

ComplySci Data Providers – Overview & Instructions

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Direct Broker Feeds

Procedures for establishing a Data Feed with a Direct Data Provider:

1. Client will contact the Direct Data Provider (see **Direct Broker Feeds List** for contact information) and request that accounts be added to the data feed for ComplySci.
2. Client will be required to execute an agreement and provide a “3210 Letter” or “407 Letter” (the “Letter”) to the Direct Data Provider (such agreement, the “Direct Data Provider Agreement”).
3. Once the Direct Data Provider Agreement has been executed and the Letter completed, the Direct Data Provider will add the requested accounts to the ComplySci data feed.
4. Data typically begins to flow to ComplySci within 48 - 96 hours thereafter, depending on the Direct Data Provider.

NOTE:

If you are a former customer of ACA using PTCC, when requesting to add accounts to an existing feed, please note that you are using the **ACA Compliance feed.**

On an ongoing basis, it is the responsibility of the Client to contact the Direct Data Provider to add or delete accounts from the data feed to ComplySci. This is known as routine maintenance.

It is incumbent upon the Client to reconcile the accounts sent to a Direct Data Provider to the accounts included in the data feed to ensure that all accounts have been added. This is known as an Account Reconciliation.

Your ComplySci Customer Success Representative can provide you with more information.

Disclaimer: Access to brokerage data is dependent on Customer making independent arrangements with the broker. ComplySci cannot guarantee that a broker will choose or continue to provide the data electronically.

Direct Broker Feed List

Provider Name	Feed Source	Notes
Alliance Bernstein	Direct	
Ameriprise	Direct	
AXA Advisors (LPL)	LPL	
Barclays Stockbrokers	Direct	
Charles Schwab	Direct	
Chase Investment Services Corp.	Direct	
E*Trade	Direct	
Edward Jones	Direct	
Fidelity	Direct	
Goldman Sachs (PWM)	Direct	
Hargreaves Lansdown	Direct	
Interactive Brokers	Direct	
Janney Montgomery Scott	Direct	
JB Were	Direct	
JP Morgan Private Bank	Direct	
JP Morgan Securities	Direct	
Killik & Co	Direct	
LPL Financial	Direct	
Merrill Lynch	Direct	
Morgan Stanley (PWM)	Direct	
Morgan Stanley (Retail)	Direct	
Northern Trust	Direct & NFS	
Oppenheimer & Co.	Direct	
PENSCO Trust Company	Direct	
Pershing Advisor Solutions	Pershing LLC	
Raymond James	Direct	
RBC Advisor Services	Direct	
RBC Wealth Management - Non-FINRA Member Firms ONLY	Direct	
RBC Wealth Management - FINRA Member Firms ONLY	Direct	
Robert W. Baird & Company	Direct	
Stifel Financial	Direct	
T. Rowe Price	Direct	

Direct Broker Feed List

TD Ameritrade	Direct
UBS	Direct
US Bancorp Corporate Trust	Direct
US Bank Corp	Direct
US Trust (Bank of America)	Direct
Vanguard	Direct
Wells Fargo - Non-FINRA Member Firms ONLY	See Clearing Firms
Wells Fargo - FINRA Member Firms ONLY	Direct

Direct Broker Feed Contacts

Provider Name	Contact	Notes
Alliance Bernstein	<p>To establish a new transmission, contact:</p> <p>Jamie Husney, VP Global Head of Client Reporting Private Client Operations 914-993-2725 Jamie.Husney@ABGlobal.com</p>	<p>When contacting Alliance Bernstein To establish a new transmission, please inform them that the feed is for Compliance Science PTCC.</p> <p>New feeds typically take between 4-5 weeks to setup.</p> <p>Once the feed has been established, Alliance Bernstein will provide you with instructions on how to update the list of accounts to be included.</p> <p>Any accounts custodied at Bernstein are eligible to be added to this electronic feed.</p> <p>Any account beginning with 079 is a private equity accounts, while any account beginning with 030 is a collegebound fund account. Neither type of account is eligible to be added to the electronic feed.</p>
Ameriprise Financial	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>External.Account.Reporting@AMPF.com To establish a new transmission</p>	
AXA Advisors (LPL)	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>Mario Clay Mario.Clay@lpl.com</p>	

Direct Broker Feed Contacts

Barclays
Stockbrokers

To establish a new transmission, contact:

Beverly Tannahill
Beverley.Tannahill@Barclays.com
+44 141 343 5247 (Glasgow, Scotland)

Caroline Morrison
caroline.morrison@barclays.com
+44 (0) 141 343 6275

Because of some tech updates are required at Smart Investor, Barclays is currently unable to set up new electronic Employer Reporting feeds.

