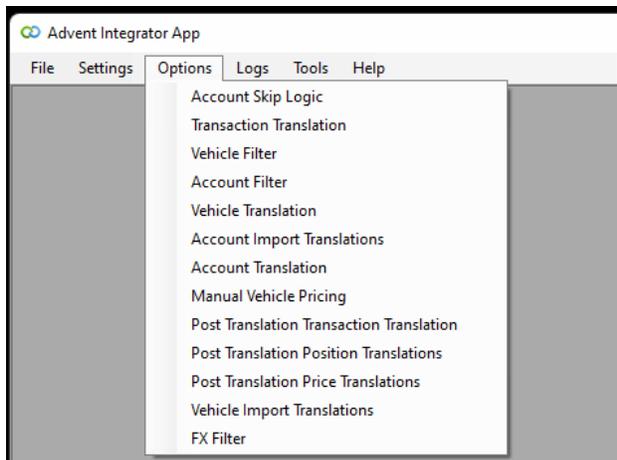
2. Port – example: 587
3. User – example: chris@wealthtechs.com
4. Password – example: #*(&#(*&#&qweq
5. SSL – example: yes or no. FYI: most of the SMTP are tending to use SSL for security policies.

Settings – Multi Custodian Settings



This setting shows the available custodians in AIA and the configured custodian to a client. You can select to download the following data: Transactions (TRN), Position (POS), Price (PRI), Lots (LOTS), Accounts (ACC), Vehicles (VEH) and New Accounts (NACC) for each licensed custodian.

AIA Options Menu



These are the translation features that AIA users use on a day-to-day basis to create rules and translations to manipulate the data to match what is setup in their version of APX. The main translations that are used are Vehicle and Account translations and filters.

Translations change the data from A to B, filters get rid of data, so it does not enter APX. In the options menu, each item is in its logical order of how AIA applies the translations or filters to the data. For example, first is T first is Account Skip Logic, then Transaction Translation, then Vehicle Filter, then Account filter and so on.

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The following sections show you how to use each type of translation. Remember, the translations are stacked, so if you setup a transaction translation to convert CSUS,TSLA to EQUUS,TSLA, then you setup a vehicle translation to convert CSUS,TSLA to USUS,TSLA, this won't work because the Transaction Translation has already converted the data and CSUS,TSLA will not exist anymore.

AIA Logical Order

The list below is the logical order that AIA applies translations and filters to the source data files.

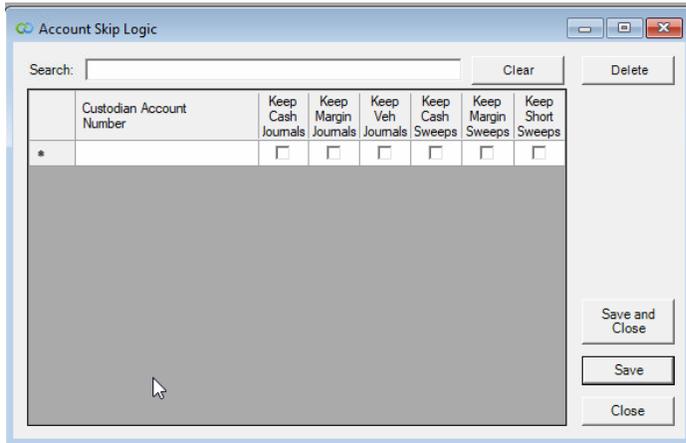
1. Import CDI Groups (Positions)
2. Clean Prices for Accounts in Account Filter (Prices)
3. Remove Pending Records (All Files)
4. Remove Intra-Account Journals (Transactions)
5. Remove Cash Sweeps (Transactions)
6. Withholdings Tax Logic (Transactions)
7. Merge FX Transactions (Transactions)
8. Merge Accrued Interest Transactions (Transactions)
9. Transaction Translations (Transactions)
10. Vehicle Filter (All Files)
11. Account Filter (All Files)
12. Broker Translations (Transactions)
13. Security Translations (All Files)
14. Account translations (All Files)
15. Adjust Cancel Transactions to Upper Case (Transactions)
16. Apply Transaction Comment Logic (Transactions)
17. Merge Dividends and Interest (Transactions)
18. Apply Case Settings (All Files)
19. Post Translations Transaction Translations (Transactions)
20. Post Translations Positions Translations (Positions)
21. Post Translations Price Translations (Prices)
22. Add Manual Prices (Prices)
23. Add Interface Comments (All Files)

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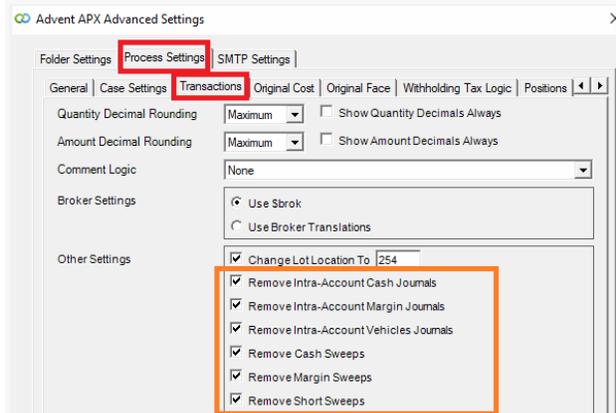
AIA User Manual for APX Users

Account Skip Logic



The Account Skip Logic will identify accounts that ignore the [Process Settings>Transactions> Other Settings](#) rules established in the Global Settings. It will post the transactions that are checked for specifically identified accounts.

To use this feature, the following settings must be checked –

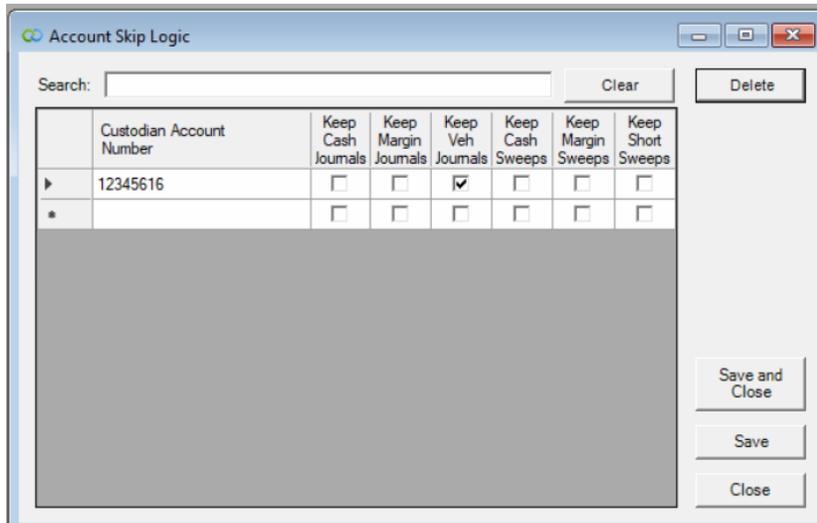


For example, all accounts are set to remove Intra-Account Cash, Margin, Vehicle Journals and remove Cash, Margin and Short sweeps, but you need account 12345618 to have all Intra-Account Vehicle Journals posted to the account, you would set it as:

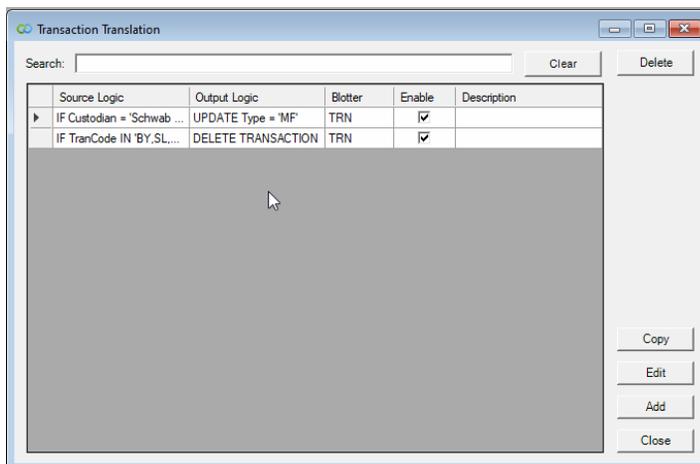
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AIA User Manual for APX Users



Transaction Translation



Transaction Translation (“TT”) allows for “IF, THEN” programming logic to be assigned to the Source Transaction Data without having to be a programmer. TT is not case sensitive and is overridden by any other translations such as Vehicle, Account or Broker. TT also has some special arguments that can be used to enhance translations.

