Advent Integrator App (AIA) User Manual
For Axys Users V2

The AIA is published and supported by:

WealthTechs Inc.
P.O. Box 681961
Park City, Utah 84068
435.631.0423
www.wealthtechs.com

Prepared by: Christopher D. Casey
Last Revision: Thursday, March 23, 2023

WealthTechs

AIA User Manual for Axys Users

Contents

Introduction To AIA 5

Rebranding 5

Obtaining Customer Support from WealthTechs AIA Team 5

Release Notes for AIA 3.1 5

Pre-Installation Questionnaire 5

- Network & Database Questions 5
- Email Server Questions 6

Installing AIA 6

Starting AIA 9

User Specific Settings 10

AIA File Menu – Daily Processing 11

- Download Custodian Data 11
- Custodian Data to Process 13
- Pending Data to Process 14
- Validate Custodian Accounts 15
- Validate Custodian Vehicles 15
- Prepare and Import Accounts 16
- Prepare Custodian Data 16
- Import Custodian Data 16

AIA Settings Menu 16

- Settings – Global Settings 16
- Settings – Global Settings - Advanced – Folder Settings 17
- Settings – Global Settings Advanced – Process Settings – General 18
- Settings – Global Settings – Advanced – Process Settings – Case Settings 19
- Settings – Global Settings Advanced – Process Settings – Transactions 20
- Settings – Global Settings - Advanced – Process Settings – Original Cost 23
- Settings – Global Settings Advanced – Process Settings – Original Face 24

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

Settings – Global Settings Advanced – Process Settings – Withholding Tax Logic 24
Settings – Global Settings Advanced – Process Settings – Positions 25
Settings – Global Settings Advanced – Process Settings – Pricing 26
Settings – Global Settings Advanced – Process Settings – Vehicles 27
Settings – Global Settings Advanced – Process Settings – Interlisted Dupe 28
Settings – Global Settings Advanced – Process Settings – FX 29
Settings – Global Settings Advanced – SMTP Settings 29
Settings – Multi Custodian Settings 29
AIA Options Menu 30
AIA Logical Order 30
Account Skip Logic 31
Transaction Translation 33
Vehicle Filter 34
Account Filter 34
Vehicle Translation 35
Account Import Translations 36
Account Translation 37
Manual Vehicle Pricing 37
Post Translation Transaction Translation 38
Post Translation Position Translation 39
Post Translation Price Translation 40
Vehicle Importing Translations 41
FX Filter 43
AIA Logs Menu 43
CDI Process Log 44
CDI Process History Log 44
Advent IMEX Log 45
Advent IMEX History log 45
AIA Tools Menu 46

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

Delete all Positions 46
Cancel Transactions 46
View Files 47
Upload Custom Transactions 47
Make Account Translation 488
Import Account Tax Lots 48
AIA Help Menu 48
Send AIA Files for Client Service 48
User Manual 48
Release Notes 48
About 49
Additional Use Cases 49
Reconciliation – Setup Instructions and training available. 49
Compare Tool – Downloadable software with User Manual, training available 49
Scripting & Timer – User Manual available, training available 49
NBIN Customer Duplicate Removal Holdings Report Setup (CDIhold.rep) – May Not Apply to your firm 50
Updating AIA License 50
Updating to Most Recent Version of AIA 50
Appendix 51
Additional User Manual Links: 51
Instructional Videos: 51

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

WealthTechs

AIA User Manual for Axys 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 Bugs 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

Pre-Installation Questionnaire

The following questionnaire will help your firm and WealthTechs have a smooth, organized implementation process. Your AIA Training/Support Person will assist with completion of these questions.

Network & Database Questions

1. AIA Setup
    a. Single User Local Network
    b. Multiuser Local Network
    c. Remote – install on a server, all users access through Remote Desktop or a Virtual Machine running Citrix or VM Ware
2. Axys Folder – this is where the Axys app is installed

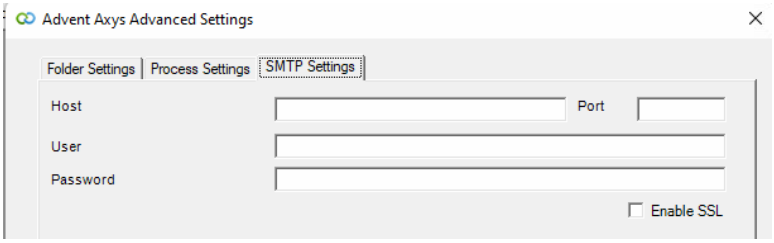
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

3. Global IMEX History Log Folder – this is where Axys writes the log that captures info on all the data imported and exported
4. Axys Server – this is the name of the server where Axys is installed

Email Server Questions

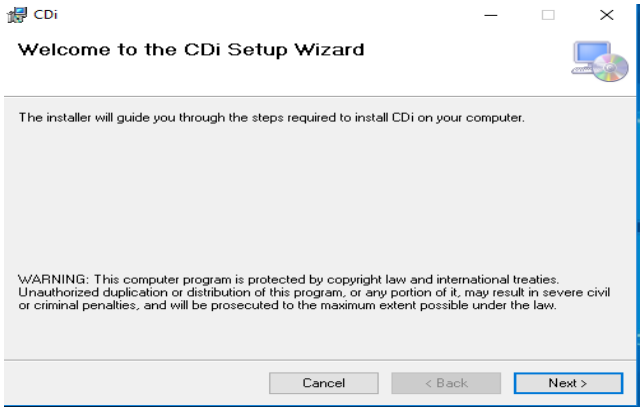
We use this information to send notifications, to send the AIA Process Logs, to an email address or distribution group if you have AIA setup on a script to run unattended.



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.

Installing AIA

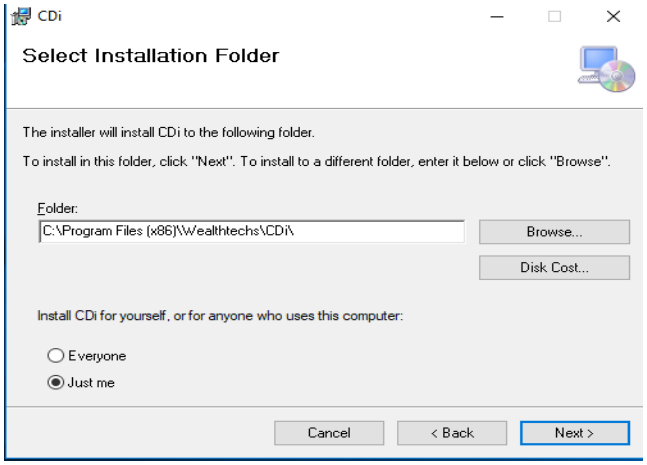
1. Before installation, contact WealthTechs Customer Service to schedule an online installation meeting via email data@wealthtechs.com.
2. Your online installation customer service rep will help you with the following steps:
    a. Double click the installer provided by WealthTechs. This dialog box will appear, then click the Next button:



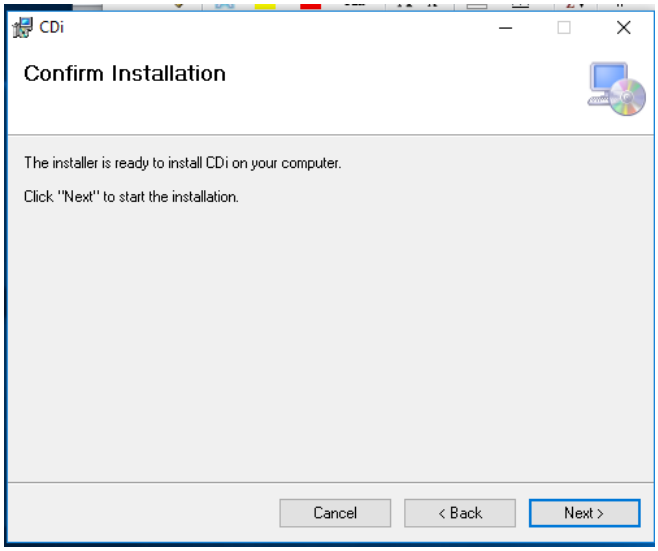
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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.



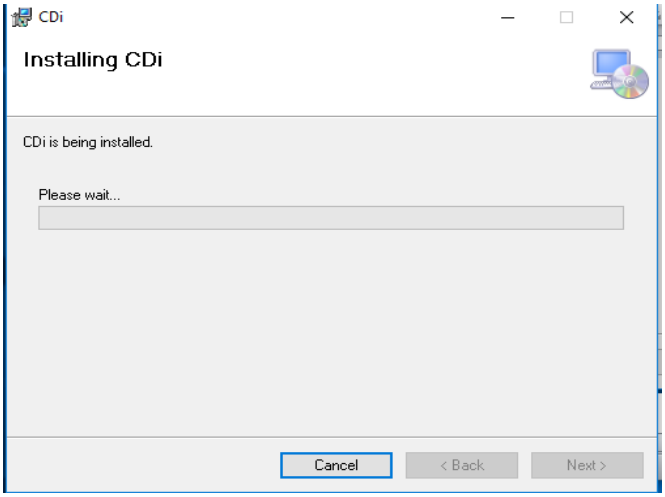
c. This brings the next dialog box showing AIA is ready to install. Click Next.



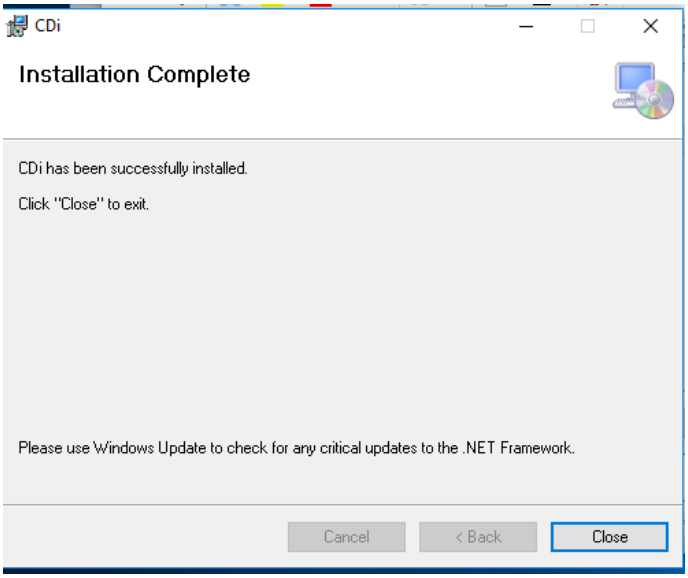
d. The next dialog box that will be displayed shows the progress of the AIA installation:

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



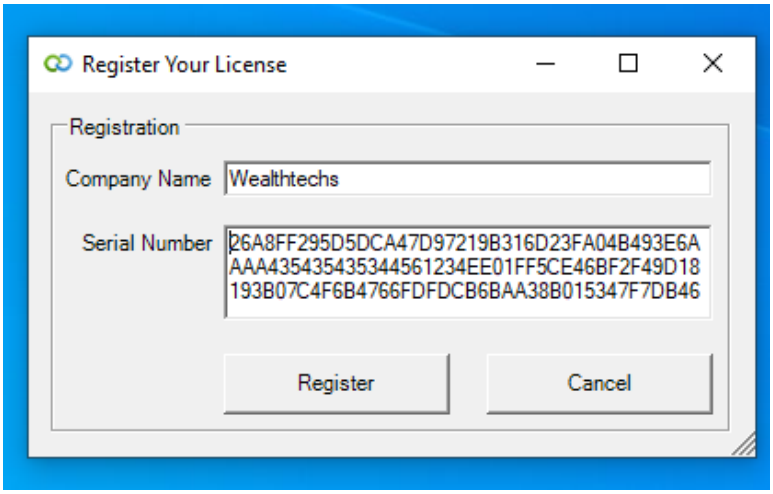
e. When the AIA installation is complete, this dialog box appears, click Close button.



