

Capttools/net Transition from TD Ameritrade to Schwab Core Data

Capttools/net now supports the import of “Schwab Core” format data provided by Schwab Advisor Services via their daily data download platform. It is our understanding that Advisors currently using the TD Ameritrade platform will be required to transition to the Schwab Core data delivery platform some time later this year (2023). That platform is available from Schwab for qualified advisors.

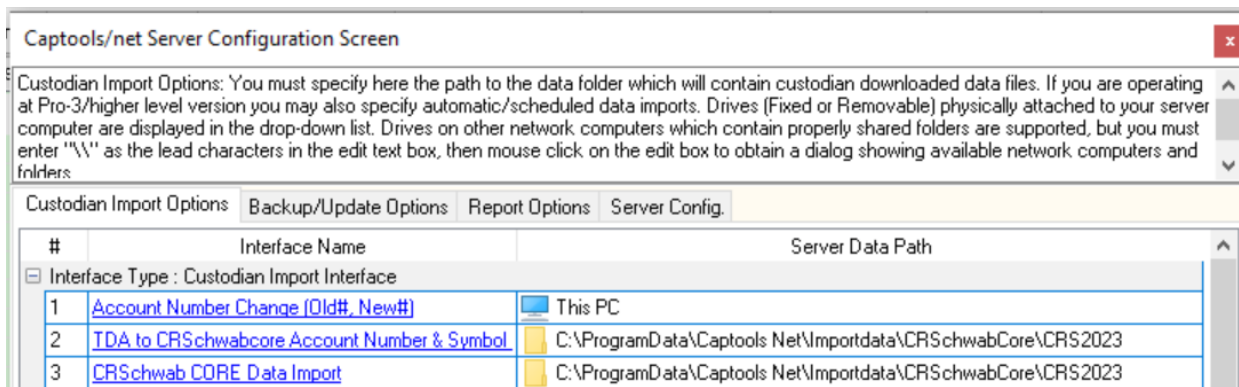
If you are an advisor currently using Capttools/net software and the TD Ameritrade data delivery platform, Capttools/net is ready for you to make the transition.

Backup: Before you start, please do one last backup of your data while it still has the TDA account number and symbols, just in case you need to start over.

Get Update: In order to import Schwab Core data into Capttools/net you need to be running a version of Capttools/net dated February 2023 or later. If you have not yet installed such version, please run your Capttools/net Server Control Panel program and click “Help/Check for Updates”. After updating, please check the dates in the “time stamp” column on the Capttools/net Server Control Panel. Because the Schwab Core data is a new format for Capttools/net, we expect that initially (first 3-6 months) there may be some revisions to our SchwabCore import script or to the software, so please install any Capttools/net updates during that period when notified of such on the Capttools/net Server Control Panel.

Please perform the following procedure to convert to the Schwab Core data feed:

- 1) Create a folder on your Capttools/net computer hosting the Capttools/net Server Control Panel program to receive your Schwab Core data. This can be a folder under “\ProgramData\Capttools Net” or anywhere else on one of your hard drives on that computer. Within that folder we advise that you create a sub-folder for each year's data, e.g. “CS2023” simply to keep that data better organized and prevent mistaken import of older data. If you have more than one master account you may also want to create separate sub-folders under the year folder for each master account.
- 2) Run the Capttools/net Server Control Panel program. Click on the “Configurations” tab to open the dialog showing the list of available import interfaces. Locate the one labeled “CRSchwab CORE Data Import”:



In the “Server Data Path” column specify the path to the folder to which you will be downloading your Schwab Core data. Repeat this path for the prior Interface named “TDA_to_CRSchwabCore AccountNumber&Symbol”. Click “Ok” to close the dialog.

3) **Account Number and Symbol Conversions** - Before you can start importing Schwab Core data, you will need to run a conversion process to convert TDA account numbers to Schwab account numbers and some non-standard security symbols from TDA to Schwab nomenclature. If at this point you have not yet set up the Schwab Data Delivery program to obtain your Schwab Core data, do so now, referencing the information already provided you by Schwab for establishing this service. When you set up this service, be sure to set the download path to be identical to the path you set in the Captools/net Server Control Panel (see above example).

