

SmartLink for Albridge
Web Services
User Guide

SmartOffice[®]



Copyright 1998-2006, E-Z Data, Inc.

All Rights Reserved.

No part of this documentation may be copied, reproduced, or translated in any form without the prior written consent of E-Z Data, Inc.

All product names are trademarks of their respective manufacturers or organizations.



918 E. Green Street

Pasadena, CA 91106

Web: <http://www.ezdata.com>

Telephone: (626) 585-3505

Fax: (626) 440-9097

U.S. toll-free fax: (800) 779-3123

Table of Contents

Introduction	1
Requirements for SmartLink for Albridge	1
Registering for SmartLink for Albridge	2
Setting up SmartOffice	3
Downloading Data from the Albridge Web Site	3
Using the Albridge Integration	3
Data Downloaded from Albridge.....	5
Contact.....	5
Investment.....	6
Appendix A	7
Linking the Advisor to the User Record	7
Verifying Clients' Contact Records.....	9
Frequently Asked Questions.....	10

Introduction

This guide outlines the use of SmartLink for Albridge Web Services for SmartOffice® version 5.1 and later. This integration involves being able to retrieve a client's portfolio or an advisor's book of business. For information on purchasing SmartLink for Albridge, please contact E-Z Data's Sales Department at (800) 777-9188. For more information, visit www.ezdata.com. For more information on the Albridge application, visit <http://www.albridge.com>.

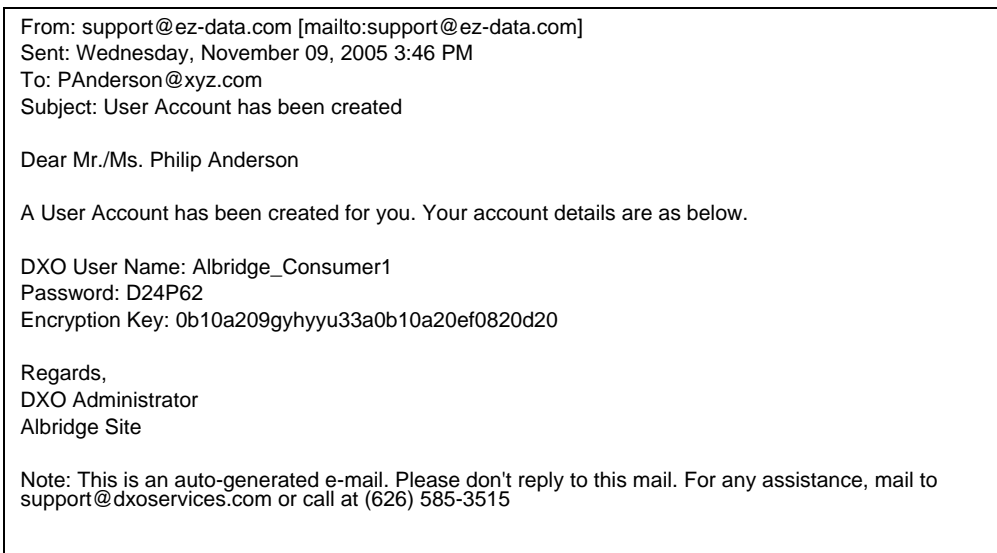
Requirements for SmartLink for Albridge

- Wealth Management service from Albridge
- Partner User ID provided by your Home Office representative to Albridge
- SmartOffice v5.1 or higher
- Register for SmartLink for Albridge Web Services
- SmartInvestments module
- Adobe Reader to review PDF reports
- Add the following URLs as part of your trusted sites.
 1. Select **Internet Options** from the expanded **Tools** menu.
 2. Click the **Security** tab and then select **Trusted Sites** from the Web Content Zone section.
 3. Click the **Sites** button.
 4. Copy and paste (or type) the following URL to the **Add this Web site to the zone** text field.
 - *.ez-data.com
 5. Click the **OK** button to close the Trusted Site dialog box.
 6. Click the **OK** button to close the Internet Options dialog box.

Registering for SmartLink for Albridge

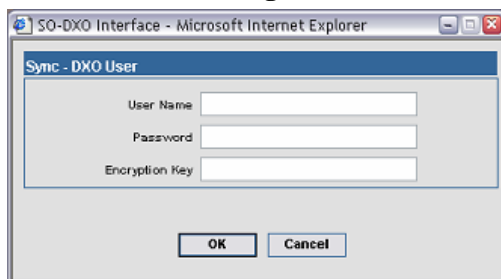
You must call your E-Z Data customer service representative and register for SmartLink for Albridge before you can access this feature. The ability to access this feature is provided on a per user basis within an office.