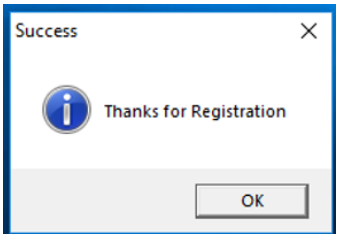
3. After the installation is complete, double click the shortcut icon of AIA found on the desktop. This brings up the Register Your License dialog box and you should enter the Company Name and the Registration Key provided by WealthTechs.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



4. Click Register and a Success message should appear:



5. Click the OK button and the AIA desktop application is ready for use.
6. 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.
7. 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.

Starting AIA

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

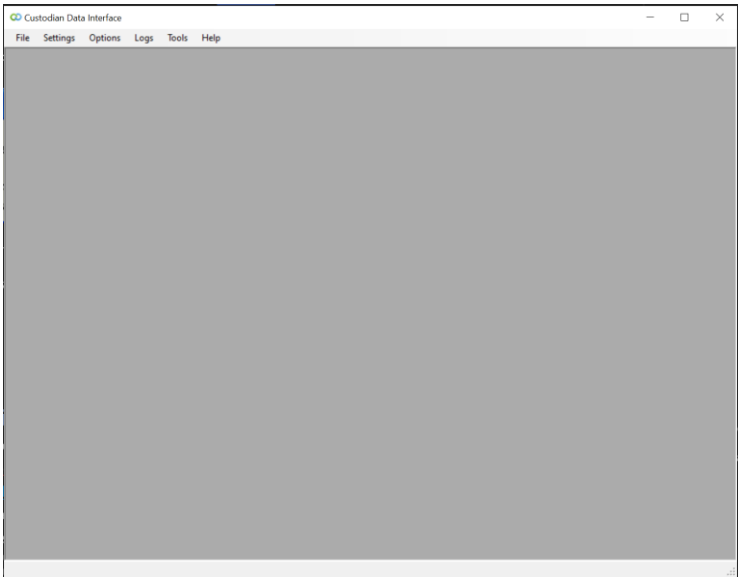
Select your start-up method; when AIA launches the first time, you will be prompted to enter the license Key. The WealthTechs AIA Support Team will provide you with the license key prior to the installation.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

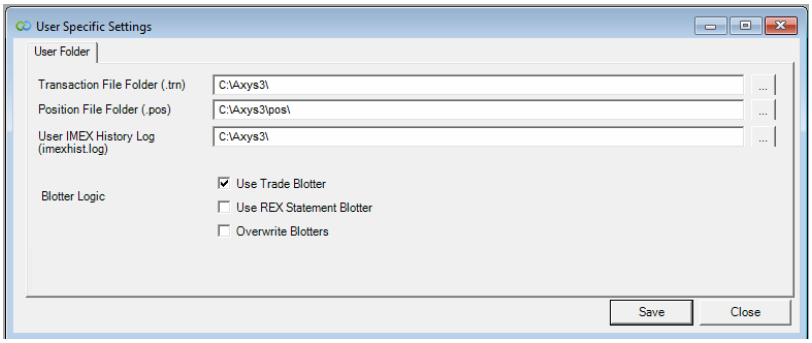
Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys 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.

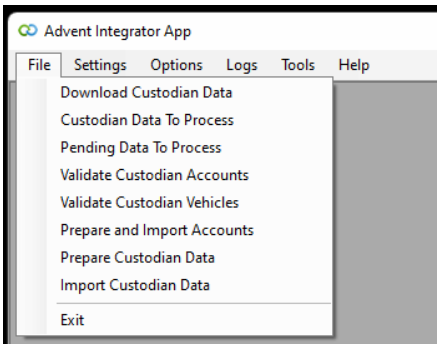
1. Transaction File Folder (.trn) – Enter the location of Axys Transactions folder
2. Position File Folder (.pos) – Enter the location of the Axys Positions folder
3. User IMEX History Log (imexhist.log) – Enter the Location of the Axys History Log
4. Blotter Logic – 3 options, Use Trade Blotter, Use REX Statement Blotter, or Overwrite Blotters

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

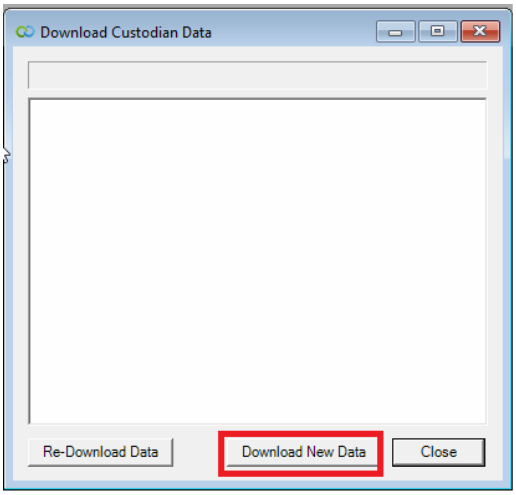
AIA User Manual for Axys Users

AIA File Menu – Daily Processing



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

Download Custodian Data



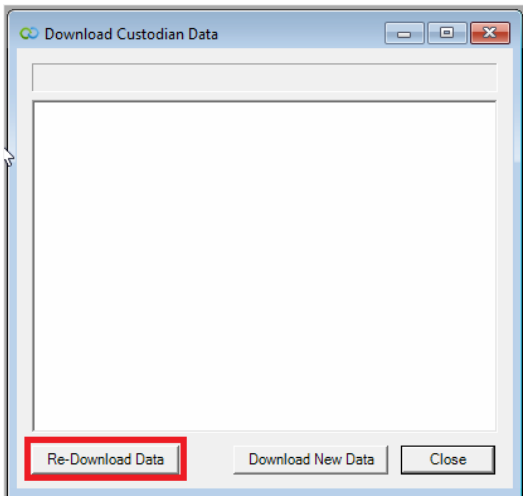
This is used to download all the available data for one or several Custodians at the same time. This can only download new data, any data already downloaded can be found on the “Re-Download” Section, clicking on the Re-Download Button. All the files downloaded that were not processed yet, can be found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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

WealthTechs

AIA User Manual for Axys Users

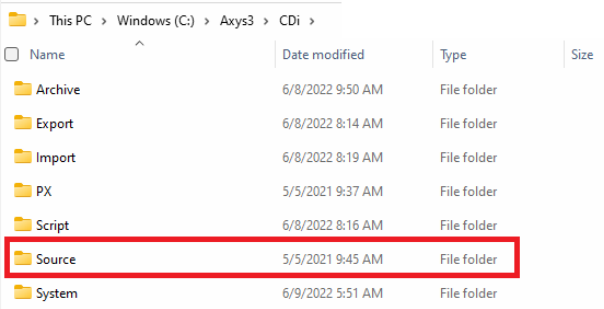


Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

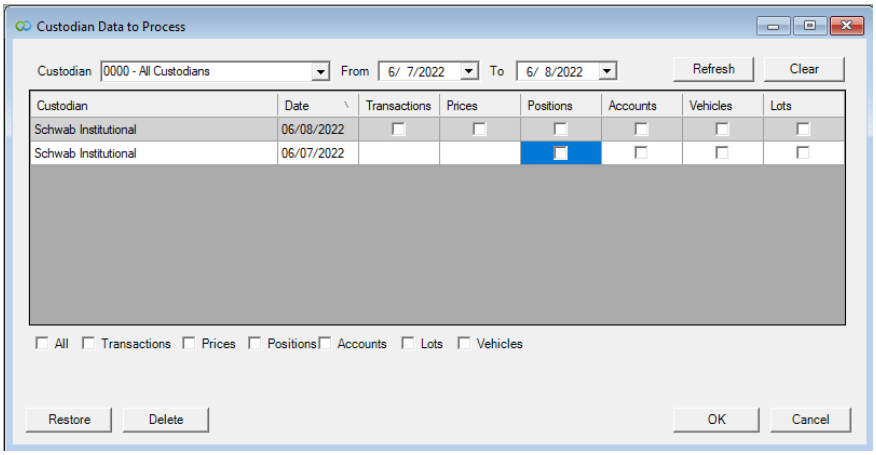
Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

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



Custodian Data to Process

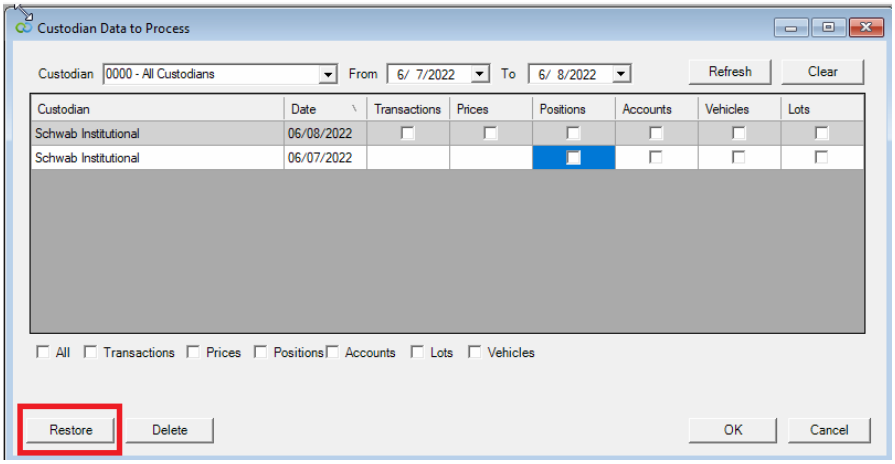


The feature allows you to select and prepare all files available or any specific file from any specific custodians available in the grid.

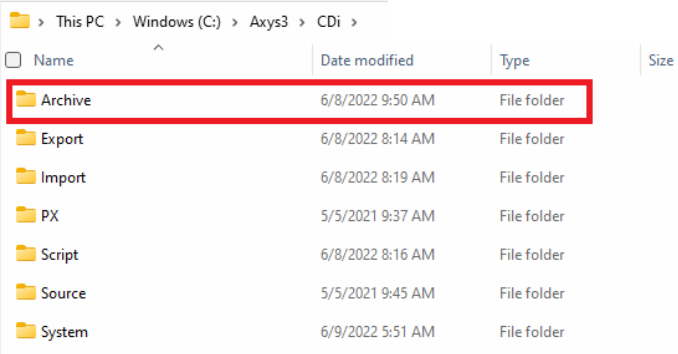
Files Processed can be easily restored and being re processed clicking on the Restore Button.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



All the files processed can be found in the AIA Archive folder.

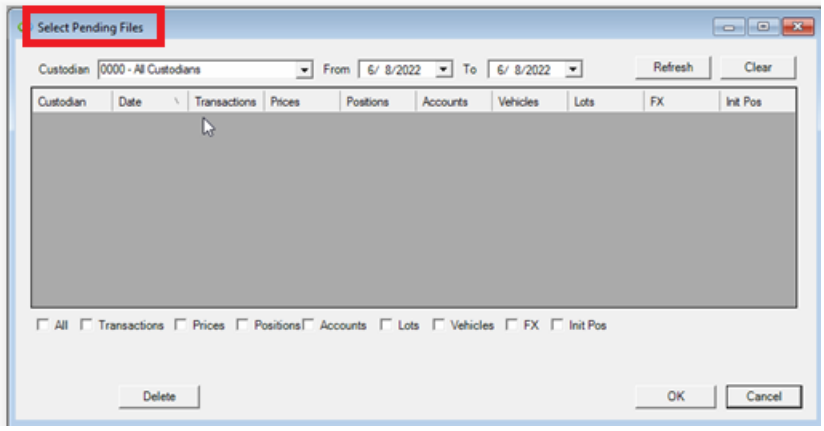


Pending Data to Process

Any accounts or vehicles not found during the validation processes below 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 Axys, the Pending Data to Process File can be processed.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

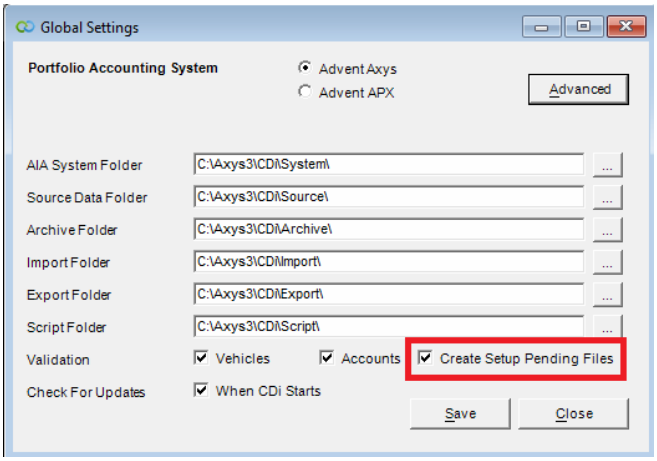
Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



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 if the Custodian Account Numbers, and their respective translations exist in Axys 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 Axys. When 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.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 require further set up on Axys.

