

## Steps Needed to Manually Convert Putnam Account Numbers

**Warning: Failure to follow these steps, especially not processing your DST FAN mail files in a timely manner, will result in duplicate Putnam accounts and positions being created in CDS or SmartOffice after Monday, August 13, 2007. Also, after changing the Putnam account numbers to the new convention you cannot retrieve any old Putnam data files from DST FAN Mail's My File History as this may result in the old accounts and positions being recreated in CDS or SmartOffice.**

### 1) Acquiring the Putnam account number cross reference spreadsheet document

Acquire the Putnam account number cross reference document from Putnam by going to the Putnam Advisor website ([www.putnam.com/advisor/](http://www.putnam.com/advisor/)). If you have never been to the Putnam Advisor website you will need to request an ID to login.

**If you need an ID do this step now! To request a Putnam login ID to receive the account conversion file you will need to send a letter of instruction on firm letter head requesting a back office ID for the Putnam Financial Advisor web site. It will need to be signed by a VP or above. You can fax the request to 617-760-9609.**

Once you login go to the Putnam Advisor Web site click on the Accounts tab then click on the Account Cross Reference tab (last tab on the right) and follow the instructions on the screen. If you have any problems doing this part call Putnam at 1-800-362-6061.

There may be several versions of the account cross reference document available up to and including 8/11/2007 so as to include any new Putnam accounts opened during this timeframe. Make sure you use the most complete and accurate version of the Putnam document for the manual conversion.

The screenshot shows a Microsoft Internet Explorer browser window displaying the Putnam Financial Advisor website. The address bar shows <https://www.putnam.com/advisor/>. The website header includes the Putnam Investments logo and the text 'FINANCIALADVISOR'. A navigation menu at the top contains links for Home, Products, Accounts, Sales Opportunities, Education, News and Commentary, Tools, and About Putnam. Below this, a secondary menu lists Mutual Funds @ 529, Client Reporting, Allstate, Hartford, Individual & Small Business(K), and Account Cross Reference. The main content area is titled 'Request a Putnam/DST account number cross-reference file' and includes a 'PRINT' icon. The text explains that Putnam can provide a file listing current and new account numbers, to be provided in late July. It asks the user to provide or confirm their email address to request the file. A form field for 'e-mail address:' is present with a 'SUBMIT' button. A disclaimer at the bottom states 'FOR DEALER USE ONLY. This material is prepared for dealer information only. It may not be reproduced, shown, or otherwise communicated to members of the public nor used in written form as sales literature.' The footer includes the copyright notice '© 1998-2007, Putnam Retail Management' and the Putnam Investments logo. The Windows taskbar at the bottom shows the Start button, several application icons, and the system tray with the time '2:21 PM'.

## 2) Processing your DST FAN Mail Putnam files that contain the old account numbers:

The last DST FAN Mail Putnam files that will contain the old account numbers will be available from DST FAN Mail Saturday August 11 for any Putnam account activity (Buys, Sell, Dividends, etc.) that occurred on or before Friday, August 10, 2007.

It is imperative that you retrieve all of your DST data and process it before Tuesday, August 14, 2007 as any Putnam account activity starting Monday August 13, 2007 will contain the new account numbers and will appear in files available on Tuesday, August 14, 2007

## 3) Changing the old Putnam account numbers to the new account number convention

After successfully processing all of your data from DST by Monday August 13, 2007 now go back into CDS or SmartOffice and search and replace all of your Putnam account numbers using the Putnam cross reference spreadsheet document. The old Putnam account number should be located in column B of the spreadsheet and the new Putnam account number should be located in column D.

### For SmartOffice users:

**Option 1)** Use the **Account Master Search** dialog box using the left side menu **Investments – Account Master**. Type in the old account number in the **Account #** field and click **Search** to find the account with that account number. On the **Account Detail** tab enter the new account number in the **Account #** field and save the record. Repeat the above process until all of the relevant accounts have been changed.

The screenshot displays the SmartOffice Admin web application in a Microsoft Internet Explorer browser window. The browser's address bar shows the URL <http://demo.ez-data.com/USA/>. The page header includes the SmartOffice logo and navigation links for [Bookmark](#), [Training](#), [Help](#), [Proxy Sub-Set Off](#), [Home](#), [About](#), and [Logout](#). The main content area is titled "Hello Admin (Hollywood) Thursday July 26, 2007". A "Quick Add/Search" sidebar is visible on the left, with a search box containing "Candidate" and a "go" button. The main content area features a "What's New In" section with a man in a suit and text about "Usability Features", "Reporting", and "Personalization". A "SmartClass" section is also visible. The "Account Master Search" dialog box is open in the center, with the following fields: Contact, Household, Account Type (dropdown), Account #, Account Name, Tax ID, How Held (dropdown), and Owner (dropdown). There is also a "Filter" field and "Search" and "Close" buttons. The footer of the page includes the SmartOffice logo and the text "© 2000-2005 E-Z Data, Inc. All rights reserved." The browser's taskbar at the bottom shows the Start button, Yahoo! Messenger, and several open windows including "Inbox - Microsoft Out...", "192.168.1.149 - Rem...", "SmartOffice - Hugh B...", and "SmartOffice - Admin (...)". The system tray shows the time as 3:59 PM.