SmartLink for Albridge runs on E-Z Data's DataXchange Online service platform. If this is the first DataXchange Online service being subscribed to, your SmartOffice user information must be synchronized with DataXchange Online. The DataXchange Online synchronization information will be sent by e-mail, as shown below.



To display the DataXchange Online button in the global toolbar, perform the following:

1. Select **User Setup** from the expanded **User Management** menu.
2. Click the **Search** button.
3. Tag the user who will be doing the DataXchange uploads for Albridge.
4. Click the **User Roles/Licenses** sub-tab.
5. In the right pane, scroll all the way to the bottom and then select the **SI.Adapter DataXchange Online** option.
6. Click the **Save** button.
7. Once the **SI.Adapter DataXchange Online** option has been enabled, the DataXchange Online (DXO) button will display in the SmartOffice bottom bar.
8. Click the **DataXchange Online** button to display the Sync – DXO dialog box.



9. Input the User Name, Password, and Encryption Key with the information from the e-mail (similar to the example shown above) and then click the **OK** button.
10. The Success/Fail message will display after authentication.

Setting up SmartOffice

In order for Albridge to download data to SmartOffice, certain verifications are performed to ensure that the client information is properly matched.

Before you begin, verify the following:

- Your user account record is linked to your advisor record.
- Your Advisor record has the correct social security number entered in the SS # field.
- Your client contact records have the correct social security number entered in the SS # field or the First Name, Last Name, and Birth Date.

Note that the First Name, Last Name, and Birth Date can only be used if you will be downloading your entire book of business; otherwise, the client's social security number will be required. The social security number in SmartOffice must match the one in Albridge Web Services. Please see *Appendix A* for information on how to configure this.

Important: SmartLink for Albridge matches contact records based on SS # or First Name, Last Name, and Birth Date (only available while downloading your entire book of business). If there is no match, a new contact record will be created. This can result in duplicate contact records if this information is incorrect or missing.

- The security master record has the correct CUSIP value.
SmartLink for Albridge matches security master records based on the CUSIP. If there is no match, a new security master record will be created. This can result in duplicate security master records if the incorrect CUSIP is entered.

Downloading Data from the Albridge Web Site

The following data will be downloaded from Albridge:

- Investments – accounts and positions are created and/or updated when retrieving a specific client's portfolio or your entire book of business.
- Securities – security master records are created/updated when retrieving a specific client's portfolio or your entire book of business.
- Contacts - contacts are created when retrieving your entire book of business. Contact records are **never** updated.

Using the Albridge Integration

There are three ways to download Securities, Positions, and Account information:

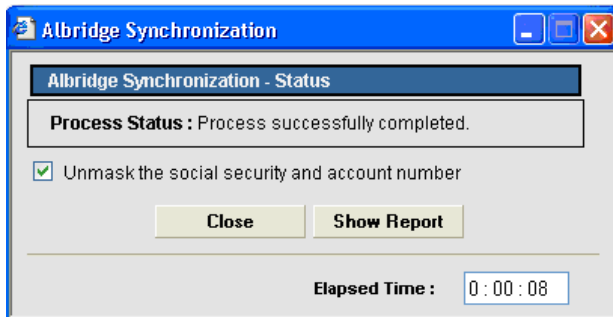
1. Select a Contact to retrieve the client's specific information only.
2. Select multiple Contacts from the Contact Summary to retrieve each client's specific information.
3. Select an Advisor to retrieve the advisor's entire book of business.

To download information from Albridge:

1. To download information for a contact/advisor record in SmartOffice Online (SOO), from the Quick Add/Search section, select one of the following from the drop-down list:
 - **Individual Contact:** To download information for a single/multiple Contacts.
 - **Advisor:** To download information for the advisor's entire book of business.

2. Type the first few letters of the contact/advisor's last name in the Enter Contact Name field.
3. Select the appropriate option:
 - Contact record from the Contact Summary; or, click the **Contact (P)** tab.
 - Tag the appropriate contacts from the Contact Summary.
 - Advisor record from the Advisor Summary; or, click the **Personal** tab.
4. Click the **DXO** button from the contact toolbar.
 Note that if the DXO dialog box does not display, make sure to hold the **CTRL** key + the **DXO** button. This is because the pop-up blocker is turned on; the blocker will not allow the DXO dialog box to display.
5. From the Service List, select **SmartLink for Albridge** to be prompted to enter your User Name and Password.
 Note that if the Login Page does not display, make sure to hold the **CTRL** key + **SmartLink for Albridge**.
6. Enter your User Name and Password information.
 - **User Name:** Enter the advisor's Partner ID provided by your Home Office representative to Albridge.
 - **Password:** Enter the password. This is the advisor's Social Security Number without any dashes (e.g., 123456789).