Due to the regulatory ring-fencing activity that Barclays is currently undertaking, the planned tech changes for Employer Reporting have been pushed out to Q1 2019.

Barclays Stockbroker ISA, SIPP & MarketMaster
(General Investment Accounts)
13 digits - 123/12345678/12

International Trader Accounts:
11 digits always ending in BA - 12345/1234BA

Smart Investor Accounts:
13 digits always starting with ID and ending with “-00X”
- ID1234567-001

Clients wishing to establish a feed will be required to complete the Barclays Stockbrokers Employer Service Agreement and participate in a 30 minute orientation/implementation call.

Additionally, Barclays Stockbrokers will provide the Client with the tri-party Designated Broker and Employer Reporting: Appointment of Third Party Aggregator Agreement. Once executed by Barclays and the Client, it will be forwarded to CSI for signature. CSI will then deliver fully executed copies to all parties.

Direct Broker Feed Contacts

Charles Schwab

To establish a new transmission, contact:

db.request@schwab.com
+1 (877) 602 7419

To add or remove accounts on an existing file feed:

designated.brokerage@schwab.com

New implementation clients are encouraged to request that Charles Schwab provide "CORE" files for data transmission when requesting their initial feed setup.

Since June 2018, Charles Schwab is suspending new requests for customers with fewer than 50 employees.

Customers with fewer than 50 employees will have to wait 90 days to have their feeds established.

Charles Schwab will still begin the vetting process for all customers, and will prioritize new feeds for customers with more than 50 employees.

Charles Schwab tracks customer inquiries and will reach out to customers after the 90 day wait period in order to establish a new transmission.

Paper statements can still be set up through the account holder's representative for the 90 day wait period.

Chase Investment Services Corp.

To establish a new transmission, contact:

JPMS.Brokerage.File.Feeds@jpmchase.com

To add or remove accounts on an existing file feed:

cwm.account.maintenance@jpmchase.com

"JP Morgan Chase" accounts with a 7, 8 or 9 prefix are generally Chase Investment Services Corp. accounts.

Direct Broker Feed Contacts

E*Trade	<p>To establish a new transmission and add/remove account(s) on an existing feed:</p>	<p>E*Trade will not prioritize setting up new client feeds for clients with fewer than 5 E*Trade accounts.</p>
	<p>designatedbrokerage@etrade.com +1 (855) 432 6834</p>	<p>To facilitate the implementation process, please complete the following documents before contacting E*Trade: Onboarding Questionnaire Etrade Questionnaire Blanket Compliance Letter Company Contacts Pertains only to authorized personnel permitted to send and receive information regarding your employee E*Trade accounts</p>
Edward Jones	<p>To add or remove accounts on an existing file feed:</p>	<p>Such documents may be requested from ComplySci. Edward Jones has temporarily suspended new firms from establishing new feeds. At this time, the brokerage is targeting mid-2018 to resume adding new feeds for new firms.</p>
	<p>ECR-Support@EdwardJones.com</p>	
Fidelity	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p>	<p>Fidelity requires individual account holder authorization.</p>
	<p>FidelityDBS@fmr.com +1 (877) 612 2047</p>	
	<p>Additional Customer Support:</p>	
	<p>Rich Miranda Rich.Miranda@fmr.com</p>	
	<p>Frank Donovan Frank.Donovan@fmr.com</p>	
	<p>Vincent Riccio Vincent.Riccio@fmr.com</p>	