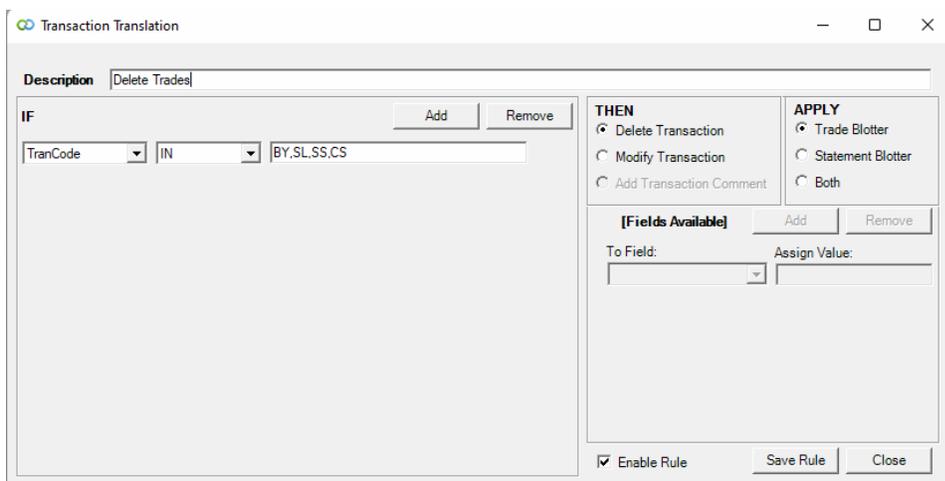
1. Force A Number Field Negative – put [*-1] in the “Assign Value” field.
2. Force Trade Date or Settlement Date Field – put [TradeDate] or [SettleDate] the “Assign Value” field.

An example of a Transaction Translation and the explanation are below:

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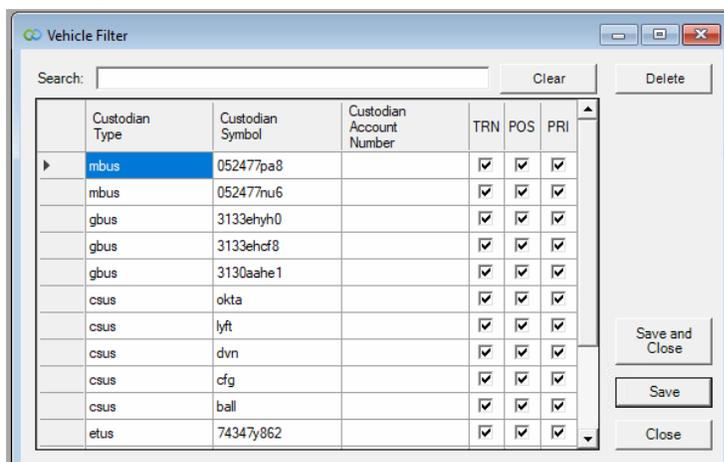
AIA User Manual for APX Users



The above TT will delete any transaction, from the Trade Blotter, that includes transaction codes BY SL SS and CS.

TTs can be as simple or complex as needed and it is always a good idea to give a brief description of the TT in the Description field at the top. The description makes it easier to find if you have many TTs listed.

Vehicle Filter



Eliminate transactions, prices, and positions for specific vehicles from appearing in any APX Blotter or File. Enter as little or as many parameters on each row to create a filter rule. Example: Filter a vehicle type, just enter the type.

The highlighted Vehicle Filter eliminates all transactions, positions and prices for mbus 052477pa8 from appearing in any of the files/blotters. This can be further defined for a specific account or accounts by

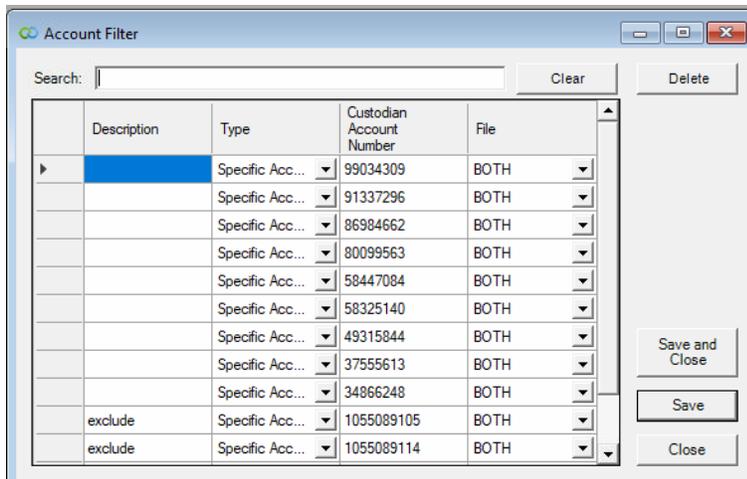
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AIA User Manual for APX Users

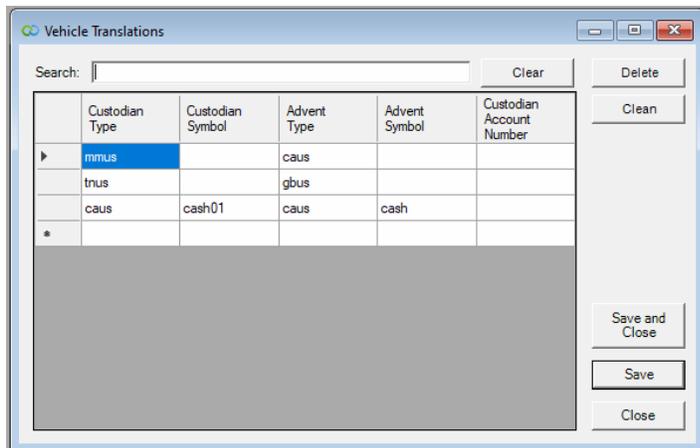
completing the Custodian Account Number field. If you choose to do this for a specific account, be sure to use the Custodian Account Number and not the APX Portfolio Code.

Account Filter



Eliminate transactions, prices, and positions for specific accounts from appearing in APX. The option to include a Description is also available and may be completed. This is for notes only. Reasons to filter an account may include, House Accounts, Closed Accounts, Non-Billable accounts, or any other reason you may not want a specific account data flowing through to APX.