Tip: Select the **Remember Me** option if you want the system to automatically populate your User Name and Password for all future downloads.
7. Click the **OK** button.
8. When the download is complete, the Process Successfully Completed dialog box displays.



9. To view the Contact's Social Security Number and Account Number in a PDF report, select the **Unmask the social security and account number** option and then click the **Show Report** button to view the report.
 Note that you will need to see the Social Security Number and Account Number to resolve any errors.

Data Downloaded from Albridge

The following data will be downloaded from Albridge. Please see the tables below for exact data that will be downloaded for each record.

- Contact (only while downloading the Advisor's book of business)
- Securities
- Accounts
- Positions

Note that Albridge does not have any transactional data to be downloaded.

Contact

The following information will be populated on newly inserted contacts based on the information from Albridge Web Services. This information will not be updated on existing contacts.

Note that new Contacts will be inserted while retrieving the Advisor's book of business if the contact record does not exist in SmartOffice.

SmartLink for Albridge matches contact records based on SS # or First Name, Last Name, and Birth Date (only available while downloading your entire book of business). If there is no match, a new contact record will be created.

Albridge Fields	SmartOffice Fields
First Name	First Name
Middle Initial	Middle
Last Name	Last Name
Suffix	Suffix
Prefix	Title
Date of Birth	Birth Date
Social Security Number	Social Security #
Evening Phone	Residence Phone Number
Fax	Business Fax Number
Day Phone	Business Phone Number
	Business Phone Extension
E-mail	N/A
The address will be inserted with the following information. Address Type will default to <i>None</i> .	
Address 1	Address
Address 2	Address 2
Address 3	Address 3
City	City
State	State
ZIP	ZIP Code

Investment

The following investment information will be inserted or updated for each contact:

Albridge Fields	SmartOffice Fields
The following data is entered/updated in the Account Master record (Investment > Account Master)	
Acct No	Account #
Acct Name	Account Name
Account Type	Type
	Source of Data Type Set to Downloaded-Modifiable
Account Title	Registration
Tax Status	Qualified Account
The following data is inserted/updated in the Position record (Investment > Position > Position Details).	
Asset Name	Product Name
Asset Type	Asset Class
Date	Purchase Date
Quantity	Shares
Quantity Date	Share Date
Value	Current Value
Price	Price
Price Date	Price Date
Position History will be inserted/updated with the following information. (Investment > Position > Position History)	
Quantity Date	Date
Value	Value
Quantity	Shares
Price	Price
The following data is inserted/updated in the Security Master. Note that if the CUSIP does not yet exist, it will create a security record and include the following details:	
Security Name	Name
Security Type	Security Type
Ticker	Symbol
CUSIP	CUSIP
Price	Share Price
Price Date	Date
Management Name	Fund Family

Appendix A

As specified on page 1, three things must be in place for the Albrige download to function properly.

- Your Advisor record has your social security number entered in the SS # field.
- Your SmartOffice user account record must be linked to your Advisor record (NOT your Contact record; the two records act differently).
- Your client contact records have the correct social security number entered in the SS # field or the first name, last name, and date of birth only if you will be downloading your entire book of business.

Note that the social security number in SmartOffice must match the one in Albrige Web Services.

For purposes of this example, our advisor will be Jeff Advisor with a Social Security Number of 777-69-1234. Our client will be Winston Smith with a Social Security Number of 123-42-4069.

Linking the Advisor to the User Record

If your advisor is not listed in SmartOffice, perform the following steps; otherwise, skip to Step 4.

1. From the side menu, click **Advisor/Agency > Advisor/Agency Search > Search**. The Advisor Summary is displayed.
2. To add an Advisor record, click the **Add** button.
3. Ensure that the following information is entered for the Advisor record:
 - First Name
 - Last Name
 - Social Security Number

Personal Information	
Last Name	Advisor
First Name	Jeff
Greeting	Jeff
Type	Advisor
Source	
Referred By	
Birth Date	
SS #	777-69-1234
Suffix	
Middle Name	
Title	
Sub-Type	
Sub-Source	
Age	
Gender	

Once the Advisor record includes the necessary information, ensure that it is linked to the User Record used to log in to SmartOffice.