Prepare Custodian Data

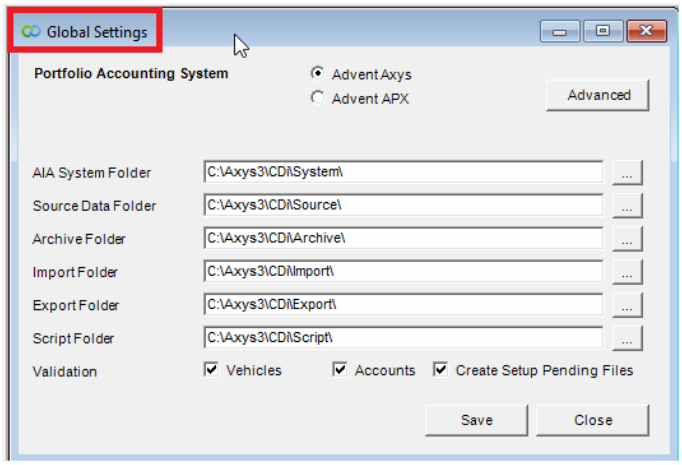
The feature will prepare the selected set of Data for processing by applying all the Translations and Filters set up previously on AIA, this will create a file ready for import into Axys with proper format.

Import Custodian Data

The feature will select the data prepared on the previous step and will import the data into their respective blotters. 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.

AIA Settings Menu

Settings – Global Settings



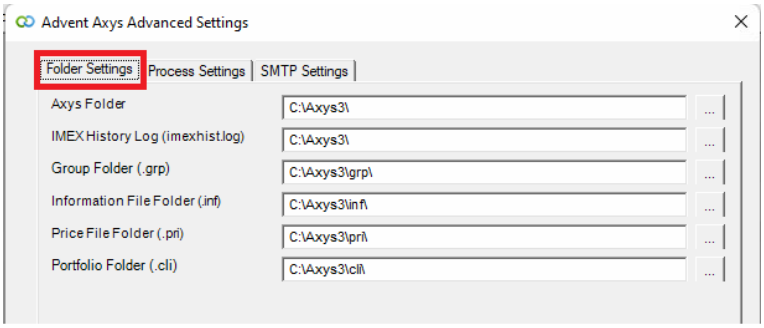
1. Portfolio Management System – choose Advent Axys
2. AIA System Folder – stores all AIA logs and translations files. Every time you update AIA this is the folder where you will find the history folder that contains all files related to the previous version.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 Axys 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 Axys: 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. AIAScriptingUserManual/v5.0.pdf
8. Validation – These check boxes will activate the validation screens. Validation compares source files with Axys and lists all vehicles and accounts that exist in the custodian data and do not exist in Axys.
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



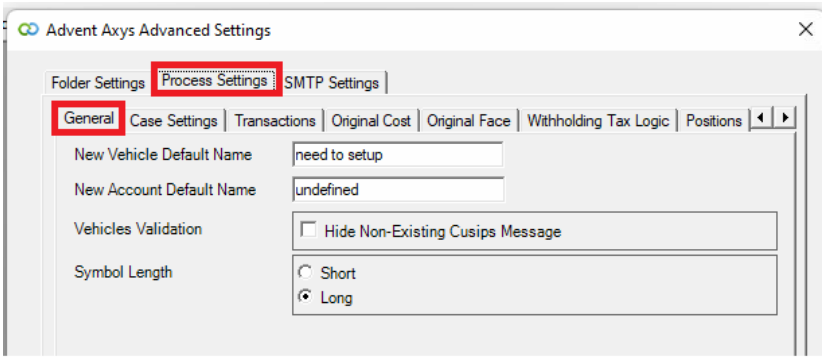
1. Axys Folder – the folder where Axys exists
2. IMEX History Log – the folder where Axys writes to the imexhist.log file.
3. Group Folder (.grp) – the folder where Axys groups are located
4. Information File Folder (.inf) – the folder where Axys information is located
5. Price File Folder (.pri) – the folder where Axys saves price files
6. Portfolio Folder (.cli) – the folder where Axys client portfolios are located.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

Settings – Global Settings Advanced – Process Settings – General



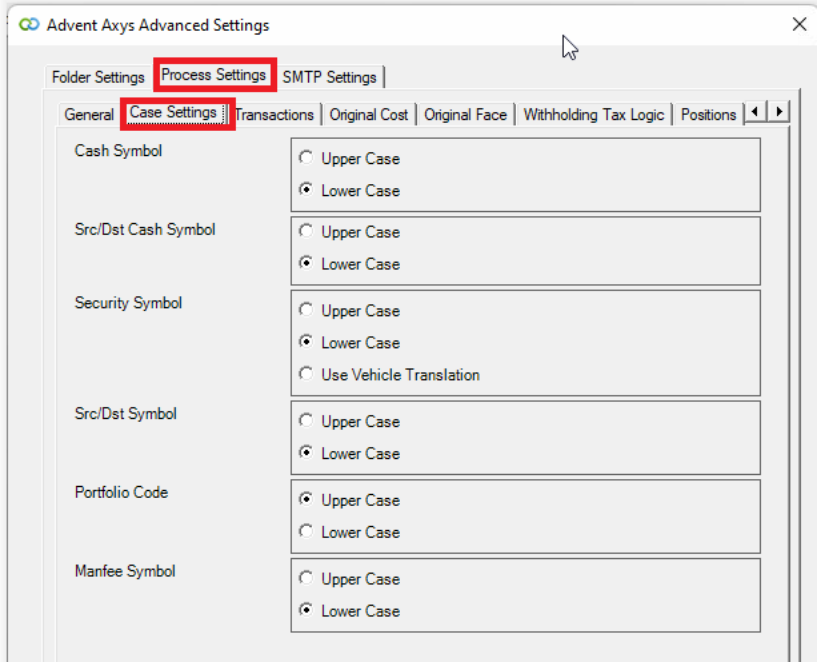
1. New Vehicle Default Name - During Vehicle validation process, AIA can create a new vehicle in Axys. AIA currently does not download the name of the vehicle; therefore, the value entered in this field will be imported into Axys as the security name. This field is mandatory and if left blank, it will 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 Axys. AIA currently does not download the name of the account for all custodians; therefore, the value entered in this field will be imported into Axys. This field is mandatory and if left blank, it will default to 'undefined'.
3. Vehicles Validation – Checking this box will prevent the message in the Logs that identifies CUSIPs not found from displaying.
4. Symbol Length – select Short or Long Symbols.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

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



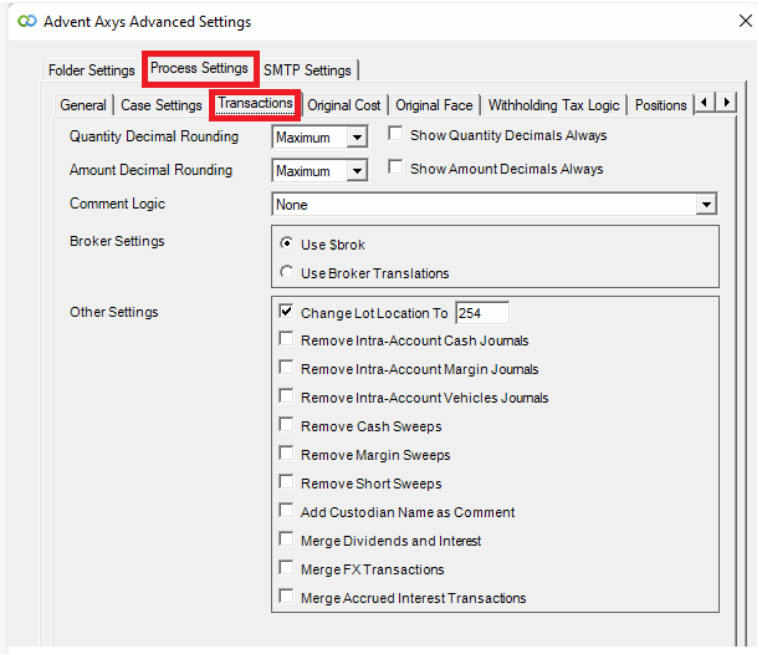
1. Axys does not work well with mixed cases in Symbols or Portfolio Codes. Therefore, it is important to be consistent. Indicate on this screen if the settings are upper or lower case.
2. Case Settings, there are 2 – 3 options for each of the following, Upper Case, Lower Case and for Security Symbol there is also the option of Use Vehicle Translation.
    a. Cash Symbol
    b. Src/Dst Cash Symbol
    c. Security Symbol
    d. Src/Dst Symbol
    e. Portfolio Code
    f. Manfee Symbol

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

Settings – Global Settings Advanced – Process Settings – Transactions



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 Quantity Decimals Always is checked, this will force two decimal place quantities.
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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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.

4. Broker Settings
    a. Use $brok - this option writes $brok to the broker rep field defined in the .cli file in the transaction blotter
    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 Axys. 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.
    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). 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 or awxx and both symbol and sdsymbol is not: margin, short, dvwash, dvshrt, dvlong, cashrt, calong, income. The logic for removing intra-account journals for li>lo, ti>to, si>so, tr>ts is: both transactions have the same trade date, account, amount and quantity, and type is caxx and symbol is not: margin, short, dvwash, dvshrt, dvlong, 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 Margin Journals – allows the removal of mark to market journals
    d. Remove Intra-Account Vehicle Journals - same logic as Cash Journals.

        Example:
        ACCTX,010117,LI,100,14000,CSUS,AAPL

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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

e. Remove Cash Sweeps Transactions - 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, dvlong, cashrt, calong, income.