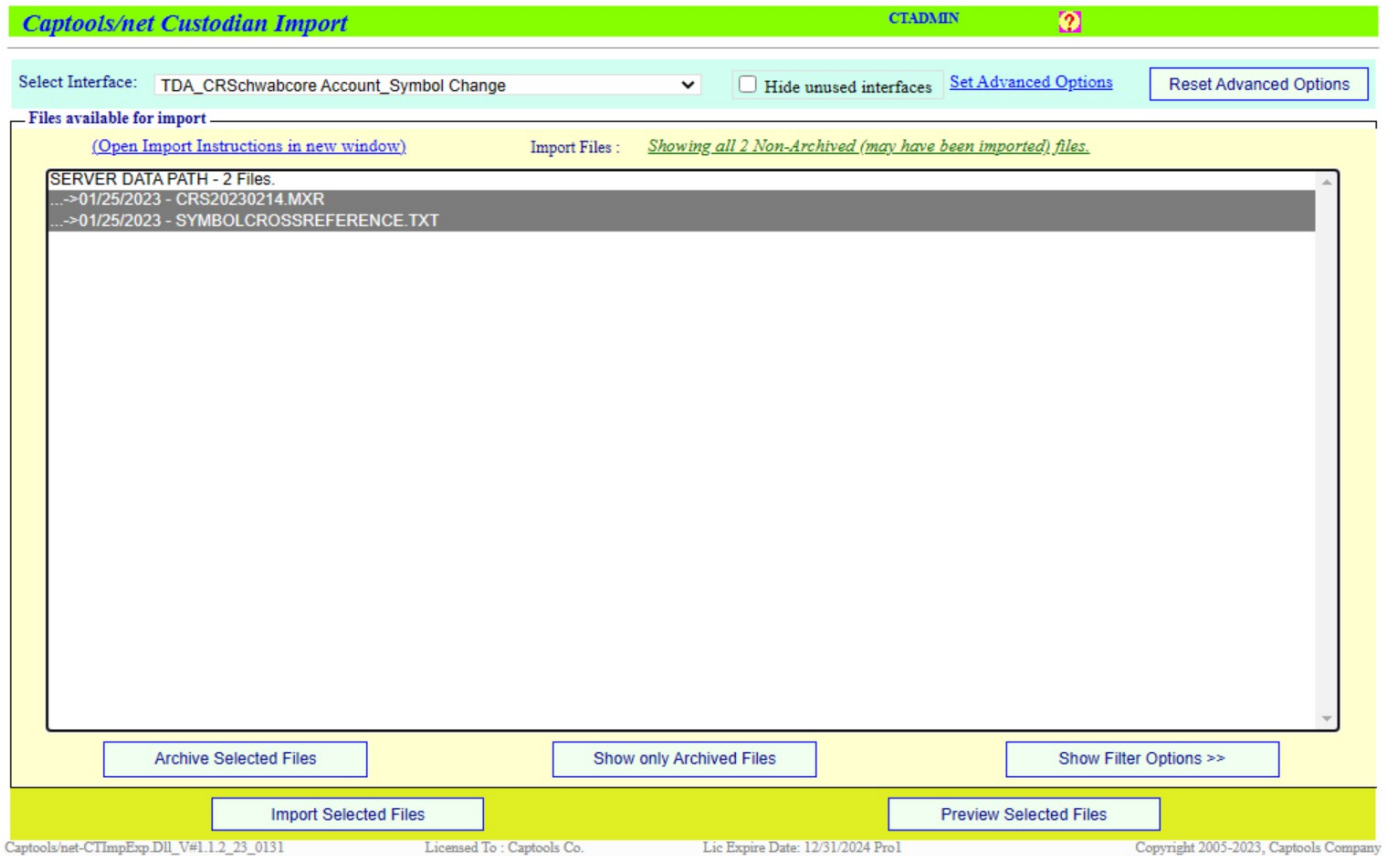
Next download two special files from Schwab that are needed for the Account number and Symbol conversions:

- a) The account conversion file will be named like “CRS20230331.MXR”. This contains the “TDA-to-Schwab” account number conversion data. It is a plain text file that can be viewed in Notepad.
- b) The symbol conversion file is “SymbolCrossReference.txt”.

Download both these files to your designated import path folder (example above). These will be imported in the next step.

Start the Conversion: Start your Captools/net Desktop program ('Captools DT') and click on “Interfaces/Custodian Interfaces”. This will launch your browser. If the “Hide Unused Interfaces” checkbox is checked, “Uncheck” it so you can view all available interfaces in the “Select Interface” drop-down list control.

Select "TDA_SchwabCore_Account_Symbol Change" from that list to get the following screen:



Select the latest "MXR" file and the SymbolCrossReference.txt file and click "Import Selected Files". This will start the conversion process which may take some considerable time. You can use the log that appears on screen to monitor the process until it is complete.

When the conversion is done, return to the Captools/net Desktop, and close it, then re-open the Captools/net Desktop and inspect the Client and Account records to confirm that these were properly converted. Note that the "Client Id" in the Client records will be unchanged from the Client Id used with TDA, and will typically be the client's tax identifier. If you later add clients under Schwab, you will note that a tax identifier is NOT used for the Client Id. This is because the imported Schwab record does not contain the tax identifier. As a result, Captools/net constructs a Client Id from the client's name. If you later want to follow that same approach for your legacy TDA clients, you can modify their Client Id by clicking on the Client Id field until you see a "button" and then click on the button to change the Client Id to something other than Tax Id.

Import Daily Data: To import daily data, use "Interfaces/Custodian Clearing Interfaces to re-open the Custodian Import page in the browser interfaces. This time, select "CRSchwab Core Data Import" as the interface, to get similar to the following:



Select Interface: Hide unused interfaces [Set Advanced Options](#) [Reset Advanced Options](#)

Files available for import

[\(Open Import Instructions in new window\)](#) Import Files : *Showing all 8 Non-Archived (may have been imported) files.*

```

SERVER DATA PATH - 8 Files.
...->07/26/2022 - CRS20230215.ACC
...->07/26/2022 - CRS20230215.RPS
...->07/26/2022 - CRS20230215.SEC
...->07/26/2022 - CRS20230215.TRN
...->07/26/2022 - CRS20230216.ACC
...->07/26/2022 - CRS20230216.RPS
...->07/26/2022 - CRS20230216.SEC
...->07/26/2022 - CRS20230216.TRN
    
```

Select the records for the applicable dates and click “Import Selected Files”.

Congratulations, you are now converted to CRSchwab Core data!

Import of TDA Data after conversion: If you need to import prior TDA data after you have already converted to Schwab, please avoid importing the TDA account records, as this will cause these records to be re-added to your accounts table. Instead, you should only import transaction records, which Captools should match up with the proper Schwab account because the conversion process stores the old TDA account number as a “Sub-account”. To ensure that you don’t import the TDA account records, on the TDA interface, click on the “Advanced” link and un-check the option to import all records but the transaction records, save that setting and then do your import.