4. Click **User Setup > User Management > Search**. This will display the list of users in the system that you have rights to access.
5. Select the Advisor's user name and then click the **Detail** tab.
6. Click the **Edit** button to access edit mode.

7. Click the **Contact Record for this User** hyperlink.
Note: If a name already exists in this field, clear it first, then click the link to search for the Advisor record.

User Administration - Jeff Advisor

Summary | Detail (P) | User Roles/Licenses | Module Access Control | User Preferences | C

User's General Information

User Name: Jeff
 Full Name: Jeff Advisor
 Contact Record for this User
 E-mail Address: jadvisor@ez-data.com

Responsible for Print Queue: (Click here if this user is responsible for printing jobs in the SmartOffice Printer Queue)
 SmartOffice Printer Queue: Local Printer Queue

User Type

User Status: [E]
 User Type: P
 Super User: [K]

Calendar Access Options

Create Calendar Activities
 View Calendar for

8. To search for an Advisor record:
 - a. Type the Advisor's last name, then first, separated by a comma in the **Last Name, First Name** field.
 - b. Clear the **Contact** option.
 - c. Select the **Advisor** option.
 - d. Click the **Search** button.

Search Individual Contacts

Last Name, First Name: Advisor,J
 Employer: []
 Source: []
 Household: []
 SS #: []
 Type: []

Include these Individual Contact Types

Contact
 Advisor
 Dependent
 Employee Census

Filter

Filter: []

Set

Set: []

Search **Close**

© 2000-2005 E-Z Data, Inc. All rights reserved.

- e. Once the appropriate Advisor record is selected, click the **Save** button.

Verifying Clients' Contact Records

The last thing that needs to be done is to ensure that all of your contact records have their correct Social Security Numbers.

1. Click **Contact > Contact Search**.
2. Type the last, first name of the person you want to search for and then click the **Search** button.
3. Click the **Additional Personal** tab for the appropriate contact record.
4. Ensure that the contact record has the correct social security number in the SS # field.

Note that you do **NOT** need to provide the dashes (Figure 1). SmartOffice will auto-format them for you (Figure 2).

Congratulations! You are now ready to download data from Albridge.

Figure 1: Additional Personal Tab (Entering SS #)

The screenshot shows the 'Additional Personal' tab for a client named Winston Smith. The interface includes a navigation bar with tabs: Summary, Contact (P), Add'l Personal (selected), Household (Z), Key Relations, and Bene. Below the navigation bar, there are two main sections: 'Miscellaneous Personal Information' and 'Contact Identifications'. The 'Miscellaneous Personal Information' section contains fields for Salary, Total Income, Nationality, Primary Language, Birth Place, Tax, Net Worth, and Citizenship. The 'Contact Identifications' section contains fields for SS #, HO ID, Driver's License #, State, and Expiration Dt. The SS # field is highlighted with a red circle and contains the value '123424069'. To the right of the main form, there is a sidebar with 'Important Information' and 'Miscellaneous' sections, each containing a list of actions like Created, Modified, Last Letter, Last Action, Next Action, etc.

Figure 1: Additional Personal Tab (Format of SS #)

The screenshot shows the 'Additional Personal' tab for a client named Winston Smith, similar to the previous one. The SS # field is highlighted with a red circle and contains the value '123-42-4069', which is auto-formatted with dashes. The rest of the interface, including the navigation bar, form fields, and sidebar, is identical to the previous screenshot.

Frequently Asked Questions

1. Error while trying to log in to Albridge.
 - **Question:** I tried logging in with my user name and password but I get the following error: “AUTHORIZATION_ERROR 4: Invalid Partner User ID. Please contact Software Manufacturer Product Support.”
 - **Answer:** The user name you are using is actually the one you received when you signed up for Web Services through your Home Office. This Partner ID is the user name you should be using to log into Albridge Web Services in SmartOffice. The password is your Social Security Number.
2. Accounts and Positions were not created for the contact.
 - **Question:** I tried retrieving my client’s portfolio and the report stated that ‘0’ accounts and positions were created, which I know to be incorrect because my client does have accounts.
 - **Answer:** This is because the account already exists within SmartOffice, but is linked to the incorrect contact record. This can occur when a contact record is incorrectly associated with someone else’s social security number. As a result, when the records are being processed, the accounts are uploaded to the incorrect contact record. Like social security numbers, account records are also unique, so once an account is created with that account number, the system will not allow another account with the same account number. This is why the report displays ‘0’ accounts and ‘0’ positions.
 - **Action:** To resolve this issue:
 - a. Check the **Unmask the social security and account number** option to display the account number within the report.
 - b. Select the **Show Report** button.
 - c. Scroll down to the section titled **The following Account Numbers were not processed because a duplicate Account# was found.**
 - d. Copy the first account number from the Account # column. You will use this information to search for the existing account in SmartOffice.
 - e. Open SmartOffice and conduct a Quick Search to find the duplicate account.
 1. Select **Account Master** from the drop-down list.
 2. Paste the Account # in the Enter Account # text field.
 3. Click the **Go** button.
 - f. The Account Master Summary will display the account information related to that account number.
 - g. Select the account and then click the **Delete** button. This will delete the account from the system and enable you to upload it to the correct contact within SmartOffice the next time the Albridge integration is run.

