

SmartLink for
National Financial/Fidelity
User Guide

SmartOffice[®]



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Introduction

SmartLink for National Financial/Fidelity is a SmartOffice adapter that enables SmartOffice users to import data files from Advisor Channel v2.5 into SmartOffice. Instead of dedicating a support person to enter month-old information from duplicate statements, use the Internet to receive the latest data, dramatically improving client service with current investment information. SmartLink for National Financial/Fidelity takes care of 75-95% of the day-to-day data entry and updating requirements that drain the resources of most offices.

To use SmartLink for National Financial/Fidelity, users must first register with National Financial/Fidelity to receive data files through the Advisor Channel software.

Requirements

- Internet Explorer version 6.0
- The following configuration is required for Internet Explorer.
 1. Select **Internet Options** from the expanded **Tools** menu to open the Internet Options dialog box.
 2. Click the **Security** tab and then click the **Custom Level** button in the Security Level for this Zone section to open the Security Settings dialog box.
 3. Enable the following options:

ActiveX controls and plug-ins:

- Automatic prompting for ActiveX controls: **Enable**
- Download unsigned ActiveX controls: **Enable**
- Initialize and script ActiveX controls not marked as safe: **Enable**

Miscellaneous

- Access data sources across domains: **Enable**

Uploading Files

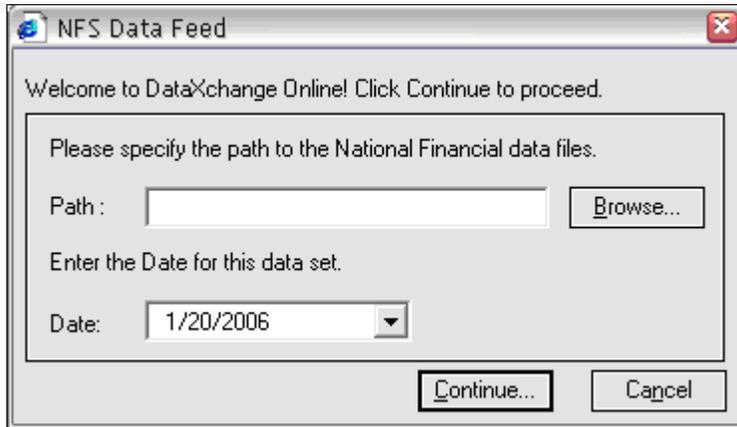
The user must download the data files onto their client computer through Advisor Channel. SmartLink for National Financial/Fidelity will only accept a complete set of text files with valid data in the Advisor Channel v2.5 format.

Phase 1: Translation

1. Once the data files have been prepared, click the **DataXchange Online** button to display the Service List.



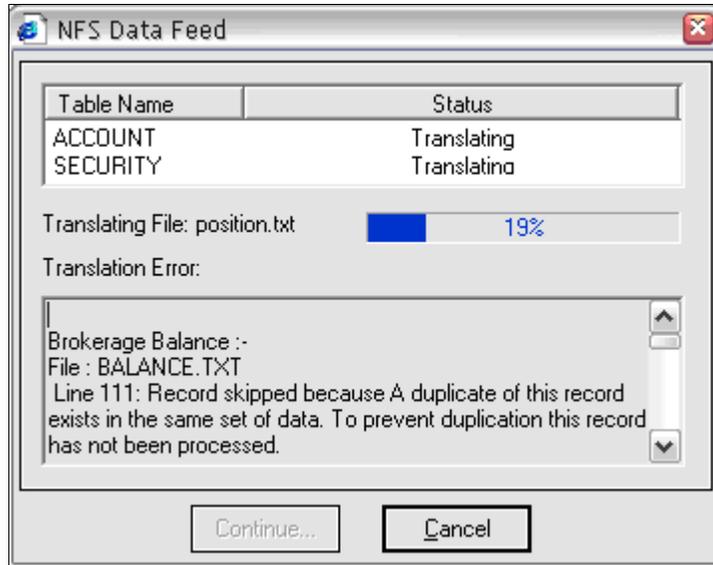
2. Select the **SmartLink for National Financial/Fidelity** hyperlink to open the NFS Data Feed dialog box.