   Example:
   DP,CAUS,CASH,CAUS,MMF

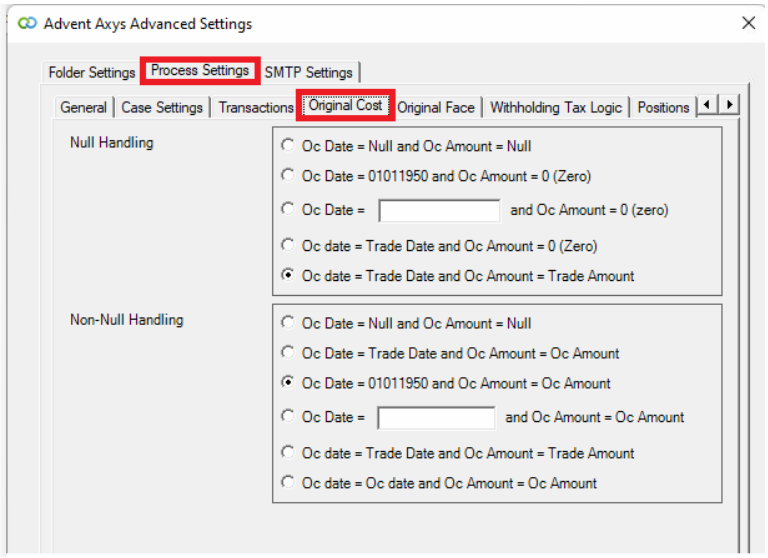
f. Remove Margin Cash Sweep Transactions - Same as “Remove Cash Sweeps Transactions” for margin cash transactions.
g. Remove Short Cash Sweep Transactions - Same as “Remove Cash Sweeps Transactions” for short cash transactions.
h. Add Custodian Name as Comment – this option adds the name of the custodian to the comment in the transactions, this should be dependent on the Comment Logic. When you pick transactions files for more than one custodian and import 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.
i. 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.
j. Merge FX Transactions – this option will merge multiple entries for portfolios with multiple FX transactions for the same currency into one entry.
k. Merge Accrued Interest Transactions – this option will merge multiple accrued interest transactions for multiple trades for one portfolio into one transaction.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys 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:

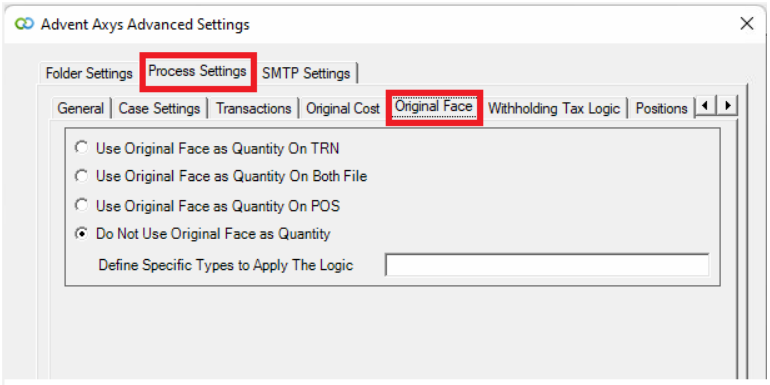
1. Null Handling – these are the options when both or part of the Original Cost Date and Original Cost fields are not received from the custodian, i.e., no cost basis information.
2. Non-Null Handling - these are the options when the Original Cost Date is NOT received, and Original Cost IS received.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

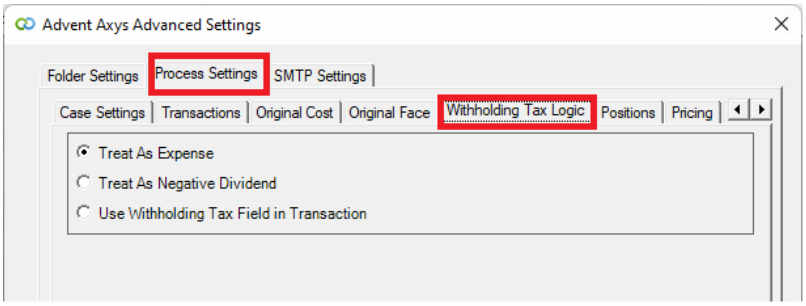
Settings – Global Settings Advanced – Process Settings – Original Face



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. 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.

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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 Dividend - WHT transaction will import as a negative dividend or interest payment.

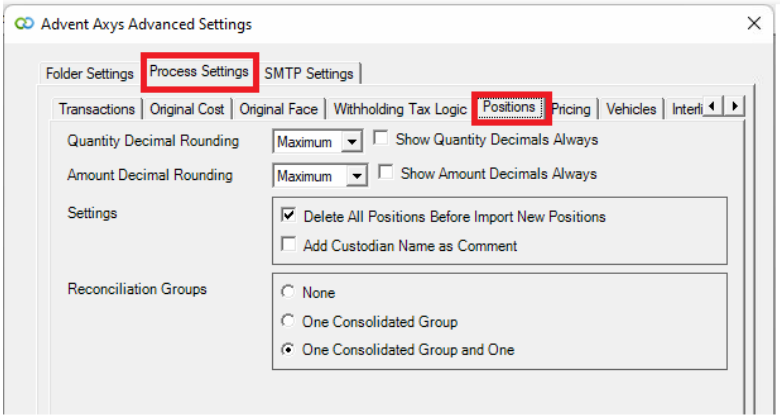
   Example:
   acctx,dv,csus,aapl,060122,060122,1,2.50,caus,cash
   acctx,dv,csus,aapl,060122,060122,1,-0.10,caus,cash

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



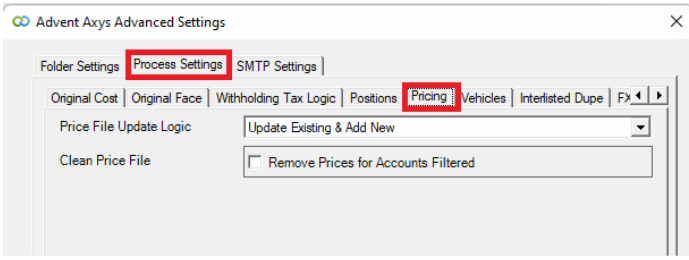
1. Quantity Decimal Rounding – this option allows you to truncate the decimals in the quantity field in positions and transactions. The AIA default is 6 decimals. If the Show Quantity Decimals Always is checked, this will force two decimal place quantities.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 Importing New Positions – prior to importing current data into AIA, this option automatically deletes custodian holdings, i.e., positions in Axys only accounts that exist in the current position files being processed in AIA. Cool Tool: if you want to delete all positions in Axys, go to Tools>Delete All>Positions, this tool will delete all positions in Axys for all Axys accounts.
    b. Add Custodian Name as Comment – this adds a comment transaction line under each position stating the custodian.
4. Reconciliation Groups –
    a. None – means there are not any reconciliation groups created by AIA.
    b. One Consolidated Group – this will set up one consolidated group for all accounts, named CDIrecon.grp. 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.)

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 Axys.
    a. Update Existing & Add New – this option updates the prices for any vehicles currently in an Axys price file and adds any new vehicles to price file if they don't exist in Axys
    b. Add New – this option adds any new vehicles to price file if they don't exist in Axys

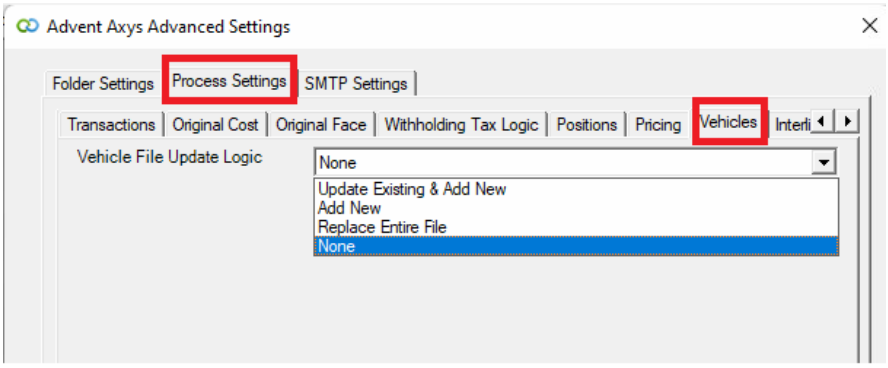
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

c. Replace Entire File – this option deletes any prices currently in Axys and replaces them with the prices in the AIA import file.

2. Clean Price File allows the removal of prices for securities that are only held in filtered accounts.

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 Axys 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:

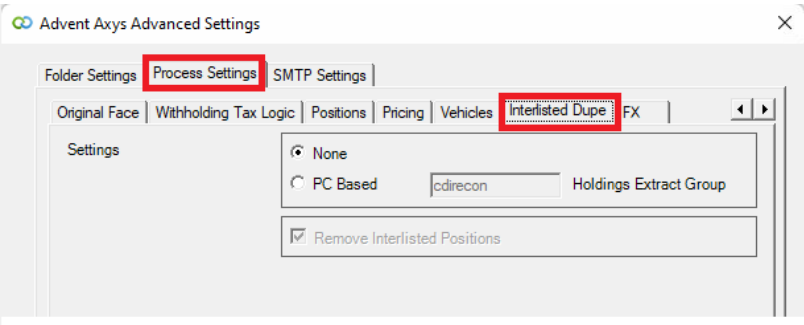
1. Update Existing & Add New – this will update existing securities and add new securities to the .veh file with the information from the custodian selected in the Vehicle Importing Translations. (Imports to Axys).
2. Add New – this will only add new securities with the information from the custodian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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

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 a the CDIhold.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.

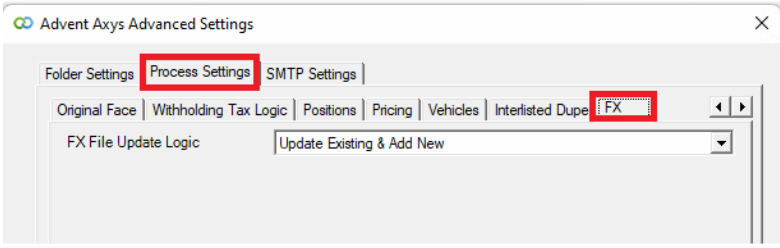
a. None – use this option if you do not use NBIN.
b. PC Based – this is the default and is used by all NBIN customers except one.
    i. Holdings Extract Group – if you choose pc based or server based, AIA needs to know the name of the group to run the CDIhold.rep for.
        1. CDIrecon - The default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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

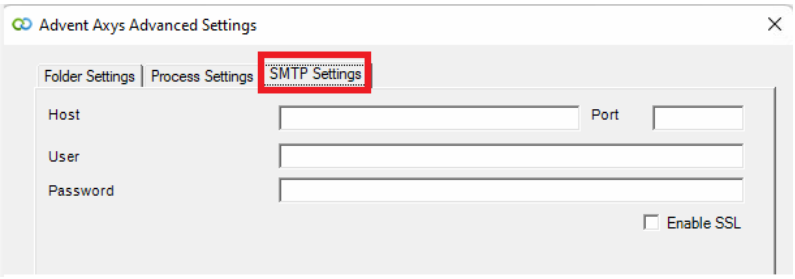
Settings – Global Settings Advanced – Process Settings – FX



FX File Update Logic – you have 3 options how AIA can import FX data factoring in existing data already in Axys.

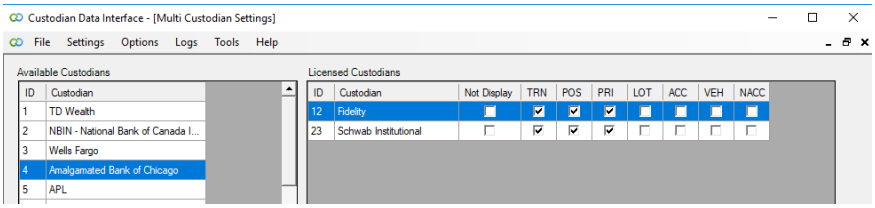
a. Update Existing & Add New – this option updates the FX rates currently in an Axys FX file and adds any new FX Rates if they don't exist in Axys
b. Add New – this option adds any FX rates to the file if they don't exist in Axys
c. Replace Entire File – this option deletes any FX rates currently in Axys and replaces them with the FX Rates in the AIA import file.

Settings – Global Settings Advanced – SMTP Settings



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.

Settings – Multi Custodian Settings

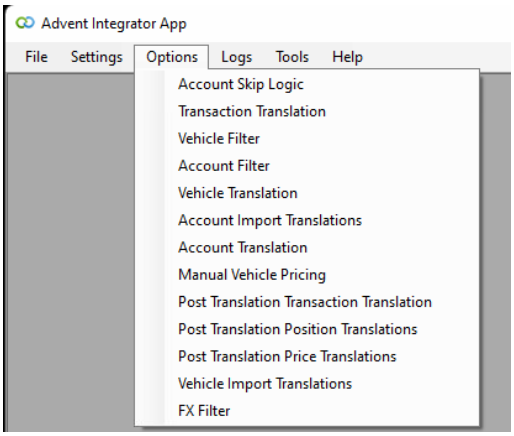


Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 translation to manipulate the data to match what is setup in their version of Axys. 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 Axys. 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 Account Skip Logic, then Transaction Translation, then Vehicle Filter, then Account filter and so on.

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 EQUS,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.