Direct Broker Feed Contacts

Goldman Sachs (Private Wealth Management)	<p>Account holder must contact his/her sales associate.</p> <p>The sales associate then contacts the following address:</p> <p>gs-pwm-external-feed-requests@gs.com</p>	<p>Goldman Sachs requires individual account holder authorization.</p> <p>If you are a legacy-ACA client using PTCC, please request that accounts be added to the “ACA Compliance” feed.</p> <p>Goldman Sachs account numbers can be up to nine (9) digits in length. If the account number is less than 9 digits, zeros should be added to the start of the account number.</p>
Hargreaves Lansdown	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>approvedbroker@hl.co.uk</p> <p>Additional Customer Support:</p> <p>Ivan Lucas Ivan.Lucas@hl.co.uk</p> <p>Michael Clode Michael.Clode@hl.co.uk</p>	<p>Hargreaves Lansdown requires individual account holder authorization.</p> <p>Hargreaves Lansdown account numbers can be up to eight (8) digits in length. If the account number is less than 8 digits, zeros should be added to the start of the account number.</p>
HSBC Private Bank	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>gpb.it.americas.help.hbus@us.hsbc.com</p>	<p>For escalation purposes only:</p> <p>James Bruce (305) 539-5009 james.d.bruce@us.hsbc.com</p>

Direct Broker Feed Contacts

Interactive Brokers	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: salesengineering@interactivebrokers.com	This is an International brokerage.
Janney Montgomery Scott	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: ComplianceDataFeed@janney.com	The account holder needs to sign an acknowledgement agreement provided by the broker dealer to get his/her account(s) added to the feed. This feed is not available for ACA Compliance customers.
JB Were	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: JBWere.-Service.Delivery@nab.com.au	This is an Australian brokerage.
JP Morgan Private Bank	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: DATAG_Team@jpmorgan.com Additional Customer Support: John S. Nagy John.S.Nagy@jpmchase.com +1 (302) 634 3245	CSI currently receives a feed from JP Morgan Wealth Management. Employees with accounts at Chase Investment Services or Bear Stearns must contact their account representative. “JP Morgan Chase” accounts that start with a letter (A - Z) are generally JP Morgan Private Bank accounts.
JP Morgan Securities	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: Primary Contact Option: jpms_data_feeds@jpmorgan.com	Please note that individual account holder authorization is required to add an account to the JP Morgan Securities feed. The account holder’s investment professional will then reach out to the JPMS Data Feeds group. JP Morgan Chase” accounts that start with a number (1 - 6) are generally JP Morgan Securities accounts.
Killik & Co	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: Damien Sryett Damien.Syrett@killik.com	For any technical issues, kindly email both: Technology.servicedesk@killik.com; and, Craig Gould Head of Systems Development Craig.Gould@killik.com

Direct Broker Feed Contacts

LPL Financial	To establish a new transmission and/or to add or remove accounts from an existing feed, contact:	For escalation purposes only: Mario Clay Mario.Clay@lpl.com
	ElectronicDataDelivery@lpl.com	
Merrill Lynch	To establish a new transmission and/or to add or remove accounts from an existing feed, contact:	The Merrill feed also includes Bank of America Brokerage accounts.
	monitoringsystem_teams@ml.com	
Morgan Stanley Private Wealth Management & Retail	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: gwm_data_feeds@morganstanley.com	Morgan Stanley requires individual account holder authorization. For escalation purposes only: Kevin Reichert Kevin.Reichert@morganstanley.com Mark Aro +1 (212) 276 5167 Mark.Aro1@morganstanley.com
Northern Trust (Direct)	To establish a new transmission and/or to add or remove accounts from an existing feed, contact: The account holder must first contact his/her Northern Trust Relationship Manager who will then make contact with the appropriate person internally. Please note that when contacting Northern Trust for a new feed, it is important to ask them to create company-specific (not employee-specific) files. (Failure to do so could delay your feed for several weeks.)	To add or remove accounts on an existing file feed, please have the account holder first contact their Northern Trust Relationship Manager. Accounts that are custodied and managed by Northern Trust are eligible for this feed.

Direct Broker Feed Contacts

Oppenheimer
& Co.

To establish a new transmission or add accounts to an existing feed, each employee must complete the OPCO Electronic Record Transmission (ERT) Form.

The ERT form is available from your Compliance Science Customer Success Representative.

Once complete, the ERT Form should be returned via email to:

Teresa C. Incao
Teresa.Incao@opco.com
+1 (212) 668 8130

Oppenheimer & Co. requires individual account holder authorization. Feed request can only be initiated by completing the Oppenheimer Electronic Record transmissions form as follows:

Line 1 - Account Number: If there is more than one account, this can be listed on the same form.