Note: National Financial/Fidelity does not provide a position date in the download. SmartLink for National Financial/Fidelity uses the current date as the default. Use this dialog box to enter the correct position date. This dialog box opens when processing the Account Position file for National Financial/Fidelity.

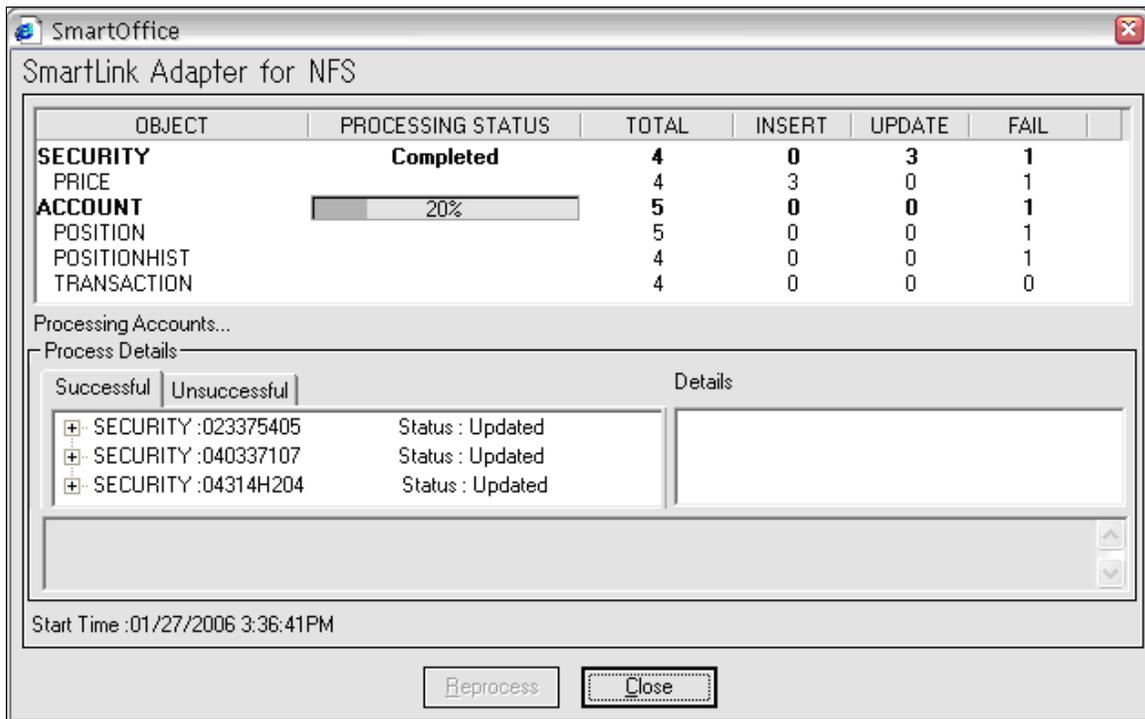
3. If the latest components for the service are not installed in the local computer, they will be downloaded and installed automatically.
4. Enter the full path in the Path field; or, click the **Browse** button to specify the location and then click the **OK** button.

- For Advisor Channel data, the date used when generating the data needs to be specified. All data will be added under this date.
- Click the **Continue** button to evaluate and convert the data to the appropriate format. If errors occur during this stage, they will be displayed in the Translation Error section.



Phase 2: Processing

After translation is complete, SmartLink for National Financial/Fidelity will process the data against SmartOffice. Progress can be monitored from the SmartLink Adapter for NFS dialog box.



