

DataXchange Online
File Upload
User Guide

SmartOffice®



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Introduction

DataXchange Online – File Upload is a SmartOffice® Online feature that enables SmartOffice users to upload data files from third-party data providers into SmartOffice. Instead of dedicating a support person to enter month-old information from duplicate statements, you can now use your Internet connection to receive the latest data, dramatically improving client service with current investment and policy information. DataXchange Online – File Upload takes care of 75-95% of the day-to-day data entry and updating requirements that drain the resources of most offices.

DataXchange Online – File Upload currently supports the following data file formats:

- **DST FAN Mail:** DST FAN Mail, a division of DST Systems, provides data from multiple sources including DST Systems and non-DST sources such as outside fund sponsors and variable annuity and mutual fund companies.
- **Jefferson Pilot:** Jefferson Pilot data is only available to registered representatives of Jefferson Pilot. Jefferson Pilot directly contacts their agents to offer them a service where inforce policy data will be placed.
- **Generic File Format:** Investment Account information is published in the Generic File format by a number of Broker/Dealers. Generic Files can also be created from Pershing Account files through X-Late, a product by AS&A Brokersoft.

To use DataXchange Online – File Upload, a user must first register with the data provider to receive their data files.

- **DST FAN Mail:** Call or visit the DST FAN Mail Web site to set up service (www.dstfanmail.com).
- **Jefferson Pilot:** Jefferson Pilot registered representatives must contact their E-Z Data Customer Service Representative to find out if they qualify for registration. Download files in the E-Z Data format, not the Generic CSV format.
- **Generic File Format:** Contact the company or visit the following Web sites to set up the corresponding services.
 - dbCAMs
 - Linsco Private Ledger (LPL)
 - Dazl
 - TD Waterhouse
 - Raymond James
 - The customer needs CAS Solutions to acquire the data (www.casolutions.com).
 - Pershing
 - The customer needs InfoDirect to acquire the data (they can get this from their BD).
 - The customer needs XLATE to translate the data (www.brokersoft.com).
 - Lincoln Financial

DataXchange Online – File Upload is a different feature from DataXchange Online – Pending Case. DataXchange – Pending Case is a service provided by E-Z Data that enables insurance carriers, general agencies and service providers to exchange data securely over the Internet. Users of E-Z Data's SmartOffice can access this service through the DataXchange Interface (DXI) built into the Pending Case Management module.

Registering for DataXchange Online

Users must phone their E-Z Data customer service representative and register for DataXchange Online – File Upload before they can access this feature. The ability to access this feature can be provided on a per user basis within an office.

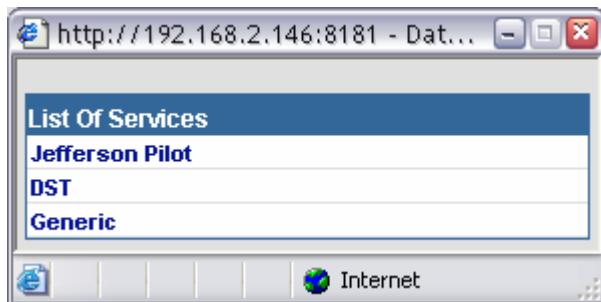
Once DataXchange Online – File Upload has been enabled, the DataXchange menu displays.



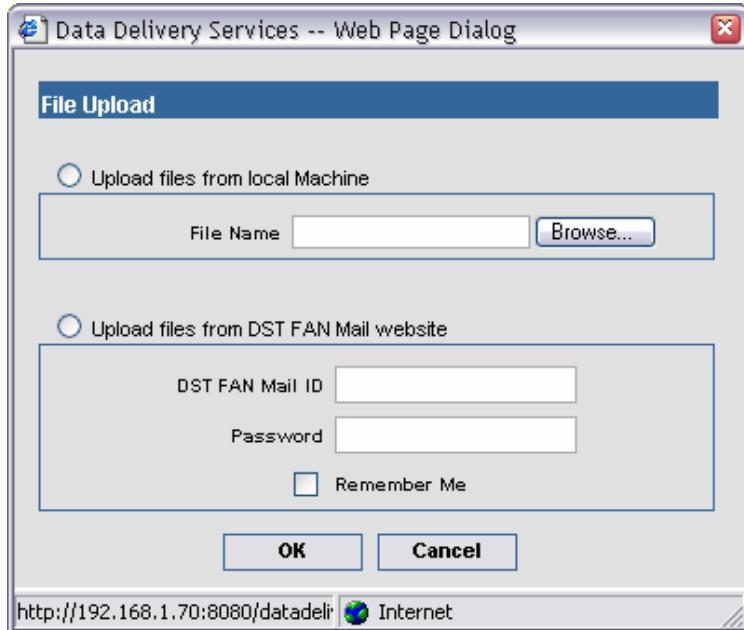
Uploading Your Files

The user must download the data files onto their client machine from the data provider. Once the files have been downloaded into a single directory, all the files need to be compressed into a single .zip file using WinZip or another file compression tool. DataXchange will only accept .zip files with valid data files from one of the supported data providers.