Vehicle Translation



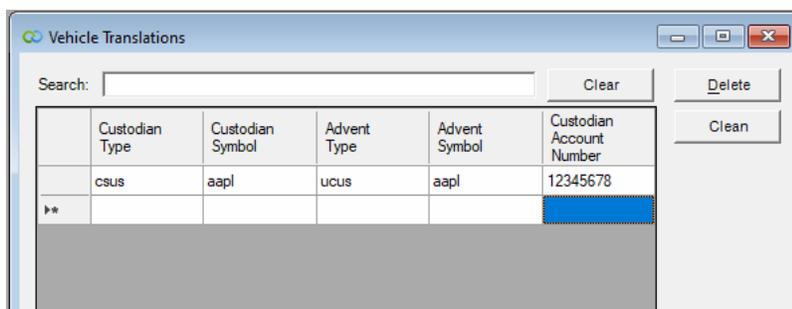
Translate vehicles to match the vehicles setup in APX. The example above shows changing all Money Market US vehicles to Cash US. This also allows for unsupervised positions to be defined.

This can also be used to translate specific vehicles for specific accounts. For example, an account owns AAPL but it is unsupervised, this can be translated as follows:

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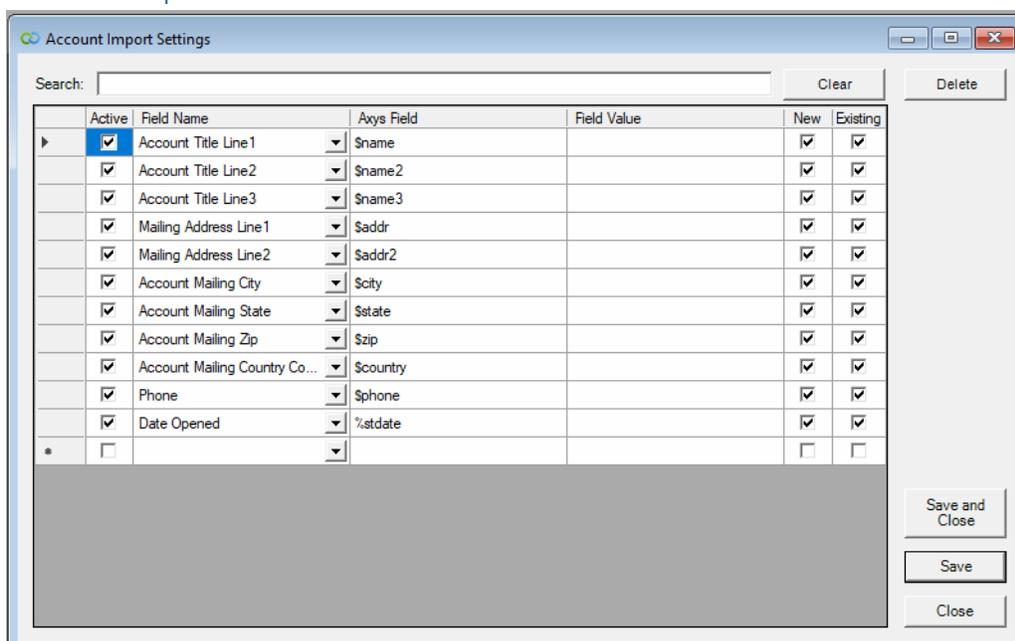
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AIA User Manual for APX Users



Be sure to enter the Custodian Account Number and not the APX Portfolio Code. This will code AAPL as an unsupervised vehicle for this specific account.

Account Import Translations



This translates the custodian account name and address fields to the APX name and address fields identified by your firm. You can elect it to only do this for new accounts, existing accounts or both. You also have the ability to select which fields to import.

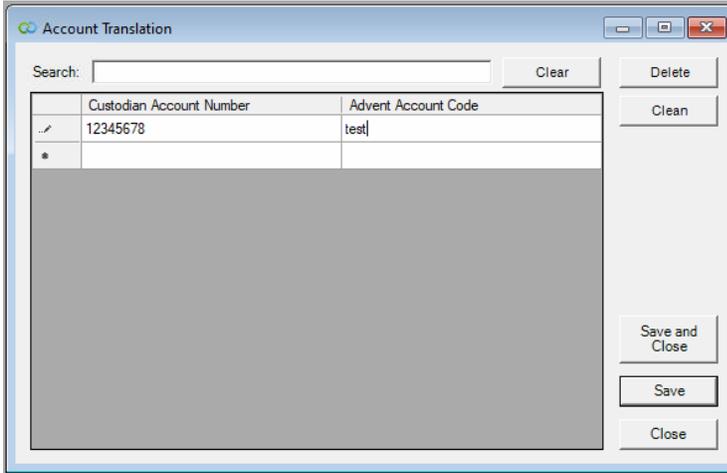
Translate custodian account numbers to match the portfolio codes setup in APX when manually importing accounts. This will import the custodians' record of the client's full name and address, including country, phone number and start date if these are defined in APX. This can also be customized to import specific fields needed from the custodians' records for new or existing clients.

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AIA User Manual for APX Users

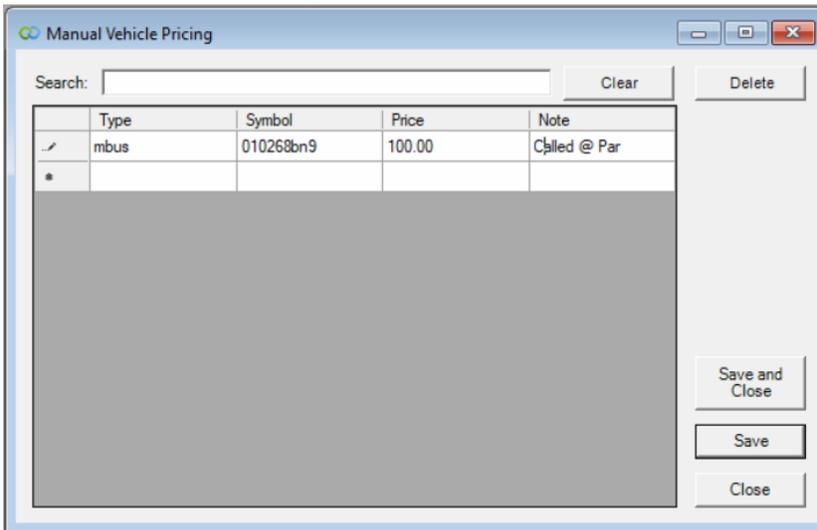
Account Translation



| | Custodian Account Number | Advert Account Code |
|---|--------------------------|---------------------|
| ✓ | 12345678 | test |
| * | | |

Translate custodian account numbers to match the portfolio code setup in APX. This can be done manually or using a .csv import. Typically, during initial setup of AIA, we will provide the template for your firm to populate the custodian account number and APX portfolio code. We recommend using the import only during initial setup or initial setup of a new custodian.

Manual Vehicle Pricing



| | Type | Symbol | Price | Note |
|---|------|-----------|--------|--------------|
| ✓ | mbus | 010268bn9 | 100.00 | Called @ Par |
| * | | | | |

Setup vehicles and their prices here and they will be added to the prices received from the custodians. Great for private placements and other vehicles you hold in APX but not at a custodian or for vehicles not priced by the custodian.