Line 2 - Company Name: Employing account holder (i.e. CSI Corporate Client).

Line 3 - Information: I hereby request that Oppenheimer provide Compliance Science Inc. with the following information relating to my above-listed accounts: daily positional data, daily transactional data, and daily account data.

All account holders must print, sign and date the form.

PENSCO Trust
Company

To establish a new transmission and/or to add or remove accounts from an existing feed, contact:

datafeeds@pensco.com

PENSCO Trust Company requires individual account holder authorization.

1. If the firm is already set up on PENSCO's platform and authorized on the PENSCO accounts, then PENSCO just needs a blanket Letter of Instruction (LOI) from the customer requesting to be set up with a ComplySci feed. PENSCO would notify us once they have set up the feed, and provide us with the Firm Contact ID that would identify the new files you would begin receiving

2. If the firm is not already on PENSCO's platform, they would need to be authorized with the account owner's signature using either our Interested Party Authorization form or Financial Representative Authorization form, depending on the relationship between the Firm and client. These would be required in addition to a blanket LOI from the firm.

Pershing
Advisor
Solutions

To establish a new transmission and/or to add or remove accounts from an existing feed, contact:

pas@pershing.com

Direct Broker Feed Contacts

Piper Jaffrey **To establish a new transmission and/or to add or remove accounts from an existing feed, contact:**

Primary Contact:

Brian Pelpier
 Brian.R.Pelpier@pjc.com
 +1 (612) 303 6012

Secondary Contacts:

Jamie Rudser
 Jamie.L.Rudser@pjc.com

Heidi Roemhildt Kalisch
 Heidi.L.Roemhildt-Kalisch@pjc.com

Raymond James

To establish a new transmission, contact:

Becky Haberberger
 Becky.Haberberger@RaymondJames.com

To add or remove accounts on an existing file feed:

IT-DownloadAdministration@RJLAN.RJF.COM
 Fax: +1 (727) 567 8718

Raymond James requires individual account holder authorization.

Direct Broker Feed Contacts

RBC Advisor
Services

FINRA firms wishing To establish a new transmission or add/remove accounts on an existing feed for RBC Advisor Services accounts starting with a 9, should contact:

RBC Advisor Services account numbers begin with a nine (9).

Michael Heiser
michael.heiser@rbc.com

Rob Davis
rob.davis@rbc.com

Client Service Representatives

rbcadvisorservices@rbc.com

RBC Wealth
Management
**Non-FINRA
Member Firms
ONLY**

Non-FINRA member firms wishing To establish a new transmission or add/remove accounts on an existing feed, should contact:

RBC Wealth Management account numbers begin with a three (3).

Hans Ramsprasad
datafeed@rbc.com

RBC Wealth
Management
**FINRA
Member Firms
ONLY**

FINRA member firms wishing To establish a new transmission or add/remove accounts on an existing feed, should contact:

US account numbers are eight digits and begin with a 3 or (for Correspondent and Advisor services accounts) 7-9.

Julie Ann Neal
julieann.neal@rbc.com
+1 (612) 313 1257

Robert W.
Baird &
Company

To establish a new transmission and/or to add or remove accounts from an existing feed, contact:

When contacting Robert W. Baird & Company, please include a list of accounts to be added to the brokerage feed. This will ensure the quickest response.

datafeeds@rwbaird.com

Direct Broker Feed Contacts

Stifel Financial	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p>	Please first email before calling directly.
	Compliance-DataFeed@stifel.com	
	<p>Additional Support:</p>	
	<p>Kathy Frank FRANKK@STIFEL.COM +1 (314) 342 2881</p>	
T. Rowe Price	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p>	When contacting T. Rowe Price, please include a list of accounts to be added to the brokerage feed. This will ensure the quickest response.
	Members_IPeConfirm@troweprice.com	
	<p>Additional Customer Support:</p>	
	<p>Joe Ratajczak +1 (410) 345 7748</p>	
TDAmeritrade	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p>	Account list should be account numbers ONLY in an Excel spreadsheet encrypted using WinZip.
	<p>DBCCorporateServices@TDAmeritrade.com +1 (888) 376 4682</p>	Additionally, all follow up requests to add or remove accounts from the feed must be submitted in this format.
UBS	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p>	UBS requires individual account holder authorization.
	ElectronicDataFeed@ubs.com	Employees should contact their UBS WM Relationship Manager.
		UBS accounts will be 7 characters, and at least one (but usually both) of the first two characters will be letters. For example, XX 12345. The statement itself is one of the few places you may find an additional two digits tacked on at the end. This represents an internal code and is not used for the data feed. Any time you see a 9-digit UBS account number you can drop the last 2 digits.