The screenshot shows the SmartOffice Admin interface for a Putnam Account. The page is titled "Putnam Account - Peter Walker" and features a navigation menu on the left and a main content area with several tabs: Summary, Account Detail (selected), Asset Allocation, Performance, Investment Positions, Transactions, Liability, and Letters/Documents. The main content area is divided into several sections:

- Account Registration Information:**
  - Account Name: Putnam Account
  - Account #: A1234567890123456
  - Open Date/Tax ID: 12/27/2000 | 123456789
- Account Additional Information:**
  - Type: General
  - How Held/Owner: Other | Client
  - Status/Closed Date: Active
  - Purpose:
  - Source of Data: Downloaded-Modifiable
  - Data Provider:
- Account Values:**
  - Account Value: 106,123.64
  - Loan Balance: 0.00
  - Net Value: 106,123.64
- Interested Parties:**

Contact Name	Role	Relation
Walker, Peter	Primary Contact	
- Advisor Relationships:**

Advisor	Role
Anderson, Philip	Primary Advisor

The interface also includes a left-hand navigation menu with categories like Calendar, Wholesaler, Recruitment Tracking, Contact Search, Reporting/Marketing, Opportunity, Pending Case, Policy, Policy/PCM Setup, CTM, Investment, Asset Allocation, Seminar Tracking, Leads Tracking, Job Queue, User Setup, Office Setup, Training, Data Maintenance, and Miscellaneous. The bottom of the page shows a Windows taskbar with several open applications and a system tray with the time 4:21 PM.

**Option 2)** Use the **Search Security Master** dialog box using the left side menu **Investments – Security Master**.and list your Putnam mutual funds.

Then go to the **Investment Positions** tab for each Putnam security to see a list of Putnam positions linked to this security.

Click on the position's **Account Name** hyperlink and the **Account Detail** tab will appear. Enter the new account number in the **Account #** field and save the record. Close the record and this should return you to the **Investment Positions** list. Click on the next position and repeat the process until all of the account numbers have been changed to the new account number convention.

Repeat the above process for all Putnam funds until all of the relevant accounts have been changed.

SmartOffice - Admin (Hollywood) - Microsoft Internet Explorer

Address: http://demo.ez-data.com/USA/

SmartOffice by E-Z DATA

Bookmark Training Help Proxy Sub-Set Off Home About Logout

Hello Admin (Hollywood) Thursday July 26, 2007

**What's New In**

**Usability Features** When your business, every keystroke focused in improving the simplified pending case and email for

**Reporting** useful the no the ar Repor fields. T Organiz

**Personalization** that SmartOffice co sometimes, features way SmartOffice 5 pr than before, making it

> [Click here to find out about all the new feat](#)

SmartOffice - Web Page Dialog

**Search Security Master**

Symbol: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 CUSIP: \_\_\_\_\_  
 Security Type: All  
 Sector: All  
 Asset Class: All  
 Fund Objective: \_\_\_\_\_

Filter: \_\_\_\_\_

Search Close

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stClass

When area codes change, the Area Code Change utility makes it possible to quickly update affected area codes in a few simple steps. [Click Here](#)

smartUpdates

Effectively capture carrier, product, and individual policy data and keep your contacts updated on their coverage with regular policy reports. [Click Here](#)

smartFeatures

Latest News - Contact Support - About E-Z Data [Click Here](#)

SmartOffice 5

start | Inbox - Microsoft Out... | 192.168.1.149 - Rem... | SmartOffice - Hugh B... | SmartOffice - Admin (...)

4:07 PM

SmartOffice - Admin (Hollywood) - Microsoft Internet Explorer

Address: http://demo.ez-data.com/USA/

SmartOffice by E-Z DATA

Bookmark Training Help Proxy Sub-Set Off Home About Logout

System: Mutual Fund Detail - Putnam Diversified

Summary Detail (P) Investment Positions Price History

List of Positions				Status	All	Print	Export	Refresh	Help
Contact Name	Account Name	Account #	Shares	Cost	Value				
<input type="checkbox"/> Walker, Peter	Putnam Account	A1234567890123456	498.744400	20,000.00	23,002.09				
<b>Total</b>			<b>498.744400</b>	<b>20,000.00</b>	<b>23,002.09</b>				