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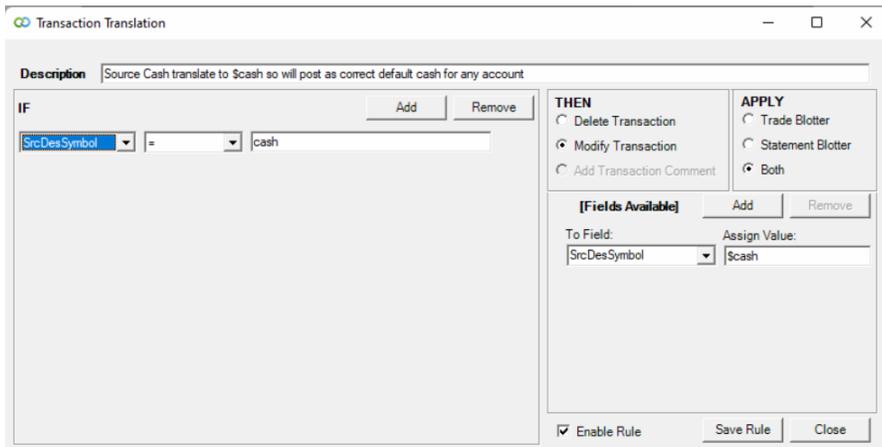
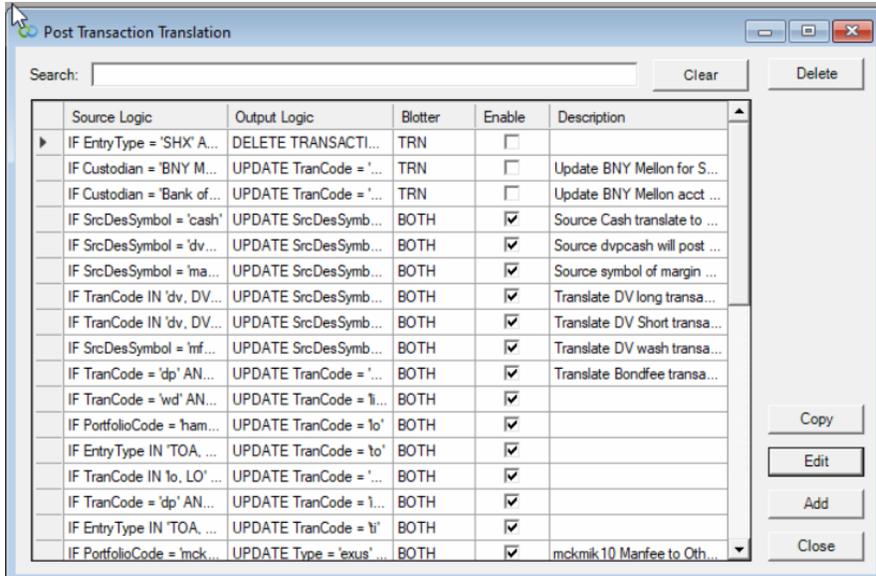
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AIA User Manual for APX Users

On the example above, the custodian is not providing the price, and bond has been called at \$100. Once the call has passed and all positions have been paid by issuer, then you would need remove this manual price.

Be careful using this option, since it can create duplicate prices for vehicles if the custodian starts pricing the vehicle. Another issue is, this price is not updated automatically. Therefore, you should carefully monitor vehicles in this Manual Pricing Option.

Post Translation Transaction Translation



Similar to [Transaction Translation](#), allows you to setup IF>THEN statements for final transaction cleanup before importing into APX. This is processed after the steps above have been processed.

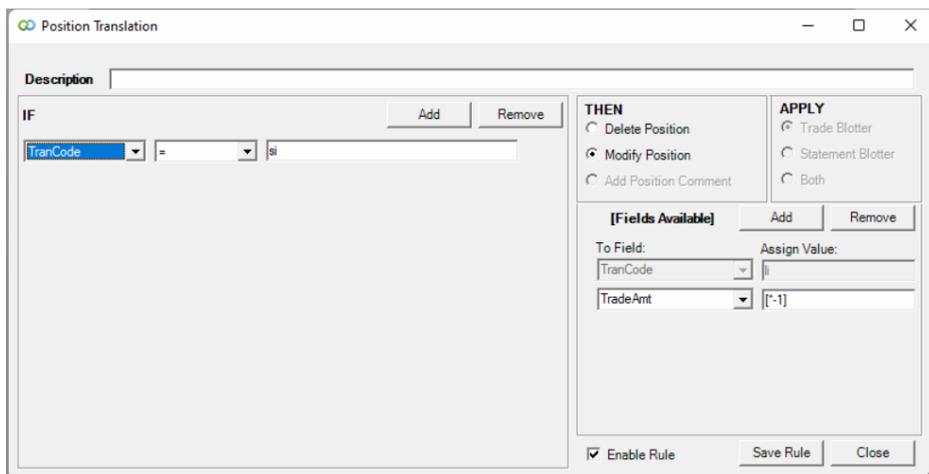
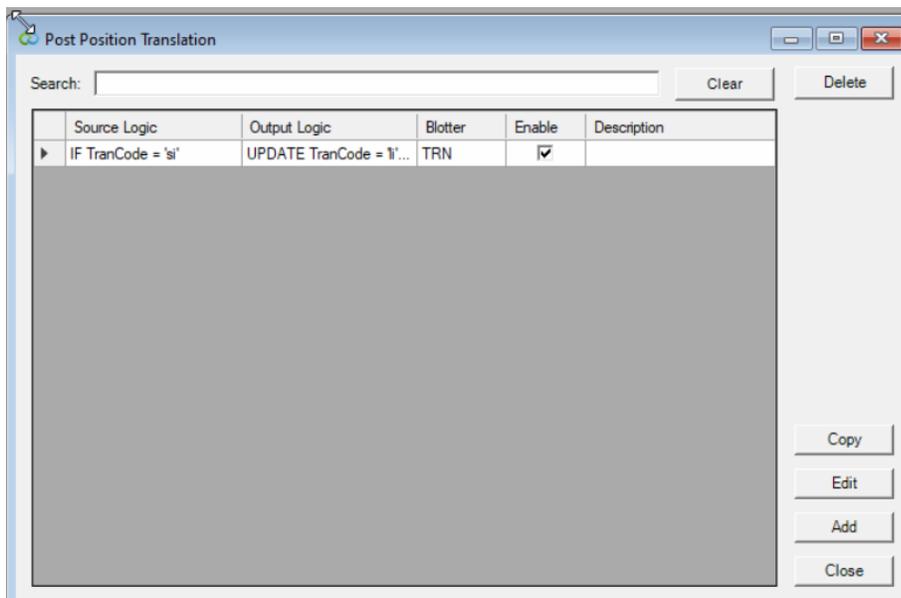
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AIA User Manual for APX Users

In the example above, we are changing the Source Destination Symbol from cash to \$cash.

Post Translation Position Translation



Similar to [Transaction Translation](#), allows you to setup IF>THEN statements for final position cleanup before importing into APX.