Direct Broker Feed Contacts

<p>US Bancorp Corporate Investments US Bancorp Corporate Trust US Bank Corp</p>	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>mainframe.trust.support@usbank.com</p>	
<p>US Trust (Bank of America)</p>	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>gwimdatafeeds@bankofamerica.com</p>	<p>Request must be first submitted by accountholder to his/her Relationship Manager who will submit the request internally to be processed.</p>
<p>Vanguard</p>	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>eesc@vanguard.com</p> <p>For Account Additions, Removals and Inquiries:</p> <p>vanguard_electronic_statements@vanguard.com</p>	<p>Vanguard only deploys new client feeds once per month.</p> <p>For escalation purposes only:</p> <p>Patricia Swanson Patricia_M_Swanson@Vanguard.com +1 (610) 669 4521</p>
<p>Wells Fargo FINRA Member Firms ONLY</p>	<p>To establish a new transmission and/or to add or remove accounts from an existing feed, contact:</p> <p>eag.group@wellsfargoadvisors.com</p>	<p>This feed includes former Wachovia Securities accounts and A.G. Edwards accounts.</p> <p>Email must be sent to the Employee Activities Group at eag@wfadvisors.com specifying the full entity name and either IARD Number or B/D associated with the entity.</p> <p>Wells Fargo account numbers are nine (9) digits in length. If the account number is less than 9 digits, a leading zero should be added to the start of the account number.</p> <p>For escalation purposes only:</p> <p>Bunthoeun Lim +1 (314) 875 2697 Bunthoeun.lim1@wellsfargoadvisors.com</p>

Clearing Firms

ComplySci receives electronic data feeds from Clearing Broker-Dealers (Pershing LLC, RBC Correspondent Services, Trade-PMR, SEI and National Financial Services).

Even though the Clearing BD sends the data to ComplySci, the request for an electronic feed must come from the Introducing Broker Dealer (the “IBD”).

First Clearing

Please follow the procedures below to establish or join a data feed from an IBD that clears through First Clearing:

1. Employee with account at Introducing Broker Dealer (IBD) should contact their Relationship Manager (RM) and request that the RM contact the Internal Administrator that interacts with First Clearing.
This person may be known as the Correspondent Authorized Relationship Representative (CARR).
2. Compliance Officer will contact First Clearing using the **FC Data Download** group email (fcdatadownload@firstclearing.com) with request that the employee’s accounts be added to the feed.
3. If First Clearing is already providing a feed for the IBD, the CARR should contact their representative at First Clearing, **Todd Burton (Todd.Burton@firstclearing.com)** and explain that the First Clearing already provides a Data Feed to ComplySci, and they would like to add certain accounts to that feed.
4. If this is the first time that the IBD is contacting the First Clearing to authorize a feed, there will probably be an agreement to execute authorizing the First Clearing to send the data to ComplySci. First Clearing will provide that agreement.
5. Once the Agreement is executed, the IBD will provide the list of account numbers to First Clearing to be added to the data feed.
6. Data typically begins to flow to ComplySci within 48 - 96 hours thereafter.