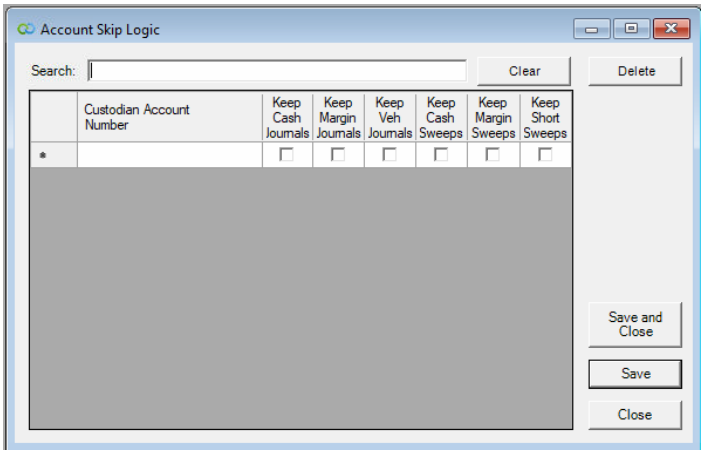
1. Import CDI Groups (Positions)
2. Clean Prices for Accounts in Account Filter (Prices)
3. Remove Pending Records (All Files)
4. Remove Intra-Account Journals (Transactions)
5. Remove Cash Sweeps (Transactions)
6. Withholdings Tax Logic (Transactions)
7. Merge FX Transactions (Transactions)

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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)

Account Skip Logic

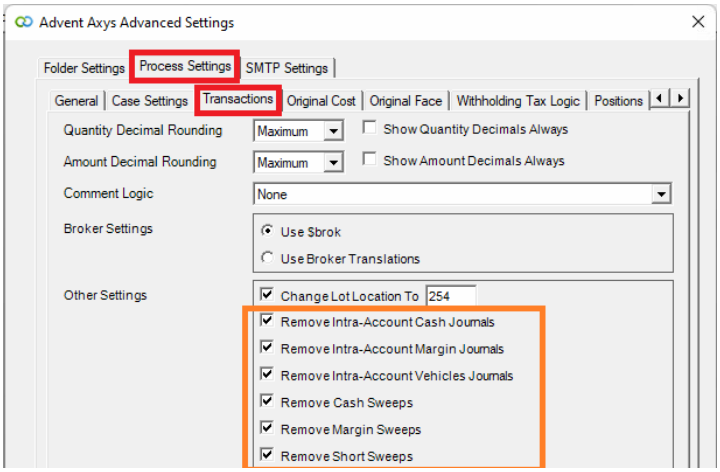


The Account Skip Logic will identify accounts that ignore the Process Settings>Transactions> Other Settings rules established in the Global Settings. It will post the transactions that are checked for specifically identified accounts.

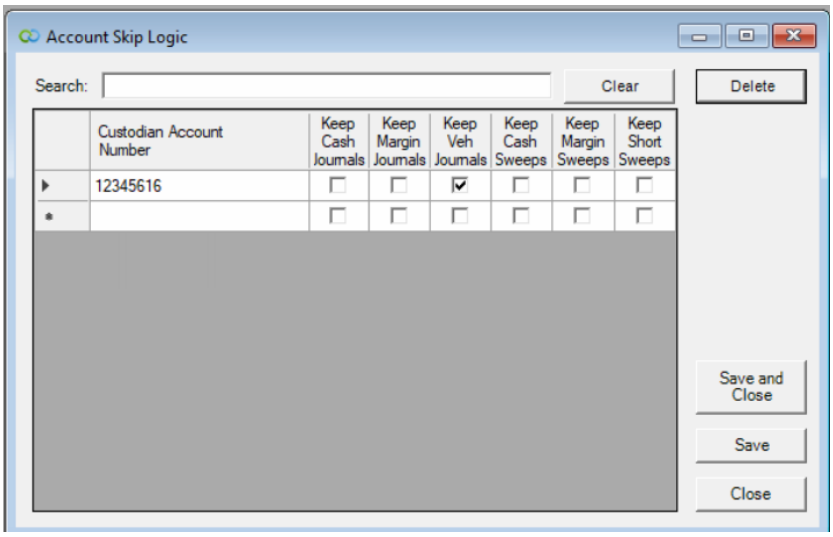
To use this feature, the following settings must be checked:

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



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 all Intr-Account Vehicle Journals to be posted to the account, you would set it as:

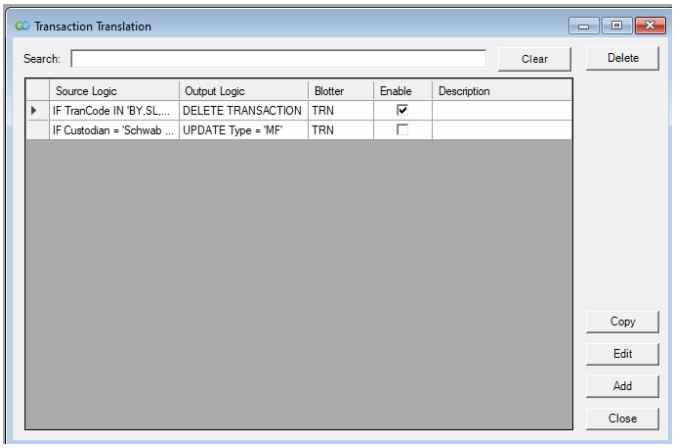


Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

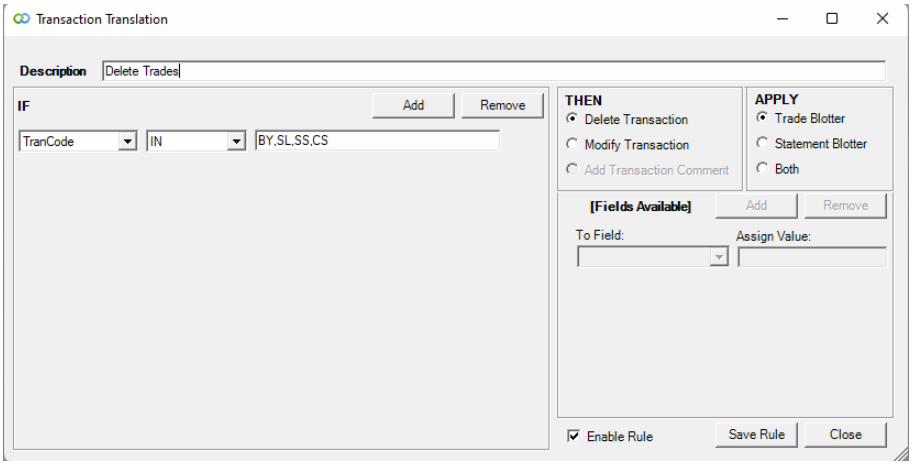
Transaction Translation



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:



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

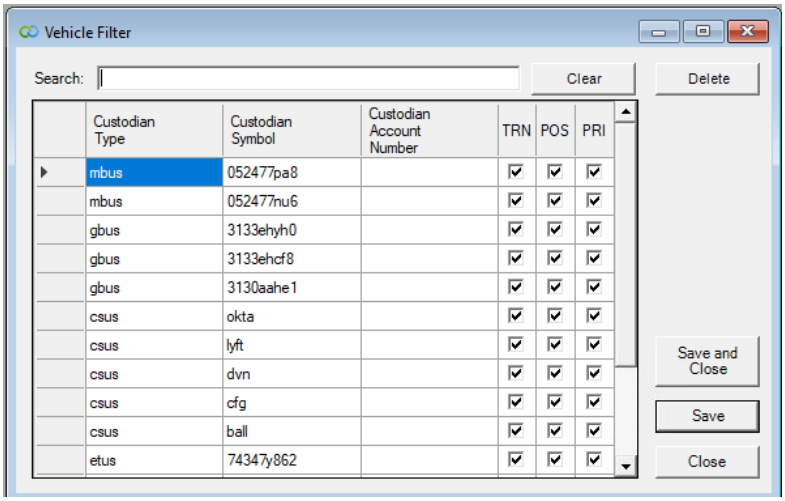
TTs can be as simple or complex as needed and it is always a good idea to give a brief description of the TT in the Description field at the top. The description makes it easier to find if you have many TTs listed.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

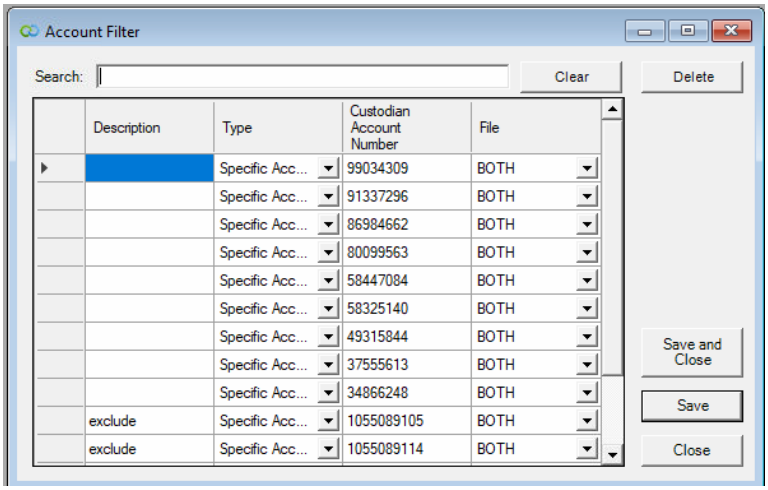
Vehicle Filter



Eliminate transactions, prices, and positions for specific vehicles from appearing in any Axys 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 completing the Custodian Account Number field.

Account Filter



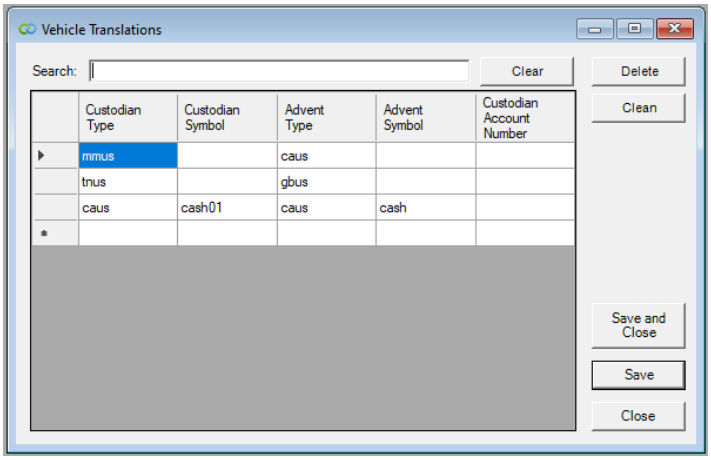
Eliminate transactions, prices, and positions for specific accounts from appearing in Axys. The option to include a Description is also available and may be completed. This is for notes only. Reasons to filter an

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

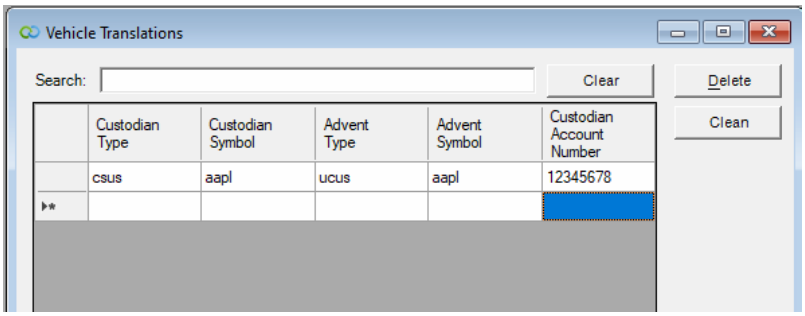
account may include, House Accounts, Closed Accounts, Non-Billable accounts, or any other reason you may not want a specific account data flowing through to Axys.