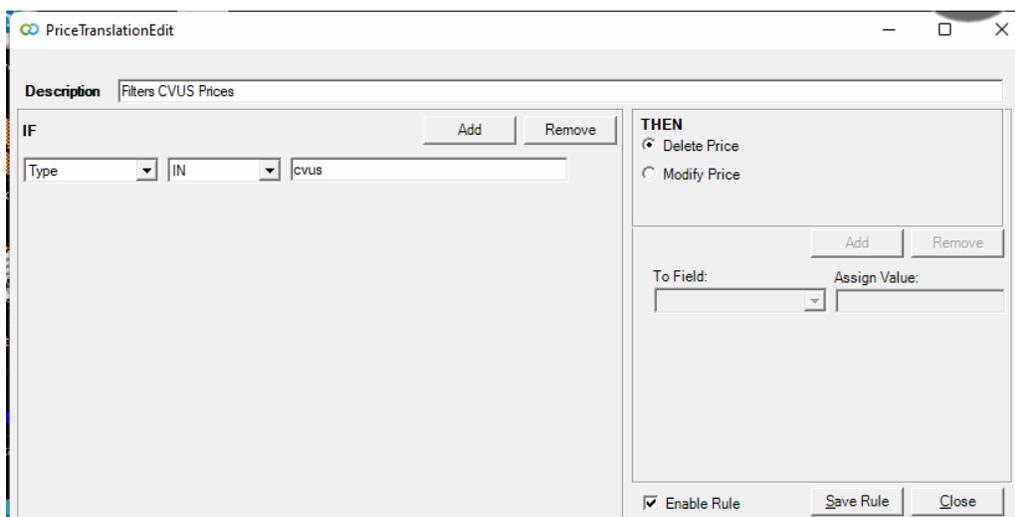
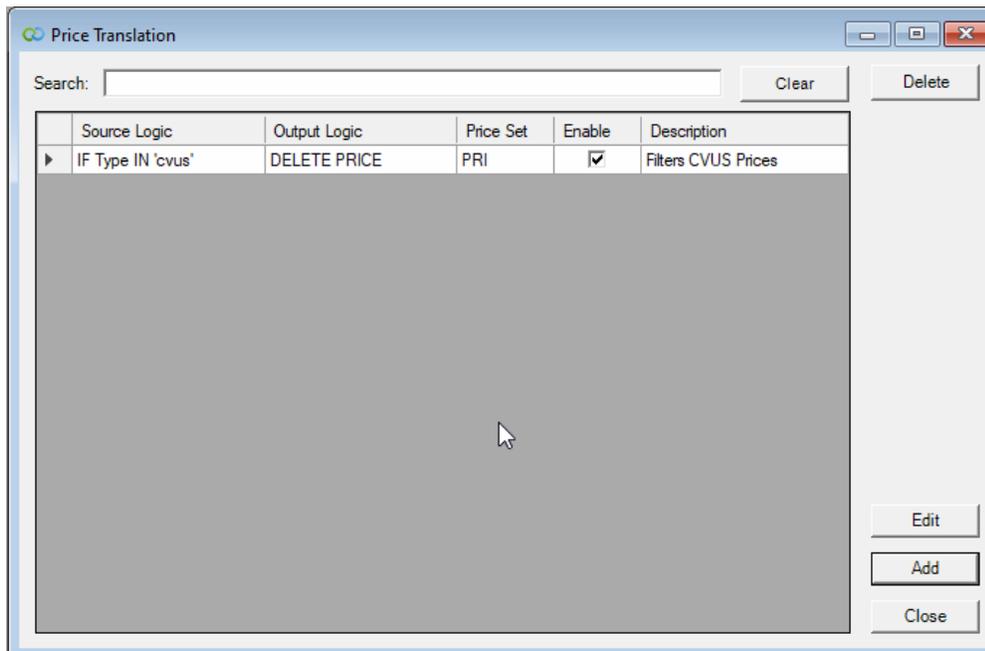
In the example above, if the Position Transaction Code is si, then it is changing it to li and multiplying the value by -1 to make them positive numbers.

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AIA User Manual for APX Users

Post Translation Price Translation



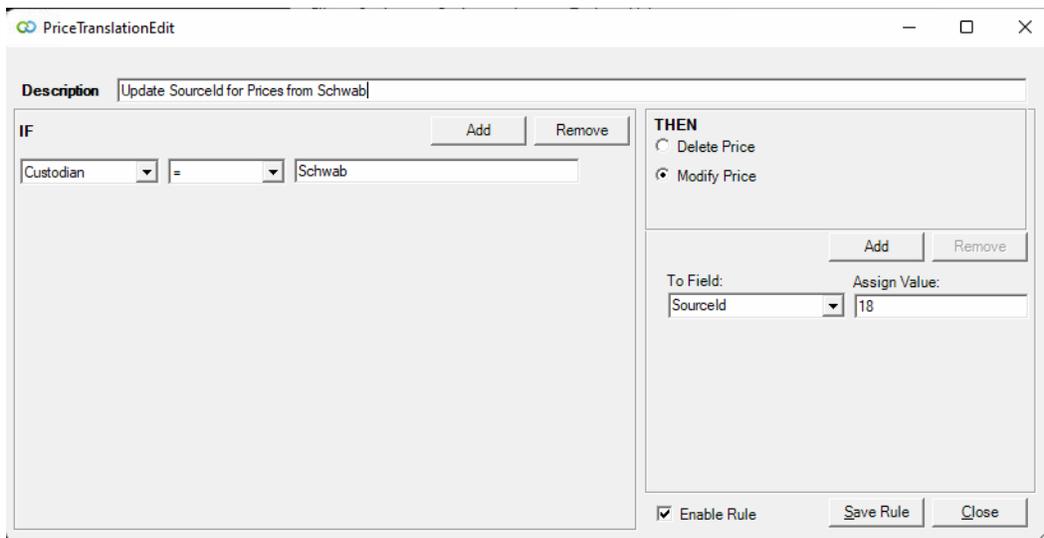
Similar to [Post Translation Transaction Translation](#), this allows the user to translate the prices after already being modified.

In the example above, all cvus bond prices are filtered. Below is another example:

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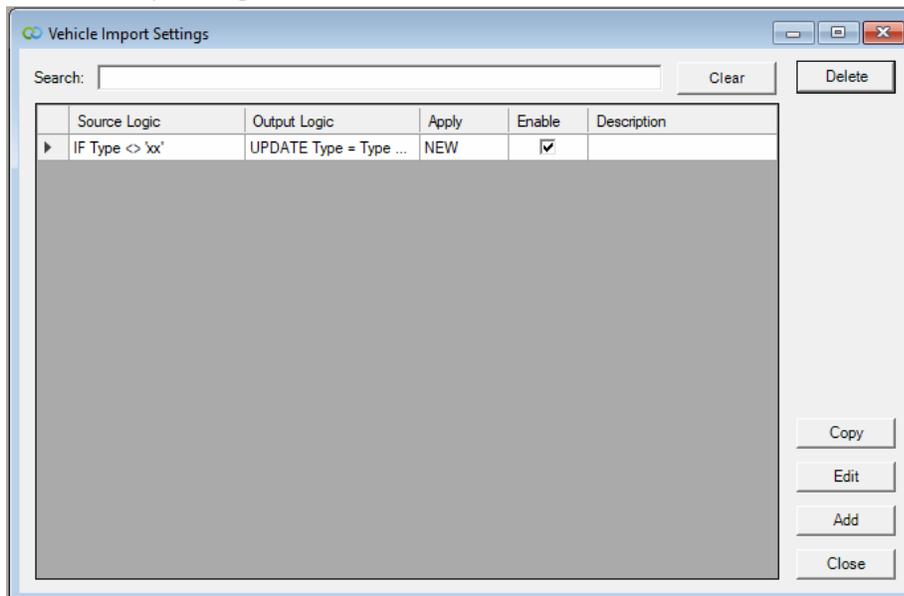
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AIA User Manual for APX Users



In this example, the prices from Schwab needs to modified to the Source ID to number 18, which is the ID for Schwab in APX. Modifying the SourceId will allow the APX user to see in the APX price section under Source Column the name Schwab instead of Import/Export. For more information on this feature, please contact your AIA Support Team.