3. Contact was not processed.
 - **Question:** The report notes that a contact was not processed, why is that?
 - **Answer:** This usually occurs because the Social Security Number of the contact in SmartOffice does not match the one in Albridge Web Services.
 - **Action:** Confirm that the Social Security Number for that contact record in SmartOffice is correct.

4. Error message appears after trying to log in.
 - **Question:** After logging in, I received the following error message ‘The advisor is not linked to any user.’
 - **Answer:** This is because your user account is not tied to your Advisor record.
 - **Action:** To resolve this issue:
 1. Go to **User Setup > User Preferences**.
 2. Ensure that the correct name is entered in the Linked Contact field, by following the steps in Appendix A.

5. Total Value is not populated.
 - **Question:** Once I retrieve my client’s portfolio, the ‘Total Value’ is not populated.
 - **Answer:** The ‘Total Value’ is a calculation that will be populated once you click the ‘Validation’ button. This button will calculate all of the account values and populate the total account value accordingly. Select this button every time you update the client’s portfolio.

6. Duplicate Social Security Numbers.
 - **Question:** What happens when there is a duplicate Social Security Number found in SmartOffice?
 - **Answer:** The accounts and their positions are created but the accounts are considered orphaned accounts (not associated with a contact record). This is because SmartLink for Albridge could not link it to a unique contact record. It is very important first of all to fix the duplicate contact issue.

There will be a separate section in the report noting the error (as shown below). In this example, three different contact records have identical social security numbers: George Peterson, Joseph Ackerman, and Alicia Anderson. As a result, SmartLink for Albridge created the orphaned accounts.

Albridge Advisor Level Synchronization Report						
The following account were processed but not linked to any contacts.						
Sl. No.	Account#	SS#	Last Name	Fisrt Name	DOB	Reason
1	14226798180	121216303	Peterson	George		Duplicate SS#.
2	903244000000 000	121216303	Peterson	George		Duplicate SS#.
3	015929AD000	156950636	Ackerman	Joseph		Duplicate SS#.
4	V3707105MC	213072330	Anderson	Alicia		Duplicate SS#.

- **Action:** To resolve the duplicate SS# issue:
 1. From the Albridge Synchronization dialog box, click the **Unmask the social security and account number** option.
 2. Click the **Show Report** button to open the report in PDF format.
 3. Scroll down to the section titled 'The following accounts were processed but not linked to any contacts.'
 4. Copy the social security number and return to SmartOffice.
 5. From the Side Menu, select **Contact > Contact Search**.
 6. From the Contact Search dialog box, select the **Individual** option. Additional sets of fields will display including the SS#.
 7. Paste the social security number to the SS # field.
 8. Click the **Search** button.
 9. Make the necessary corrections to ensure that each contact record includes the correct and unique social security number.
 10. Once complete, associate the accounts with the appropriate contact record.
- **Action:** To Associate an Orphaned Account with a Contact:
 1. From the Side Menu, select **Investment > Link Account to Contact**.
 2. From the Search Unassigned Account Masters dialog box, click the **Search** button.
 3. Select the option next to the account you would like to associate with a contact record.
 4. Click the **Assign Contact to Account** button.
 5. Enter the contact's name (last, first) or enter the name of the filter to find the contact record.
 6. Click the **Search** button.
 7. Select the appropriate contact from the Contact List. The account will be linked to the selected contact.
 8. If the contact is not found or if it does not exist, click the **Add** button located on the Contact List toolbar to create a new contact record.
 9. Create a contact record as you normally do. Make sure to include the first name, last name, and social security number.
 10. Once the contact record is saved, the account will be linked to the selected account.