- **DST FAN Mail:** Files downloaded from DST can be zipped together into a single .zip file. The user does not need to unzip all of the downloaded files before zipping them. DataXchange can also get files from the DST Fan Mail Web site directory directly.
 - **Jefferson Pilot:** DataXchange requires that a complete set of Jefferson Pilot files be included in the .zip file. DataXchange will only accept a single set of files with each upload.
 - **Generic File Format:** These files have to be compressed into a .zip file.
1. Once the data files have been compressed into a .zip file, select **File Upload** from the expanded **DataXchange** menu to display the List Of Services dialog box.

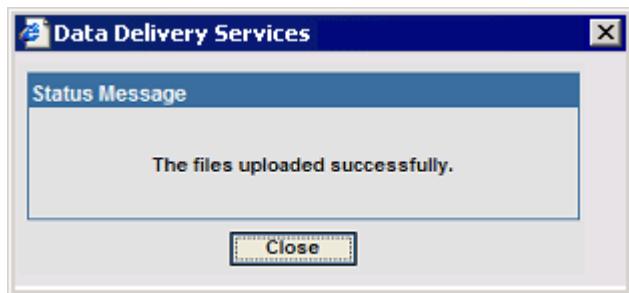


2. Select the appropriate service hyperlink to open the File Upload dialog box.



3. Enter the full path and file name of the .zip file into the File Name field, or click the **Browse** button to select the .zip file and then click the **OK** button to open the Status Message dialog box.

For DST data, there is an option to get data directly from the DST FAN Mail Web site. To use this option, select **Upload files from DST FAN Mail Web site** and enter the DST FAN Mail ID and Password.



4. Click the **Close** button to return to SmartOffice.

Reviewing Import Results

Once the data files have been uploaded to DataXchange Online they will enter a file queue with the data of all DataXchange Online users. After fifteen to thirty minutes, the data files will have been processed and the user will be able to review the import results from the DataXchange Console. Select **Console** from the **DataXchange** expanded menu to display the DataXchange Summary.

The screenshot shows the DataXchange Summary page with a grid of load records. The columns are: Load Number, ETL Start Time, ETL End Time, DXE Start Time, DXE End Time, Engine Type, and Status. The status column uses color coding: yellow for Policy (ETL Loading), green for LeadsImport (ETL Loading), and blue for Investment (DX Completed). The grid contains 6 rows of data, with the last row being a summary or footer row.

Load Number	ETL Start Time	ETL End Time	DXE Start Time	DXE End Time	Engine Type	Status
1	10/14/2004 05:10PM				Policy	ETL Loading
2	10/22/2004 05:07PM				Policy	ETL Loading
3	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	Policy	DX Completed
4	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	Investment	DX Completed
279	01/27/2005 04:44AM				LeadsImport	ETL Loading
291	10/04/2004 11:59AM				Investment	ETL Loading

Previous Page | 1 | Next Page | Total Records: 51+ (Click here to list all)

The DataXchange Summary is a list of loads that have been processed by the DataXchange engine. A load is a collection of data from one or more sets of files. If more than one set of files is uploaded by the user within a fifteen-minute interval, the data from those sets of files will most likely display in the same load. If the user is uploading a single set of files each day, there should be a new load in the Load Summary each day.

Select a record and then click the **Console** tab to display the Load Detail information. The Detail information includes what time the set of files was completely processed and what time it was completed.

The screenshot shows the DataXchange - Investment - Load Number [10006] page. It has three main sections: Load Detail, DX Completed, and Error Count. The Load Detail section shows ETL and DXE start and end times, and the status as DX Completed. The DX Completed section shows a message "DX Completed. Processing No Table. Completed 100%" with a progress bar. The Error Count section shows 1 account and 49 transactions.