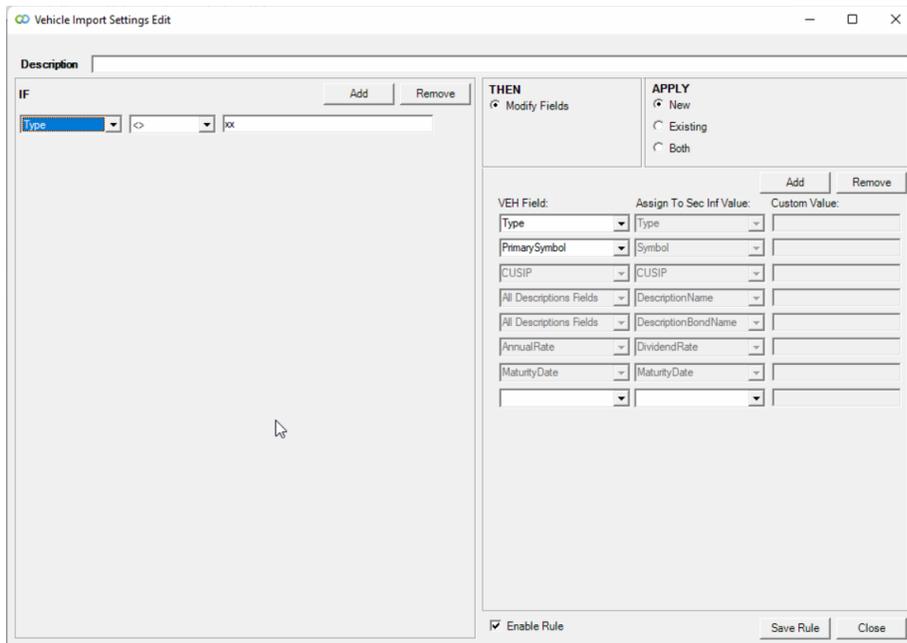
Vehicle Importing Translations



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AIA User Manual for APX Users



Vehicle Import Settings gathers the Security Information provided by the custodian. This feature does NOT import to APX in NONE is select in [Settings – Global Settings Advanced – Process Settings – Vehicles](#). It does translate the .veh file to the layout of the sec.inf file in the AIA Archive folder, for viewing, at the end of the Daily Process.

THEN it will Modify Fields selected in the VEH Fields section.

APPLY has three options:

1. New, will create security information file using the WealthTech's .veh file from the custodians, that do not currently exist in the APX database.
2. Existing, will create security information file using the WealthTech's .veh file from the custodians, that currently exist in the APX database
3. Both, will create new and existing security information file using the WealthTech's .veh file from the custodians that exist and do not exist in the APX database.

VEH Fields gives you the option to select as many or as few fields to update.

This feature works by Custodian, there is no trumping order, therefore, if you select Custodian A first, then Custodian B. Custodian B will overwrite Custodian A information.

For more information on this feature, please contact AIA Support Team at data@wealthtechs.com.

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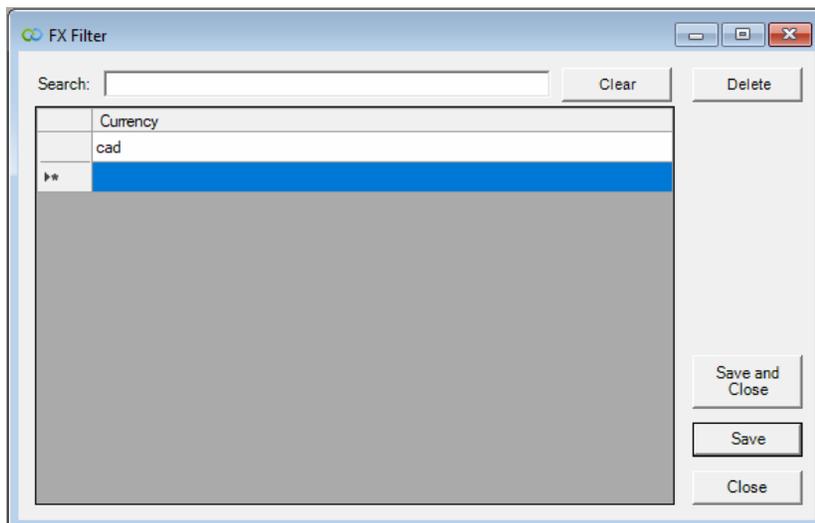
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AIA User Manual for APX Users

In the example above:

For all new securities in the APX file, if the security type does not equal 'xx', then it will gather the vehicle type, primary symbol, CUSIP, all descriptions fields – description name, all descriptions fields – description bond name, annual rate for dividends and maturity dates to create the security information file.

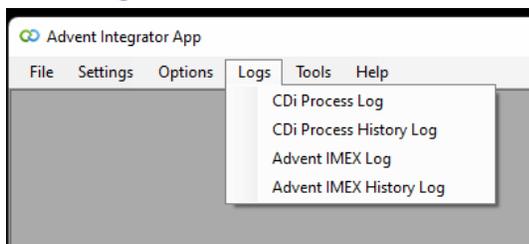
FX Filter



Fx File is a file of currency exchange rates. This is a screen where the AIA User can define which currency to filter from the Fx Files. They can, also, filter all Fx files, if the client does not need Fx rates. This uses three characters currency codes.

In the example above, we are filtering Canadian currency. If there is a translation to convert CAD to USD, then CAD will be ignored. This filters on the first currency listed in the translation. For more information on this feature, please reach out to your AIA Support Team.

AIA Logs Menu

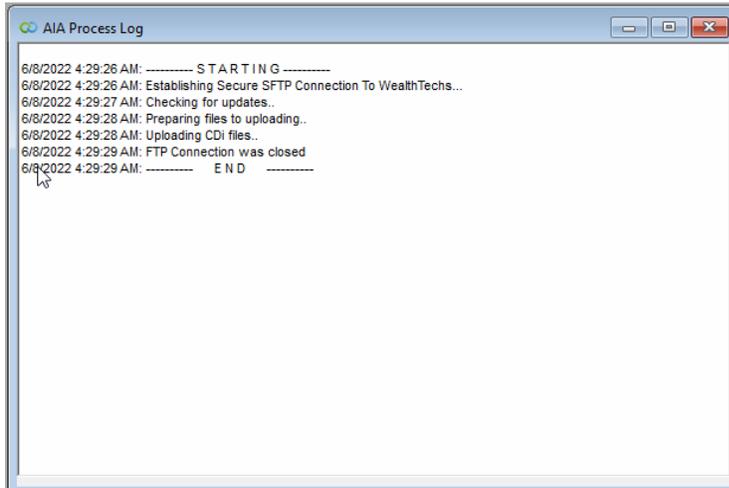


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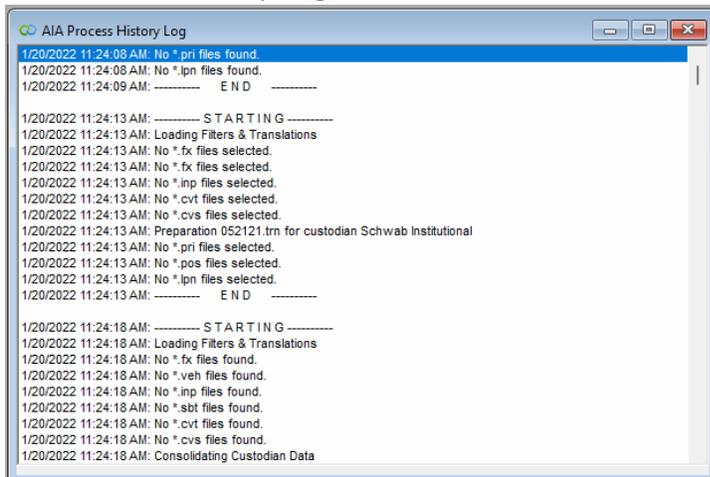
AIA User Manual for APX Users

CDI Process Log



Shows the log file for the current AIA session, this includes, downloads, processing and importing of the data through the desktop app.