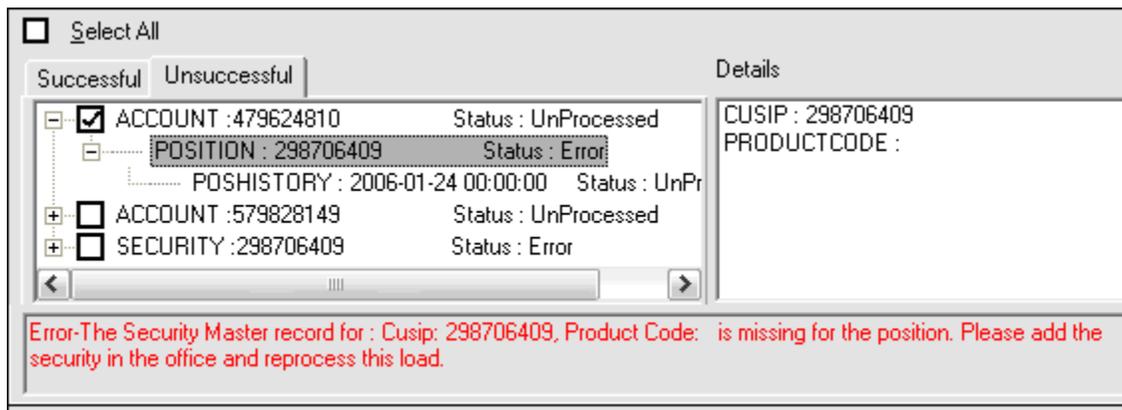
Reviewing Import Results

After the data files are processed, the import results can be viewed from the SmartLink Adapter for NFS dialog box. The report includes what time the set of files started and completed processing and the detailed information on records successfully and unsuccessfully processed.

Handling Errors

Click the **Unsuccessful** tab to display the records that failed during processing. Selecting each security or account record will display the error messages and list all records associated with the security or account.

Most errors that occur while processing accounts are the result of dependant data, such as a missing SmartOffice security. The error messages on the Unsuccessful tab enable the user to find exactly what data is missing from SmartOffice. In the example below, an account failed to be processed successfully because there was a security master record missing from SmartOffice.



The user can search for the investment security master in SmartOffice. They will find that there is no security master record with the CUSIP “298706409.” This security master needs to be manually added to SmartOffice before the account can be successfully processed.

After the missing dependant data has been manually added to SmartOffice, return to SmartLink for National Financial/Fidelity to reprocess the failed records. Select the option for the set of data that needs to be processed again and then click the **Reprocess** button for SmartLink for National Financial/Fidelity to process the failed records. If the missing dependant data is found on the subsequent attempt, the record will be successfully imported into SmartOffice.

Rules and Reminders

- The system is not designed to handle the processing of months of data. Download and process data daily or as often as the data is available. Processing the data daily raises alerts to possible corporate actions, changes in CUSIP, account number and file formats that can affect the accuracy of the data in SmartOffice.
- SmartLink for National Financial/Fidelity creates security records, but National Financial/Fidelity does not provide a complete security file. If your security master in SmartOffice is not already populated during your first import, most of the positions will fail because of missing security data. During subsequent imports, the user may need to manually add security records to SmartOffice.
- National Financial/Fidelity does not provide the Cost Basis and Tax Basis for positions. Cost Basis and Tax Basis will only be populated on National Financial/Fidelity positions if the transaction history is manually altered and the Roll-up Option is set accordingly. Refer to the SmartInvestment Help for details on Roll-Up Options and the calculation of Cost Basis and Tax Basis.
- SmartLink for National Financial/Fidelity will not overwrite the primary contact or name of existing accounts in SmartOffice. It will also not overwrite the name of existing security records in SmartOffice.
- The Tax ID on contact records within SmartOffice must be unique for data processing to function correctly; no duplicate Tax IDs are allowed. For a new account to be automatically linked to an existing contact record, the SS# on the contact must match the Tax ID of the National Financial/Fidelity account.
- While SmartLink for National Financial/Fidelity will link accounts to existing contact records, it does not create new contact records in SmartOffice. If a contact with a matching Tax ID cannot be found for a new account, SmartLink for National Financial/Fidelity will place the new account in the SmartInvestment module's Unlinked Account Summary. The account will need to be manually linked to a contact from within SmartOffice.
- SmartLink for National Financial/Fidelity does not automatically reconcile incomplete transaction histories to conform to the daily position Share Balance data. The Reconcile Report in SmartInvestments can be used to identify and automatically correct incomplete transaction histories. Refer to the SmartInvestments Help for details on the Reconcile Report.