Clearing Firms – First Clearing

Introducing Broker Dealer	Notes
Brown Advisory	
Cresap Incorporated	
David A. Noyes & Company	
Gabelli Funds	
HD Vest Financial Services	
Hennion & Walsh	
Hilliard Lyons	
Huntleigh Securities	
Moors & Cabot Investments	
Pamlico Capital	
Prospera Financial Services	
Register Financial	
Summit Brokerage Services	
Wellington Shields	
<p>Wells Fargo (For non-member firms)</p> <p>(Includes accounts from the former Wachovia)</p>	<p>These instructions are exclusive to establishing a feed from Wachovia / Wells Fargo for non-FINRA member firms.</p> <p>1) Contact fcdatadownload@firstclearing.com to obtain the requisite documentation.</p> <p>2) Non-member confidentiality agreement</p> <p>Please complete the top of page 1 with the [YOUR COMPANY] information: Name, Address & Date.</p> <p>On page 3, please have a representative of [YOUR COMPANY] sign as the 3rd party/data user.</p> <p>3) Forward to Compliance Science, your vendor, at CustomerSuccess@complysci.com so that they can also sign. ComplySci will sign and return the document to both you and First Clearing.</p> <p>4) “Compliance Science client authorization” letter. Please present this letter to [YOUR COMPANY] team members that have Wells Fargo Advisors/First Clearing accounts for completion.</p> <p>5) Please return this paperwork to the fcdatadownload@firstclearing.com, or fax to +1 (314) 875 7994.</p> <p>Wells Fargo account numbers are nine (9) digits in length. If the account number is less than 9 digits, a leading zero should be added to the start of the account number.</p>

Clearing Firms – First Clearing

For escalation purposes only:

Todd Burton

Todd.Burton@FirstClearing.com

Wintrust Wealth Services

Clearing Firms – National Financial Services

National Financial Services (“NFS”) Feeds

Except as noted below, please use the following procedure to establish and update feeds through National Financial Services:

1. Employee with an account at Introducing Broker Dealer (IBD) should contact their Relationship Manager (RM) and request that the RM contact the Internal Administrator that interacts with NFS.
2. The Internal Administrator should file a Vendor Transmission Form via Streetscape using the NFS Service Center to request that a feed be established.
3. If the Introducing Broker is unfamiliar with the process of setting up a feed through NFS, they may contact NFS for further instructions at nfstransmissioninstalls@fmr.com.

Please note that customers using the **ACA Compliance** feed are not eligible to receive brokerage data for **NFS-clearing IBDs**.

Introducing Broker Dealer	Notes
Allegheny Investments	
Ameritas Investments	
B. Riley & Co.	
Bishop, Rosen & Co.	
Brinker Capital	
Cambridge Investment Research	
City National Securities	
CFT Securities	
Commonwealth Financial Network	
Feltl and Company	
Fidelity Institutional Wealth Services	
Gilder, Gagnon and Howe	
Kestra Investment Services	
LaSalle St. Securities	
Neuberger Berman	
MML Investors Services	
NFP Advisor Services	
Northern Trust	Accounts that are custodied but not managed by Northern Trust are eligible for this feed.
Securities America	
Summit Equities	

Clearing Firms – National Financial Services

Synovus Securities

US Capital Advisors

USAA Investment Management

To establish a new transmission and/or to add or remove accounts from an existing feed, contact:

BrokerDataFeed@usaa.com

Western International Securities

William Blair & Company

Williams Financial Group

Clearing Firms – Pershing LLC

Pershing LLC

Except as noted below, please use the following procedure to establish and update feeds through Pershing LLC:

1. Employee with account at Introducing Broker Dealer (IBD) should contact their Relationship Manager (RM) and request that the RM contact the Internal Administrator that interacts with Pershing LLC.
2. The Internal Administrator should contact their representative at Pershing LLC and explain that Pershing LLC already provides a data feed to ComplySci, and they would like to add certain accounts to that feed.
3. If this is the first time that the IBD is contacting the Pershing LLC to authorize a feed, there may be an agreement to execute authorizing Pershing LLC to send the data to ComplySci. Pershing LLC will provide such agreement.
4. Once the Pershing LLC Agreement is executed, the IBD will provide the list of account numbers to Pershing LLC to be added to the data feed.
5. Data typically begins to flow to ComplySci within 48 - 96 hours thereafter.

Introducing Broker Dealer	Notes
180 Degree Capital	
Advisors Asset Management	
Allen & Company	
American Portfolios Financial Services	
Bank Of Oklahoma	
BCG Securities	
Belle Haven Investments	
Bleakley Financial Group	
Brave Warrior Advisors	
Cadaret Grant & Co.	
Cambridge Investment Research	
Cetera Advisor Networks	
Centaurus Financial	
	To establish a new transmission, contact:
CitiGroup	Jonathan Palma +1 (718) 248 9324 Jonathan.Palma@Citi.com

Clearing Firms – Pershing LLC

To add or remove accounts on an existing file feed:

CitiDataDelivery@Citi.com

CitiGroup Global Markets

Concept Capital

Clear Harbor Asset Management

Credit Suisse

EFG Capital International

First Empire Securities

To establish a new transmission and/or to add or remove accounts from an existing feed, contact:

PWMSystemsSupport@firstrepublic.com

Hotline Support: 855-886-4822; option #4

First Republic Bank

For escalation purposes only:

Dheeraj Soni

+1 (415) 262 2514

dsoni@firstrepublic.com

Further Lane

Global Investor Services

GWFS Equities

Harbor Investments

Hornor Townsend & Kent

HSBC Securities (USA) requires individual account holder authorization.