CDI Process History Log



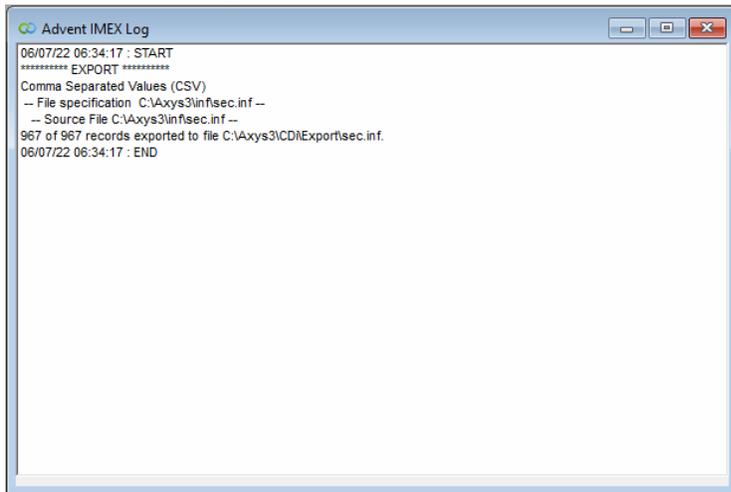
Shows the log file for all the historical AIA sessions and the current session, this includes download, processing and importing of the data through the desktop app.

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AIA User Manual for APX Users

Advent IMEX Log



```
Advent IMEX Log
06/07/22 06:34:17 : START
***** EXPORT *****
Comma Separated Values (CSV)
-- File specification C:\Axys3\inf\sec.inf --
-- Source File C:\Axys3\inf\sec.inf --
967 of 967 records exported to file C:\Axys3\CDI\Exportsec.inf.
06/07/22 06:34:17 : END
```

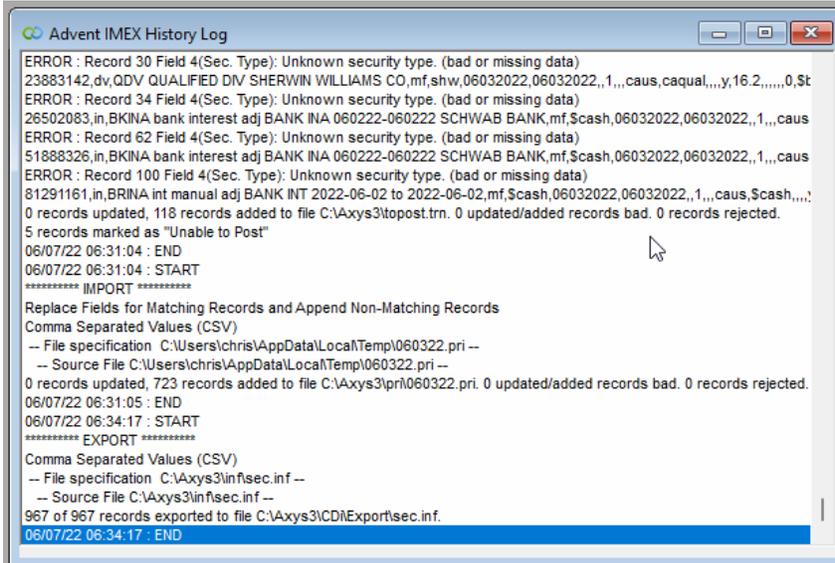
Shows the log for the last importing done through the IMEX tool. Useful for troubleshooting importing issues.

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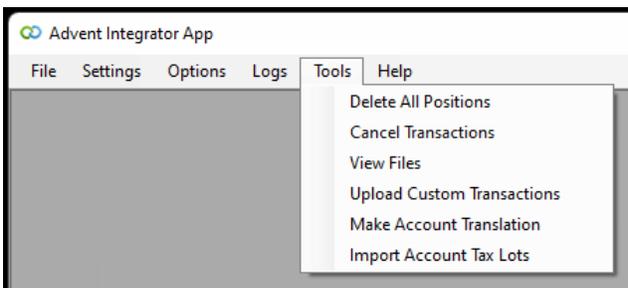
AIA User Manual for APX Users

Advent IMEX History Log

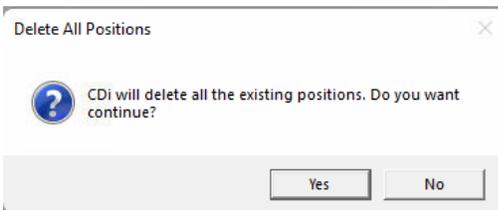


Shows the log for all the importing done through the IMEX tool. Useful for troubleshooting importing and blotter issues.

AIA Tools Menu



Delete all Positions



This will delete all the positions for the current custodian(s). This should be done prior to posting the current position files in APX.

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AIA User Manual for APX Users

Cancel Transactions



This feature allows you to select one or more historical transaction files and create a trade blotter that will cancel previously posted transactions.

For example, a previously posted:

“acct123,010101,010101,by,csus,appl,100,caus,cash,10000”

Becomes:

“acct123,010101,010101,BY,csus,appl,100,caus,cash,10000”.

The list of historical transaction files is derived from files that have been written to the archive folder and assumes you have posted these transactions to APX.

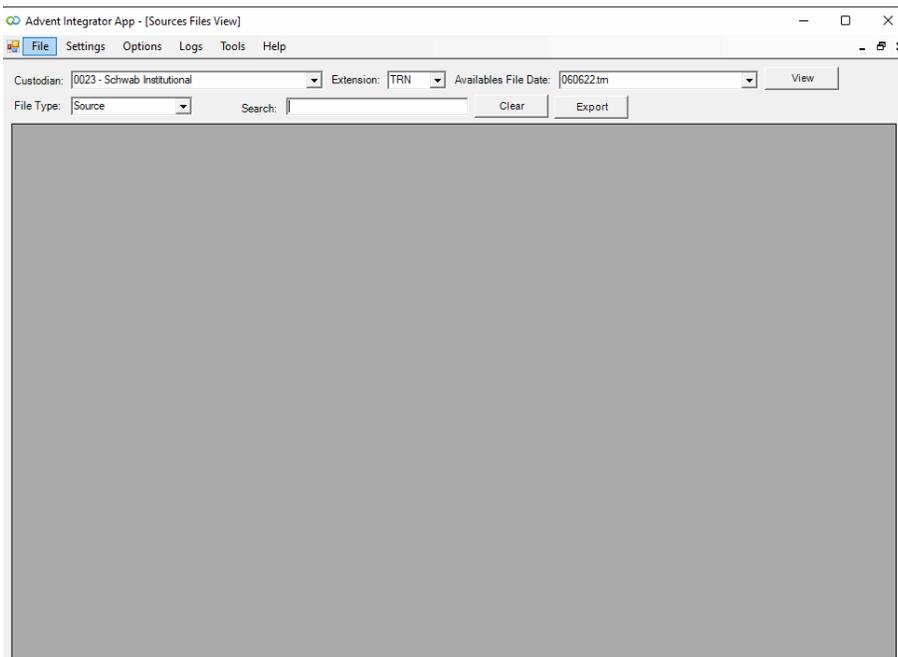
Use this feature with caution and always backup your accounts before using this feature.