Vehicle Translation



Translate vehicles to match the vehicles setup in Axys. 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:



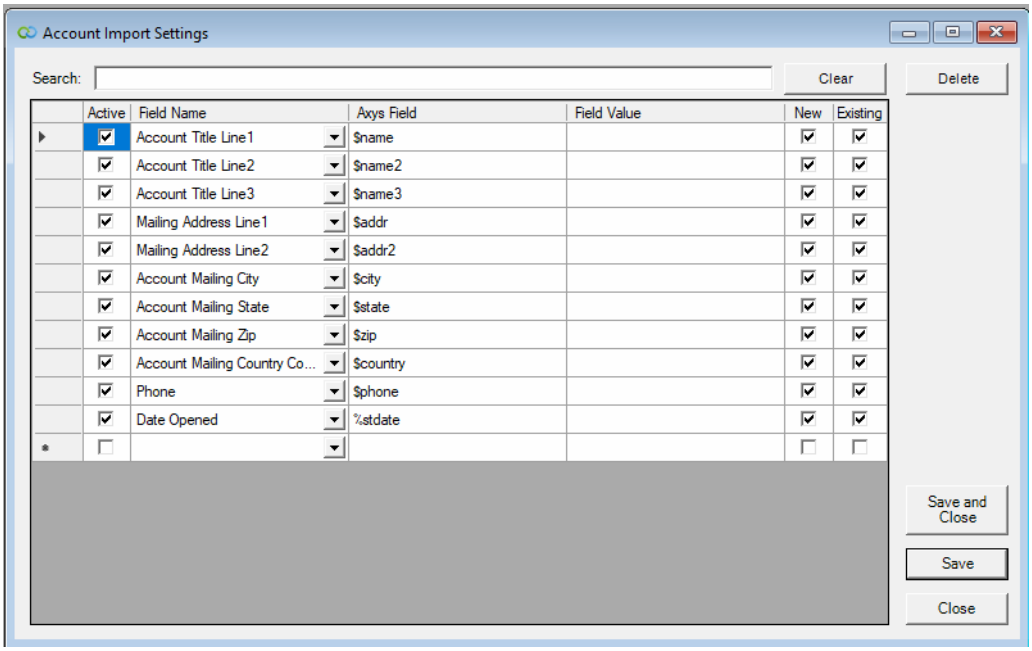
Be sure to enter the Custodian Account Number and not the Axys Portfolio Code. This will code AAPL as an unsupervised vehicle for this specific account.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

Account Import Translations



This translates the custodian account name and address fields to the Axys 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.

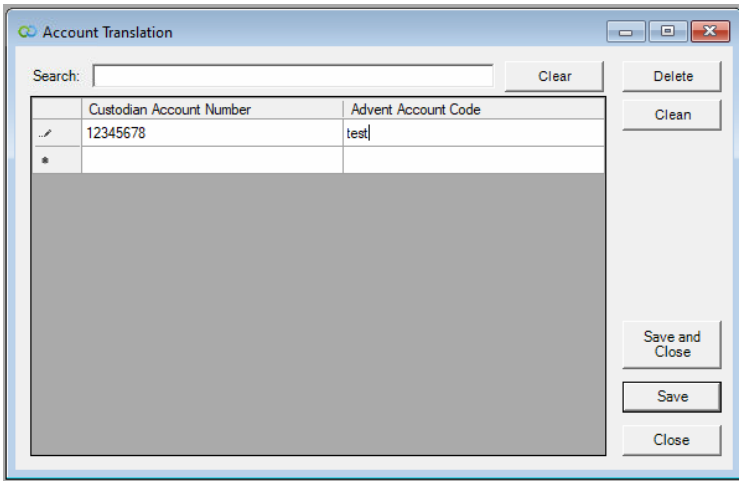
Translate custodian account numbers to match the portfolio codes setup in Axys when manually importing accounts. This will import the custodians' record of the client's full name and address, including country, phone number and start date if these are defined in Axys. This can also be customized to import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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

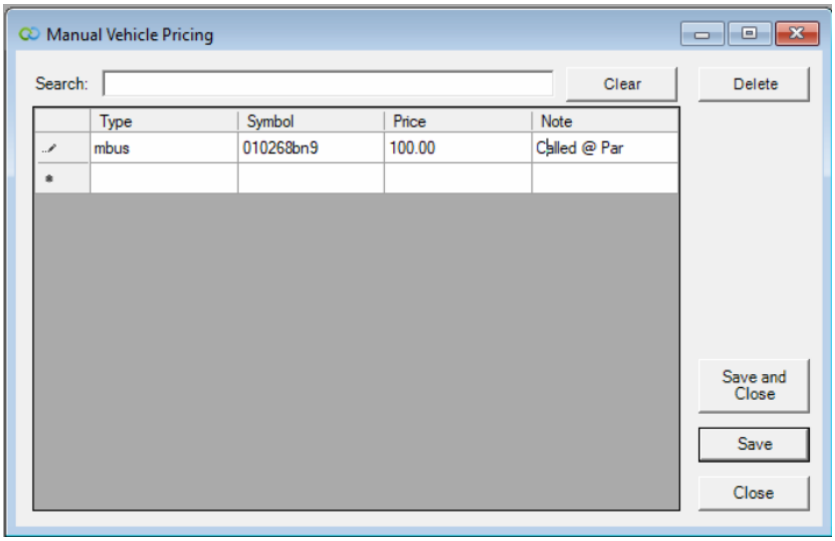
AIA User Manual for Axys Users

Account Translation



Translate custodian account numbers to match the portfolio code setup in Axys. 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 Axys portfolio code. We recommend using the import only during initial setup or initial setup of a new custodian.

Manual Vehicle Pricing



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 Axys but not at a custodian or not priced by the custodian.

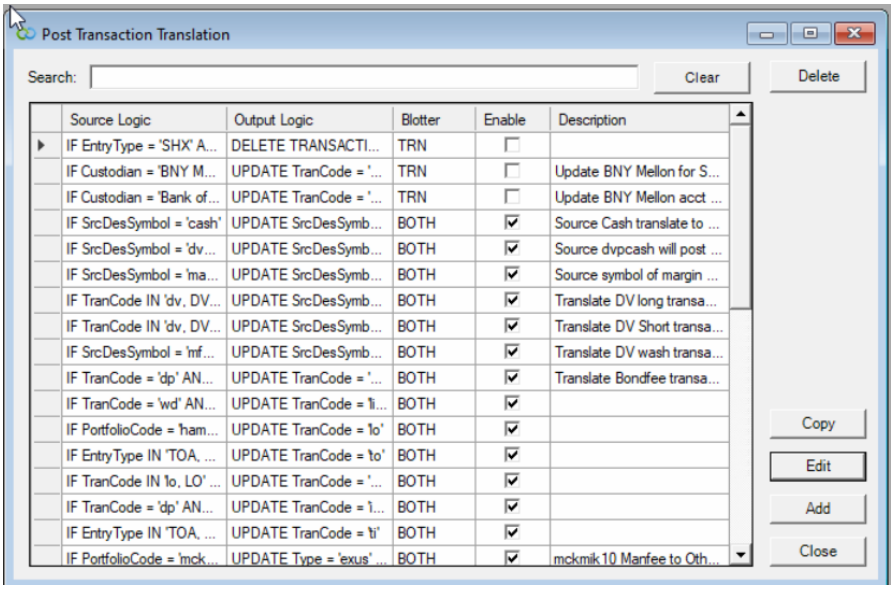
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

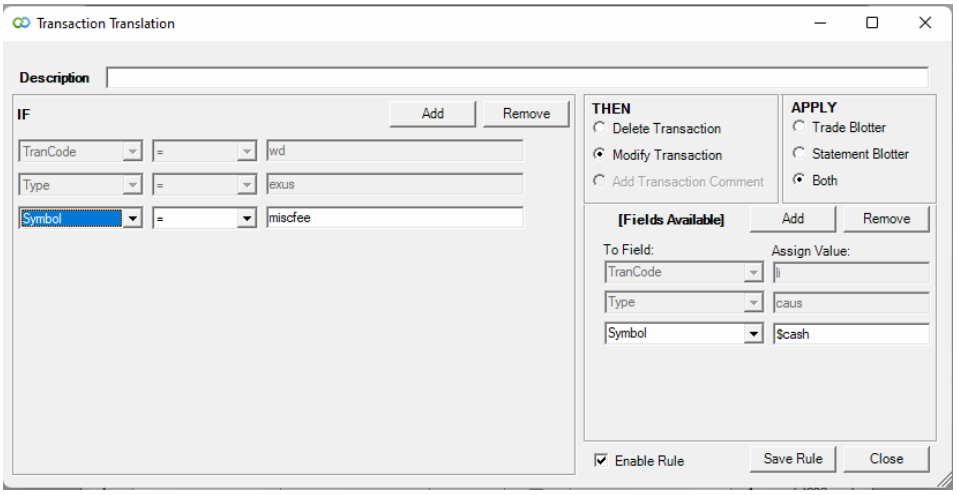
Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 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





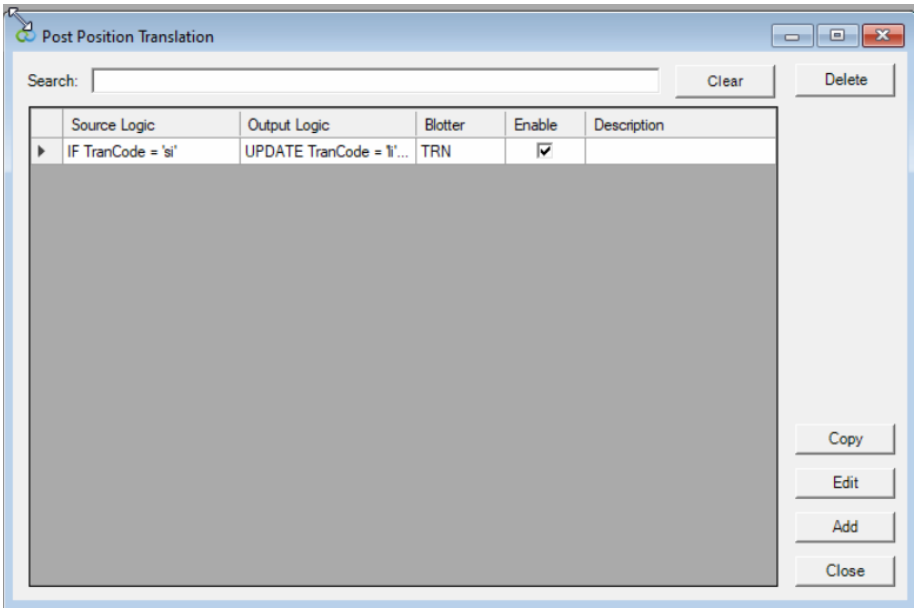
Similar to Transaction Translation, allows you to setup IF>THEN statements for final transaction cleanup before importing into Axys. This is processed after the steps above have been processed.

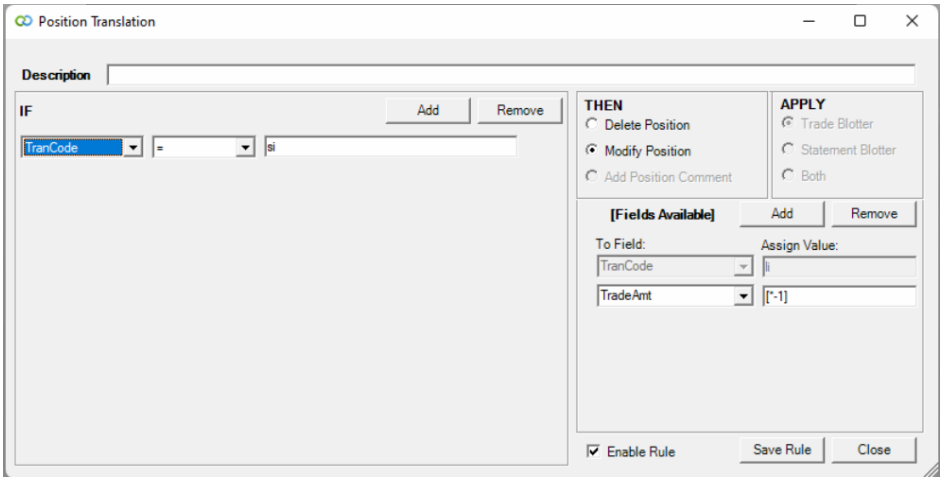
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

In the example above, IF the transaction code equals wd and the type equals exus and the symbol equals miscfee the transaction is being modified to a li caus $cash.