To establish a feed and add/remove accounts on an existing file, please email:

HSBC Securities (USA)

Lynn Janowski

lynn.janowski@us.hsbc.com

Only call the following number if you do not receive a response to your email:

+1 (716) 841 5604

Jefferies & Company

Jefferies Prime Brokerage

Leerink Partners LLC

Lincoln Financial Group

M Holdings Securities, Inc.

Clearing Firms – Pershing LLC

Mason Securities
Maxim Group
Next Financial
Northwestern Mutual Investment Services
Personal Capital
Piper Jaffray
Royal Alliance Associates
Sanders Morris Harris
Securian Financial Services, Inc.
Signator Financial Services
Summit Trail Advisors
TD Private Wealth
The Investment Center
Thompson Davis & Co
Tocqueville Securities
Watermark Securities

Clearing Firms – RBC Correspondent Services Clearing Feeds

RBC Correspondent Services Clearing Feeds

Firms wishing to establish a new transmission and/or add or remove accounts on an existing feed for RBC Correspondent Services accounts (starting with a 7 or 8) should contact:

Client Service Representatives

rbcadvisorservices@rbc.com

Rob Davis

rob.davis@rbc.com

Michael Heiser

michael.heiser@rbc.com

Please note: RBC Correspondent Services requires completion of a Data Transmission Authorization Form (as provided by RBC); the IBD may also require additional paperwork.

Introducing Broker Dealer	Notes
Aegis Capital Corporation	
Andrew Garrett	
Baker & Co.	
Buckman, Buckman and Reid	<i>May not accept new feeds</i>
Garden State	
Resource Securities, Inc.	
Spartan Capital Securities	<i>May not accept new feeds</i>
Twenty-First Securities	<i>May not accept new feeds</i>
Uhlmann Price Securities	
World Equity Group	

Broker Name Conventions and Number Formats

Conventions and Number Formats

When adding broker accounts into the system, please follow the below broker name conventions and account number formats, where applicable.

Please note that @ is an alphanumeric character (A - Z or 0 - 9), L is a letter (A - Z), and # is a number (0 - 9)

Broker Name	Account Number Formats
Advisors Asset Management	@@@#####,@#@#####
Aegis Capital Corporation	#####
Allegheny Investments	@@@#####
Allen & Company	@@@#####,@#@#####
AllianceBernstein	#####
American Portfolios Financial Services	@@@#####,@#@#####
Ameriprise Financial	#####
Ameritas Investment	@@@#####
Andrew Garrett, Inc.	#####
AXA Advisors	#####
B. Riley & Co	@@@#####
Baker & Co.	#####
Bank of America / US Trust	
Bank of Oklahoma	@@@#####,@#@#####
Barclays Stockbrokers	#####,ID#####-###
BCG Securities	@@@#####,@#@#####
Belle Haven Investments	@@@#####,@#@#####
Bishop, Rosen & Co	@@@#####
Brave Warrior Advisors	@@@#####,@#@#####
Brinker Capital	@@@#####
Brown Advisory	
Cadaret Grant & Co.	@@@#####,@#@#####
Cambridge Investment Research	@@@#####,@#@#####
Centaurus Financial	@@@#####,@#@#####
Cetera Advisor Networks	@@@#####,@#@#####
CFT Securities	@@@#####
Charles Schwab	#####
Chase Investment Services Corp.	#####
Citigroup	@@@#####,@#@#####
Citigroup Global Markets	@@@#####,@#@#####
City National Securities	@@@#####