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View Files



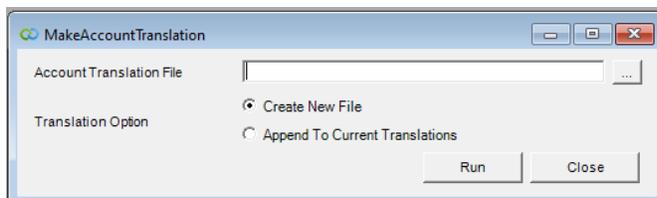
This feature allows you to view the contents of any Source file, Import or Archive file in AIA currently in the specified Folder.

By default, typing at least four characters in the Search bar automatically filters the file by only showing entries that match what you typed. If you're searching for details with less than four characters (e.g. BY or SL), type it in the Search bar and click the View button.

Upload Custom Transactions

This is used to import a custom set of data by the client. It will upload .trn files that exist in the AIA System Folder to the WealthTechs SFTP User System Folder. This process can be automated. For more information on this option, contact your AIA Support team.

Make Account Translation



This feature converts the DataPort account translations into AIA account translations. May also be used when converting from Axys to APX. This option makes setting up AIA from DataPort easier and faster.

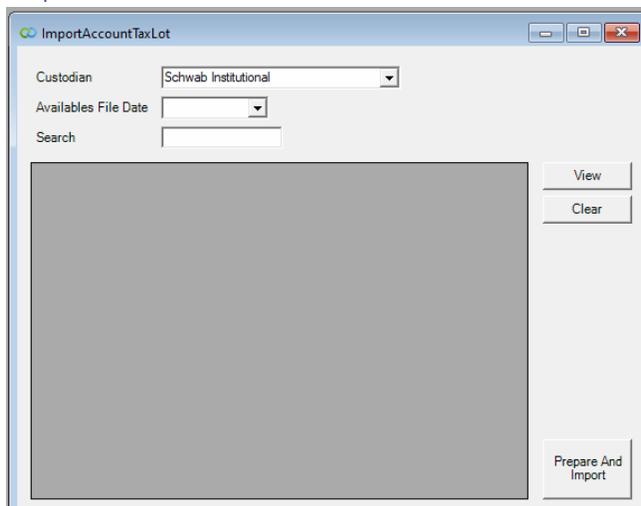
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AIA User Manual for APX Users

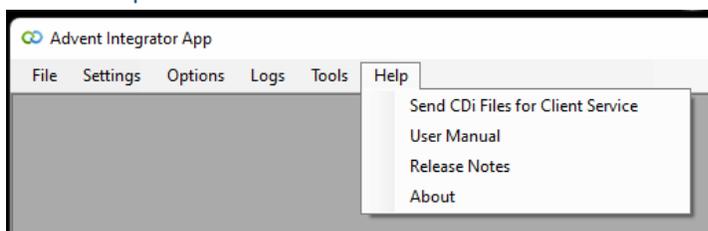
This is an import feature using a .csv file. For more information on this option, contact your AIA Support team.

Import Account Tax Lots



Used to import a custom Tax Lot from the custodian. Useful for setting up Initial positions instead of manually entering the “li” initial positions to the trade blotter. Be sure to use .csv file and the correct layout. For more information on the layout, contact your AIA Support team.

AIA Help Menu



Send CDI Files for Client Service

Used to send the clients translations and settings to WealthTechs tech support for diagnosing and troubleshooting. We have left this option here in case there is a failure on the automated sending of the files when AIA is opened.

User Manual

Can review a Digital Copy of this Manual through AIA. This will link to the appropriate AIA User Manual depending on if you are using APX or Axys. The User Manual can be downloaded for your firm's use.

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AIA User Manual for APX Users

Release Notes

This will link to the Release Notes. The Release Notes detail the changes from one version of AIA to the next version since the beginning of this application.

About



Displays information about AIA, such as version, release date and the License registered. To update your License for AIA, you would go here and click on the License button. The new License key will be supplied to you by our Customer Service for AIA. See: [Updating AIA License](#)

Additional Use Cases

Reconciliation – Setup Instructions and training available.

Each day, the custodian downloads a master position file which lists all current holdings of each account with market value and quantity. This file is used to create POS files in Advent, which are then used by the AIA Reconciliation report to compare calculated positions in Advent versus downloaded positions from the custodian; and display any positions that are not equal between the custodian and Advent. Therefore, to ensure the data imported from the custodian is correct, you will need to run a reconciliation report. WealthTechs has 2 reconciliation reports, one will display on the Axyx Report screen and the other will export directly to Excel.

Compare Tool – Downloadable software with User Manual, training available

This tool is used to help replace the prior Custodian Data Interface, i.e., DataPort, with the WealthTechs AIA interface. Compare Tool is a desktop app that shows two grids, on the left side the data that is currently being posted and on the right side the data that will be posted using AIA. The middle column is a Result column that can provide five results: Perfect, Tolerance, Partial, ACD Only and WealthTechs Only. The manual is available: [CompareToolUserManual/v5.1.pdf](#)

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AIA User Manual for APX Users

Scripting & Timer – User Manual available, training available

AIA can automate daily process using the scripts. Scripting will enable all AIA users to automate and simplify their morning process by having the files available upon their arrival to the office. The manual is available: [AIAScriptingUserManual/v5.0.pdf](#)

NBIN Customer Duplicate Removal Holdings Report Setup (CDIhold.rep) – May Not Apply to your firm

NBIN source files have duplicate price and position data for all Interlisted securities. To remove the duplicates, AIA must read APX holdings as of the date of data file and remove unnecessary duplicate holdings and prices from the .pos and .pri source files.

Current date data files can be read from APX SQL; however historical data loading requires the use of a report to calculate holdings. To do this, WealthTechs will provide you with the CDIhold.rep report. Add this to your custom report menu in APX and add the custom label “\$pathCDI” to APX>Admin>Global Settings>Configurations screen and map to a path on your network.

After this, map the path on your network to the AIA>Settings>Global Settings>Advanced>Holdings Extract Folder (h.CDI) field. On the AIA Settings>Advanced>Process>Interlisted Dupe, then select PC Based and enter the holdings extract group, typically cdirecon.

Updating AIA License

For security reasons, the AIA license will require renewing annually. You will be notified about a week in advance of the license expiring. Email data@wealthtechs.com and support will reach out to you and assist in updating your license. See Video in Appendix B.

Updating to Most Recent Version of AIA

Any time that AIA is started, it automatically checks to see if you have the latest version. If you have the latest version, you will see a notice on the bottom of the AIA screen “Updates Information: You are using the most recent AIA Version. However, if you need to update to a new version, AIA will automatically download the newest version once AIA is closed or the scripting process is complete.

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AIA User Manual for APX Users

Appendix

Additional User Manual Links:

AIA Scripting User Manual: [AIAScriptingUserManual/v5.0.pdf](#)

AIA Carve Out Utility/Sleeve Adjustments Manual: [CarveOutUtility-SleeveAdjustmentsManual/v1.0.pdf](#)

AIA Compare Tool Manual: [CompareToolUserManual/v5.1.pdf](#)

Instructional Videos:

AIA Installation: https://youtu.be/y_6VG8SZhWg

AIA Daily Process: <https://youtu.be/AZTKodFsKgA>

AIA Daily Process Script: https://youtu.be/_lp_v7gzTKo

AIA Task Scheduler: https://youtu.be/WBsF_IYn4Lw

AIA License Update: <https://youtu.be/X2iG9dFwJJ4>

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