Post Translation Position Translation





Similar to Transaction Translation, allows you to setup IF>THEN statements for final position cleanup before importing into Axys.

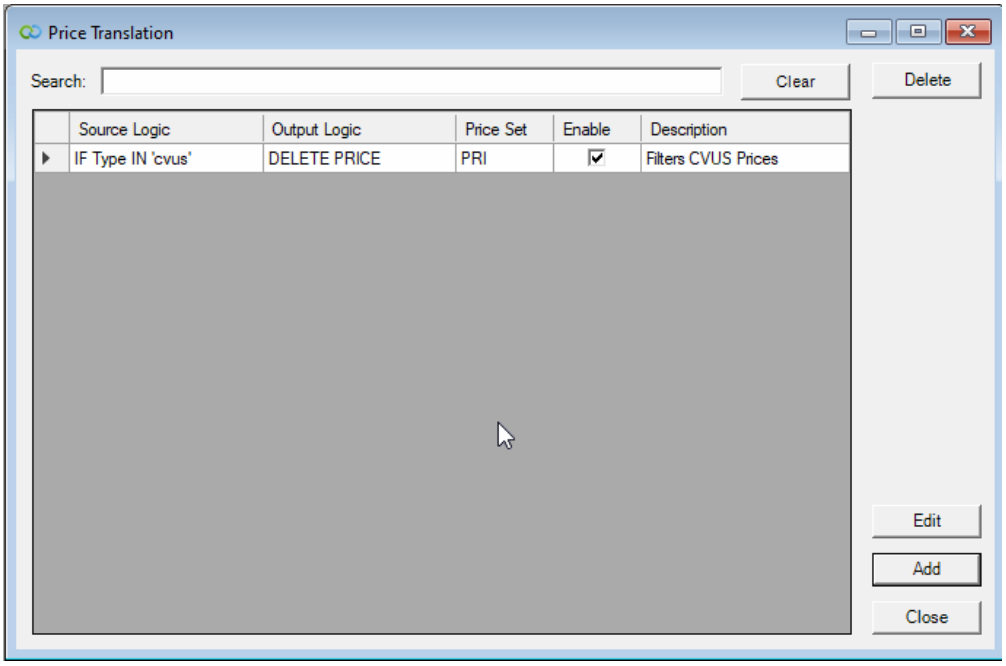
In the example above, if the Position Transaction Code is si, then it is changing it to li and multiplying the value by -1 to make them positive numbers.

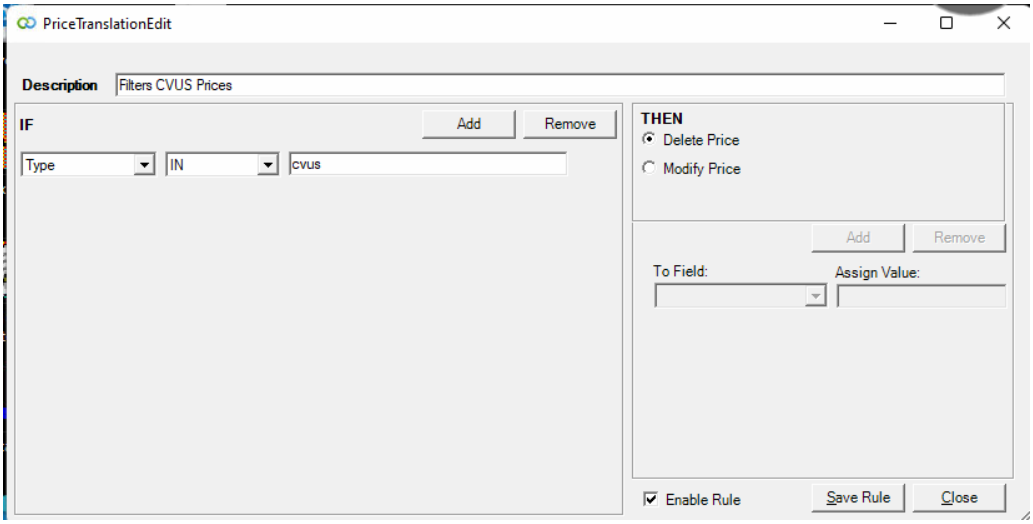
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

Post Translation Price Translation



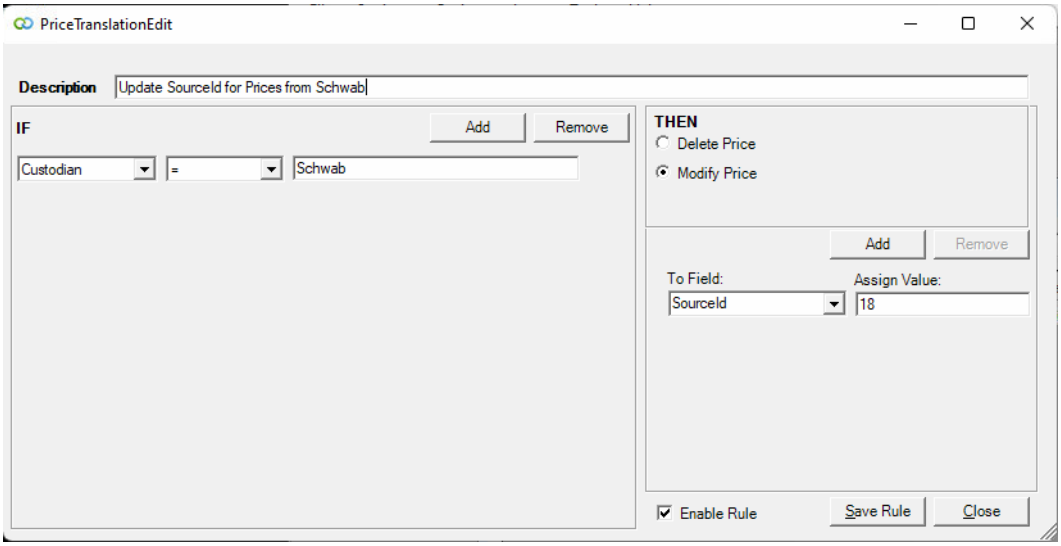


Similar to Post Translation Transaction Translation, this allows the user to translate the prices after already being modified.

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

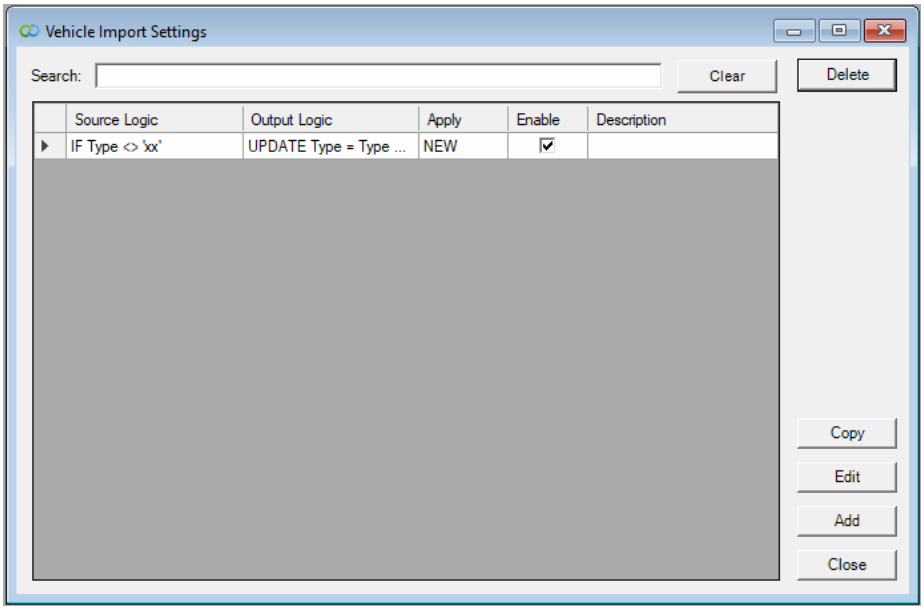
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



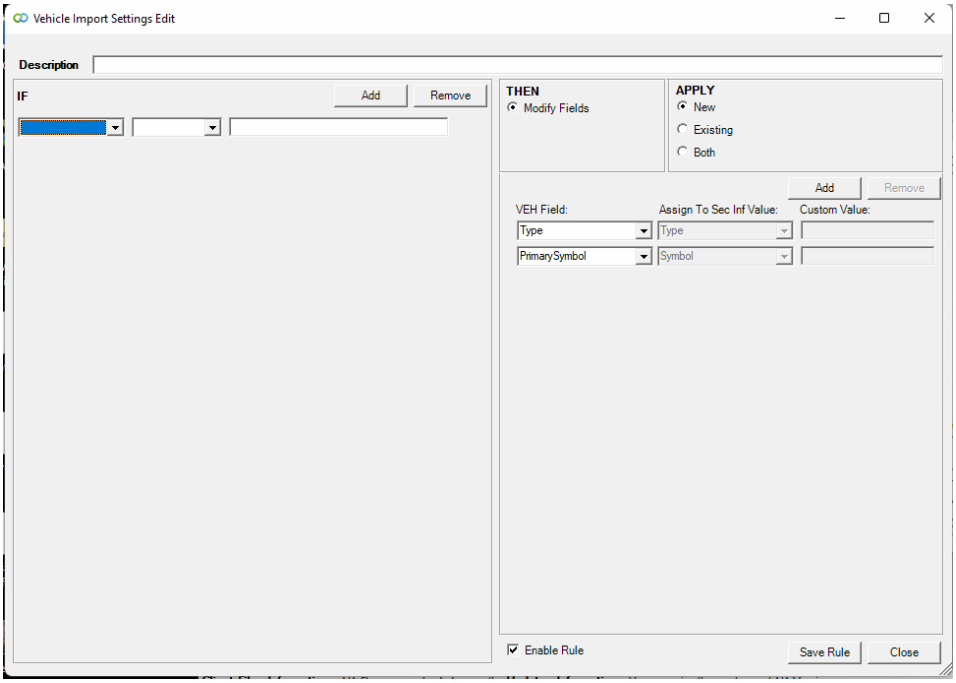
In this example, the prices from Schwab needs to modified to the Source ID to number 18, which is the ID for Schwab in APX. Modifying the SourceId will allow the Axys user to see in the Axys price file under Source Column the name code for Schwab instead of 1 for manual. For more information on this feature, please contact your AIA Support Team.

Vehicle Importing Translations



Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.



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 Axys.
2. Existing, will create security information file using the WealthTech's .veh file from the custodians, that currently exist in Axys.
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 Axys.

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.
In the example above:

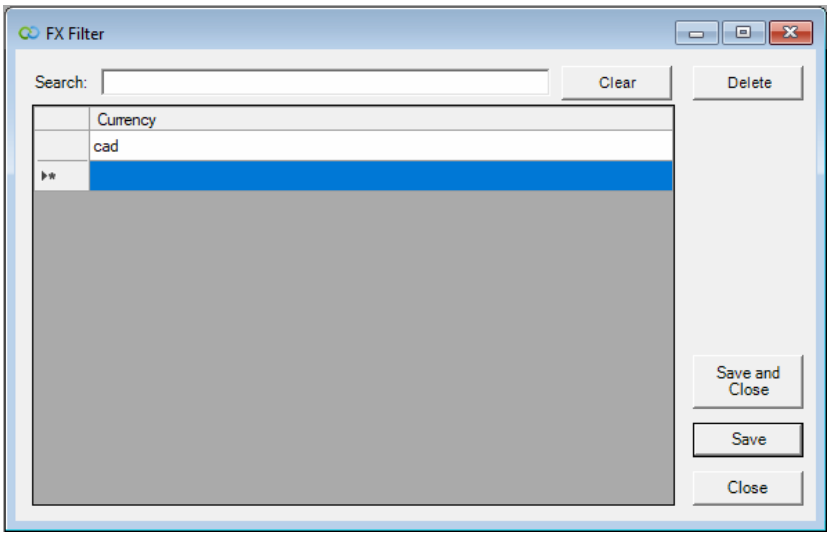
Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

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.