Broker Name Conventions and Number Formats

Clear Harbor Asset Management	@ @ @ #####, @ @ @ #####
Commonwealth Financial Network	@ @ @ #####
Concept Capital	@ @ @ #####, @ @ @ #####
Credit Suisse	@ @ @ #####, @ @ @ #####
David A. Noyes & Company	
E*Trade	#####
Edward Jones	###-#####-#-#,
EFG Capital International	@ @ @ #####, @ @ @ #####
Evercore Wealth Management	#####,#####
Feltl and Company	@ @ @ #####
Fidelity	@#####,#@#####
First Empire Securities	@ @ @ #####, @ @ @ #####
First Republic Bank	@ @ @ #####, @ @ @ #####
Gabelli Funds	
Gilder, Gagnon and Howe	@ @ @ #####
Global Investor Services	@ @ @ #####, @ @ @ #####
Goldman Sachs (PWM)	#####
Harbor Investments	@ @ @ #####, @ @ @ #####
Hargreaves Lansdown	#####,
HD Vest Financial Services	
Hennion & Walsh	
Hilliard Lyons	
HSBC Private Bank	@ @ @ @ @ @ @ @, @ @ @ @ @ @ @ @
HSBC Securities (USA)	@ @ @ #####, @ @ @ #####
Huntleigh Securities	
Interactive Brokers	L#####,L#####
Janney Montgomery Scott	#####
JBWere	L#####,L#####L
Jefferies & Company	@ @ @ #####, @ @ @ #####
Jefferies Prime Brokerage	@ @ @ #####, @ @ @ #####
JP Morgan Private Bank	L#####
JP Morgan Securities	#####
Kestra Investment Services	@ @ @ #####
Killik & Co	
LaSalle St. Securities	@ @ @ #####
Leerink Partners LLC	@ @ @ #####, @ @ @ #####
Lincoln Financial Group	@ @ @ #####, @ @ @ #####
LPL Financial	#####
M Holdings Securities	@ @ @ #####, @ @ @ #####
Mason Securities	@ @ @ #####, @ @ @ #####
Maxim Group	@ @ @ #####, @ @ @ #####

Broker Name Conventions and Number Formats

Merrill Lynch	@@@@@
Mesirow Financial	@@#####
MML Investors Services	@@#####
Moors & Cabot Investments	
Morgan Stanley (PWM)	@#-##@
Morgan Stanley (Retail)	@@@@@,@@@@@
Neuberger Berman	@@#####
NEXT Financial	@@#####,@@#####
Northern Trust	#####,L##### (Direct),@##### (NFS)
Northwestern Mutual Investment Services	@@#####,@@#####
Oppenheimer & Company	L#####
Park Avenue Securities	@@#####,@@#####
PENSCO Trust Company	#####
Pershing Advisor Solutions	@@#####,@@#####
Personal Capital	@@#####,@@#####
Piper Jaffray	#####,@@#####,@@#####
Prospera Financial Services	
Raymond James	###@###
RBC Wealth Mgmt/Advisor Services	#####
Register Financial	
Resource Securities	#####
Robert W. Baird & Co.	#####
Rockland Trust Company	#####,#####
Ropes & Gray	#####,#####
Royal Alliance Associates	@@#####,@@#####
Sanders Morris Harris	@@#####,@@#####
ScotTrade	#####
Securian Financial Services	@@#####,@@#####
Securities America	@@#####
Signator Investors - NFS	@@#####
Signator Investors - Pershing	@@#####,@@#####
Stifel Financial	#####
Summit Brokerage Services	#####,#####
Summit Equities	@@#####
Summit Trail Advisors	@@#####,@@#####
Synovus Securities	@@#####
T. Rowe Price	##L#####,#####,#####,#####
TD Ameritrade	#####
The Investment Center	@@#####,@@#####
Thompson Davis & Co	@@#####,@@#####
Tocqueville Securities	@@#####,@@#####

Broker Name Conventions and Number Formats

Twenty-First Securities	#####
U.S. Capital Advisors	@@@#####
UBS	@ @####,###-####-#####
Uhlmann Price Securities	#####
US Bancorp Corporate Trust and Custody	#####
US Bancorp Investments	#####
US Trust	#####
USAA Investment Management	@@@#####
Vanguard	#####,#####,#####
Wellington Shields	
Wells Fargo	#####,#####
Western International Securities	@@@#####
William Blair & Company	@@@#####
Williams Financial Group	@@@#####
World Equity Group	#####