Load Detail

ETL Start Time 10/14/2004 10:14AM ETL End Time 10/14/2004 10:14AM DXE Start Time 02/11/2005 05:20PM DXE End Time 02/11/2005 05:21PM Status DX Completed

DX Completed. Processing No Table. Completed 100%

Error Count

Account 1 Transaction 49

Click the **Error Log** tab to display the Error Log Summary. The DataXchange Error Log only displays records that were not imported correctly; records that were successfully processed cannot be viewed from the DataXchange Console. There are two views for the Error Log Summary, the Top Level Object View where all records within a Policy or Account are grouped together, and the Table View where each record from the data file is shown individually with no association to other records.

The screenshot shows the DataXchange Error Log - Investment - Load Number [10006] page. It has a Top Level Object View section which shows a table with one record for "Account". The error count is 1. The bottom of the page shows "Records Shown: 1" and "Total Records: 1".

Top Level Object View

Table Name	Error Count
Account	1

Records Shown: 1 Total Records: 1

Click the appropriate first column hyperlink of the records in the Error Log Summary to display the Failed Records Summary. If the Error Log has been set to **Table View**, the Detailed Error column will display the error messages for the record on this tab. If the Error Log has been set to **Top Level Object View**, selecting a record and clicking the **Detail Error** tab will cause the Detail Error Summary to display, listing all records and error messages associated with the Account or Policy.

DataXchange Error Log - Investment - Load Number [10006]

Summary Console Error Log Alert Log

Summary Failed Records Detail Error

Table Name Detailed Error

Account Duplicate record

Records Shown: 1 Total Records: 1

Handling Errors

Most errors while processing accounts or policies are the result of dependant data, such as a contact or a security, being missing from the database. The error messages in the Error Log enable the user to find exactly what record is missing. In the example below, the Account failed to be processed successfully because there was a Subaccount Product missing from their office.

Subaccount Position	Subaccount Position	Missing Subaccount Product record for: Office: Miami Product: TA Landmark Variable Annuity Product Code: AEG0010 Cusip: AEG546BJ0
Subaccount Position		

The user can search in their office for the TA Landmark Variable Annuity with the Product Code AEF0010 through the Investment Security Master. In that Variable Annuity Security, they will find that there is no Subaccount Product with the CUSIP AEG546BJ0. This Subaccount Product needs to be manually added to the office before the account can be successfully processed.

After the user has manually added the missing dependant data to their office, they can return to the DataXchange Console to process their data again. Click the **Process Errors** button from any of the DataXchange Console tabs to cause the DataXchange Engine to attempt to process all failed records in the load again. If the missing dependant data is found on the subsequent attempt, the record will be successfully imported into the office.

Enabling E-mail Alerts

DataXchange can be configured to automatically send e-mail notifications to inform the user when the processing of their data files begins and ends. Different e-mail notification lists can be configured for policy data and investment data. To set up the e-mail notification system, select **Alert Setup** from the **DataXchange** expanded menu.

Users importing investment data should create an Alert Setup record for the Investment Engine type; the user import policy data should create a record for the Policy Engine type. Once the Alert Setup record has been saved, when a set of files is processed by DataXchange, e-mail alert notifications are automatically sent to the recipients in the E-Mail List.

Alert Setup Detail

Engine Type	Appointment-License	Prefix
<i>Note: Please add multiple mail addresses separated by a comma "(,)". For example: If you want to add two mail addresses viz. abc@yahoo.com and xyz@yahoo.com then write them as abc@yahoo.com,xyz@yahoo.com</i>		
Critical E-Mail List		
Regular E-Mail List		

DataXchange Alert Threshold Summary

<input type="checkbox"/>	Engine Type	Process	Regular Error (Preprocess) Limit	Regular Error (Commit) Limit	

Records Shown: 0 Total Records: 0

Rules and Reminders

- The System is not designed to handle the processing of months of data or multiple position files with different dates. Do not attempt to begin using DataXchange under these conditions.
 - The maximum number of files for DST and Generic are 999 per type of data (Security, Transaction, etc...) and should not exceed 5MB.
 - Download and process data daily or as often as the data is available. Processing the data daily alerts you to corporate actions, changes in CUSIP, account number and file formats that can affect the accuracy of the data in the database.
 - Primary Contact of an existing Policy or an Account will not be overwritten by DataXchange.
 - No duplicate Tax ID numbers may be in the Contact record for different contacts. DST and Generic File Format Import may match on Social Security number and the Social Security number can be in the database once only.
 - Policy import processing will look for existing Contacts matching on Jefferson Pilot's internal Client ID and if it is not found, it will match on SSN. If the contact is found, it will update the existing data and if there is no match, it will create a new contact record. Manually entered Contacts in SmartOffice with no SSN will not be found by the matching algorithm.
 - Currently DataXchange does not create contacts out of DST and Generic File Format feeds.