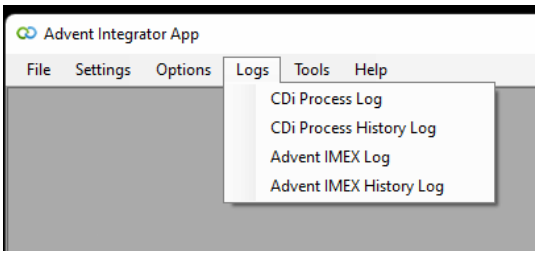
FX Filter



Fx File is a file of currency exchange rates. This is a screen where the CDI 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

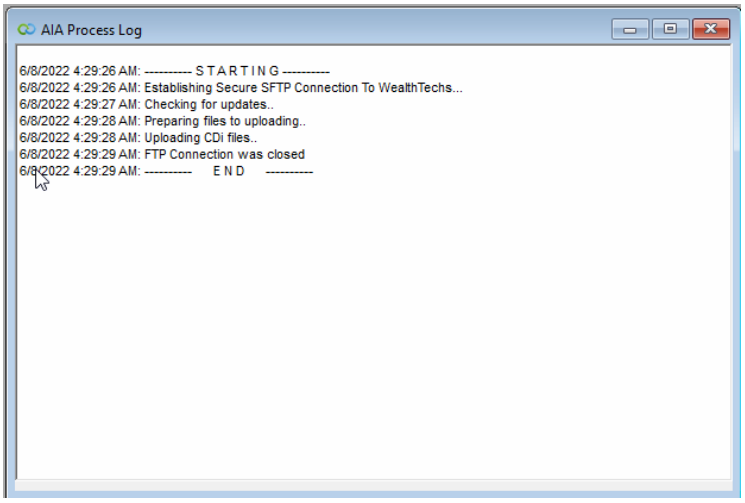


Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

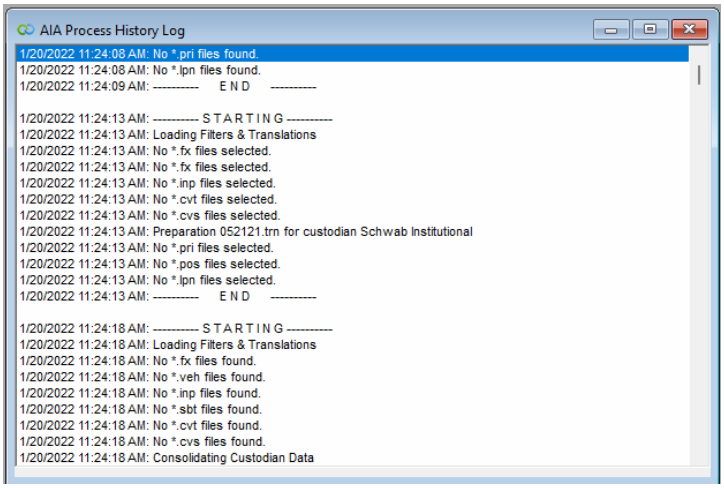
AIA User Manual for Axys Users

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



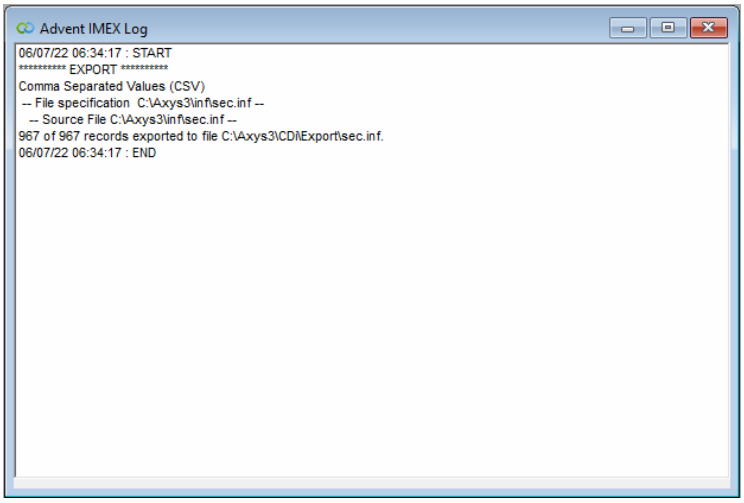
Shows the log file for all the historical AIA sessions, this includes download, processing and importing of the data through the desktop app

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

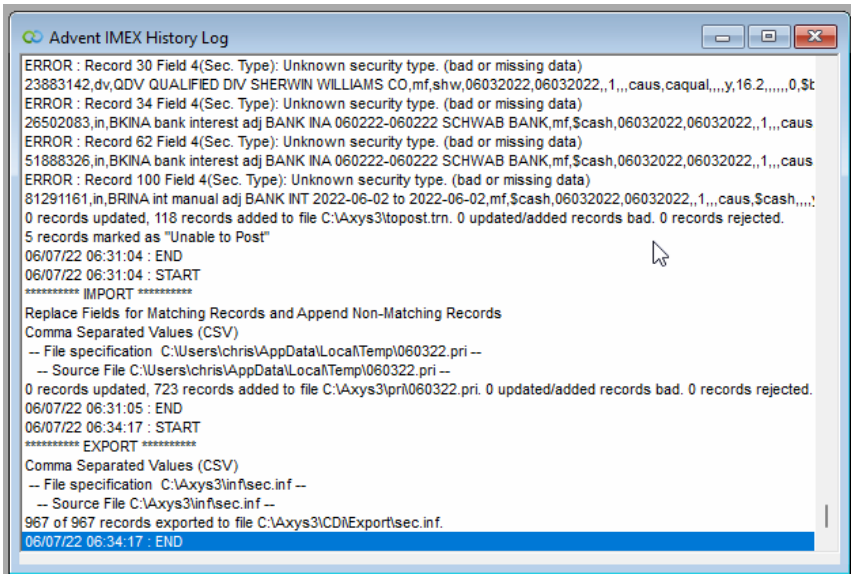
AIA User Manual for Axys Users

Advent IMEX Log



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

Advent IMEX History log



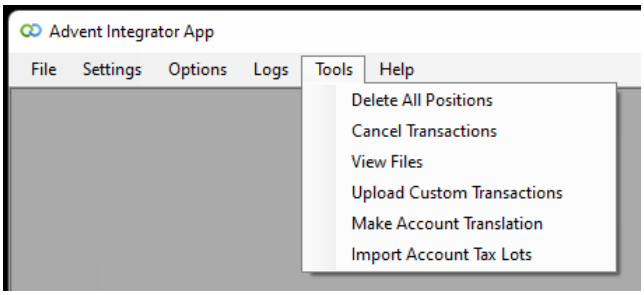
Shows the log for all the importing done through the IMEX tool. Useful for troubleshooting importing and blotter issues.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

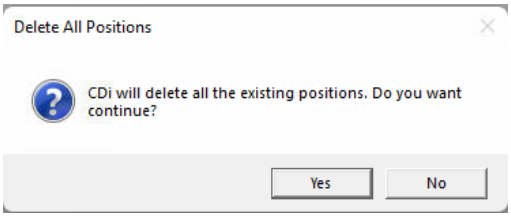
Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

AIA Tools Menu



Delete all Positions



This will clear all the positions for the current custodian.

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"

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

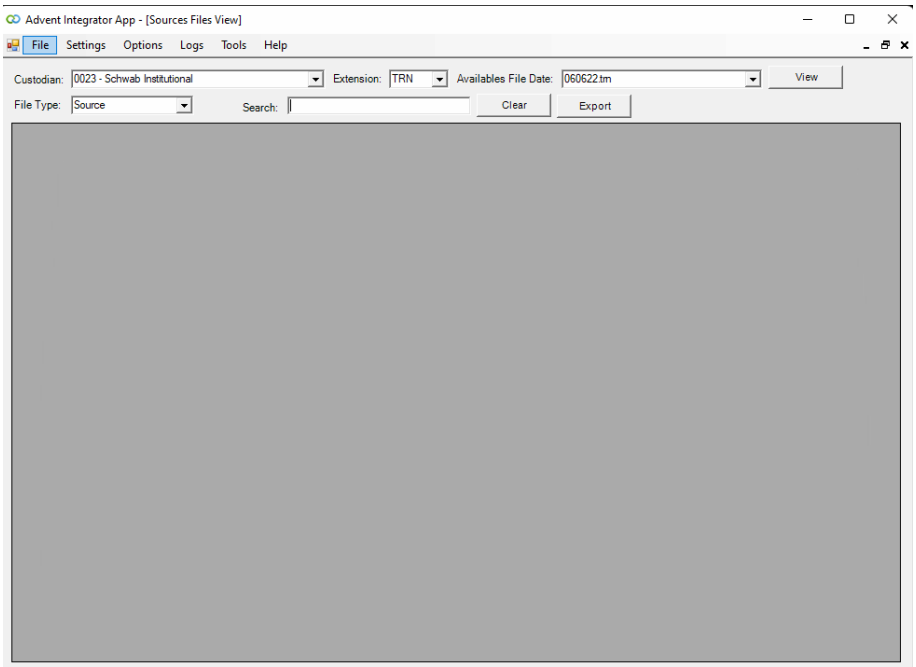
Becomes:

"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 your PAS.

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

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.

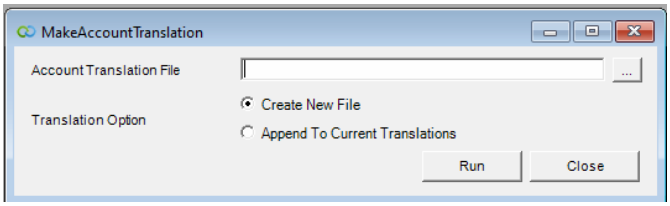
Upload Custom Transactions

This is used to import a custom set of data by the client. Be sure to use .csv file and the correct layout. For more information on the layout, contact your AIA Support team.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

Make Account Translation

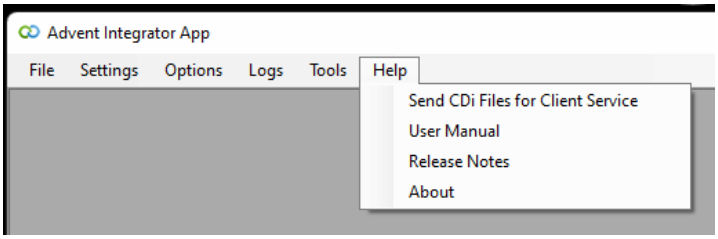


This feature converts the DataPort account translations into AIA account translations. May also be used when converting from Axys to APX. This option makes setting up AIA from DataPort easier and faster. The Dataport translations are located in the Axys>inf folder, named xxact.inf.

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 AIA 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 trough 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.

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.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys Users

About

Displays information about AIA, such as version, release date and the License registered. To view where your AIA files are located, double click on the WealthTechs Logo. 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 occasionally need to run a reconciliation report.

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

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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

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 Axys; 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 Axys and add the custom label "$pathCDI"to Axys>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.

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.

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.

AIA User Manual for Axys 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/_Ip_v7gzTKo

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

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

Copyright© WealthTechs Inc. All information in this document is the intellectual property of WealthTechs Inc. and is disclosed by WealthTechs and received by the receiving party, in strict confidence and used solely for the purposes of using WealthTechs CDi. The receiving party shall hold information contained in this document in confidence, and shall not disclose any information to anyone, inside or outside of the receiving party, except those employees, directors, and clients of the receiving party who have a need to know the information to affect the use permitted hereby. Any infringement of this intellectual property of WealthTechs Inc. will be pursued to the fullest extent of the law.

Disclaimer Third Parties: All product and company names are trademarks or registered trademarks of their respective holders. Use of them does not imply any affiliation with or endorsement by them. All specifications are subject to change without notice. WealthTechs™ and CDi™ are trademarks of WealthTechs Inc. SS&C, Advent, APX, Axys & Geneva are registered trademarks of SS&C Technologies, Inc. WealthTechs is unaffiliated with SS&C Technologies, Inc.