Records Shown: 1 Total Records: 1

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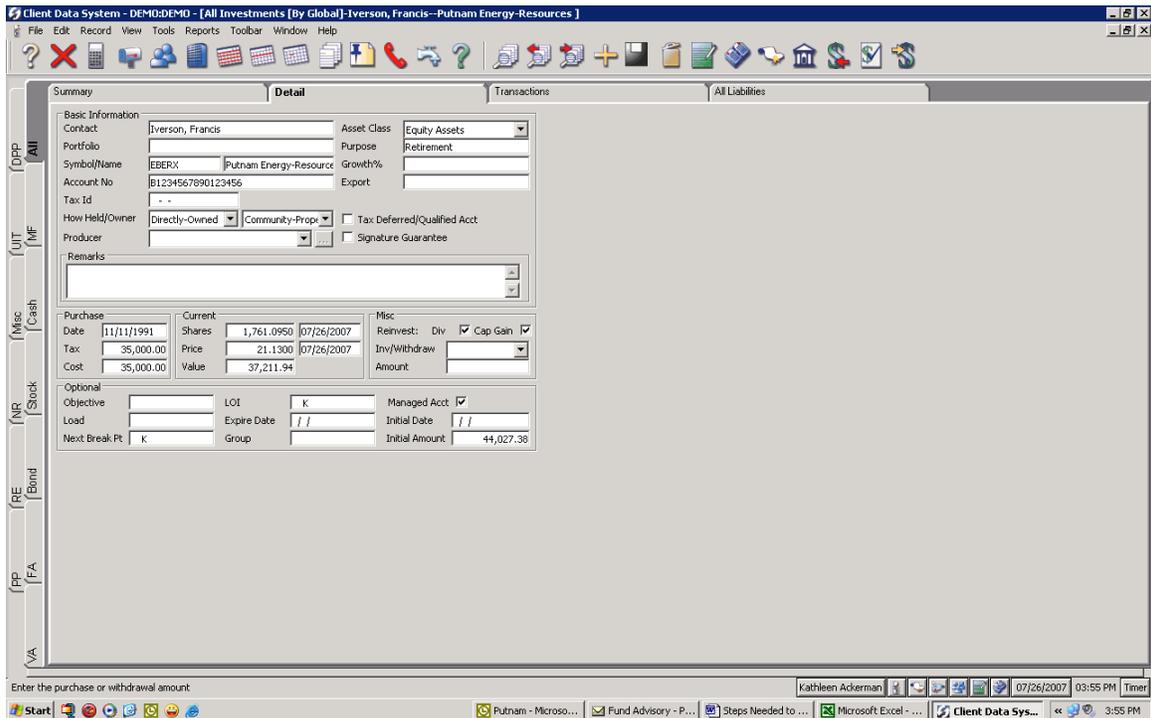
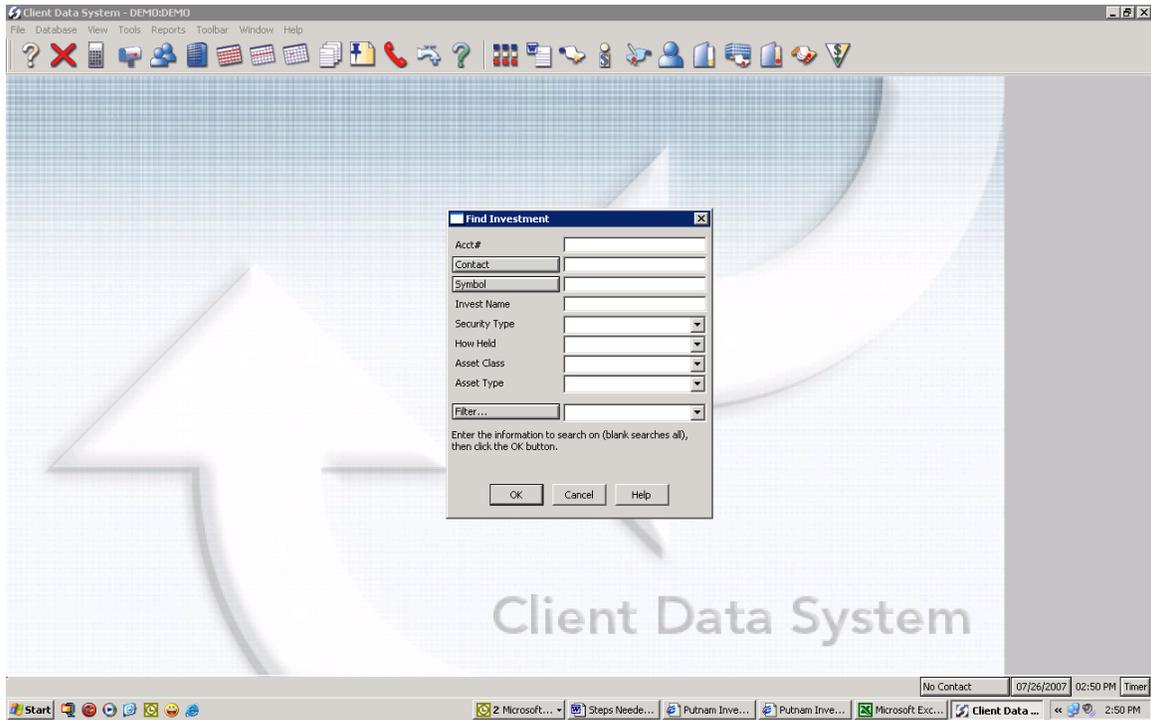
start | Inbox - Microsoft Out... | 192.168.1.149 - Rem... | SmartOffice - Hugh B... | SmartOffice - Admin (...)

4:22 PM

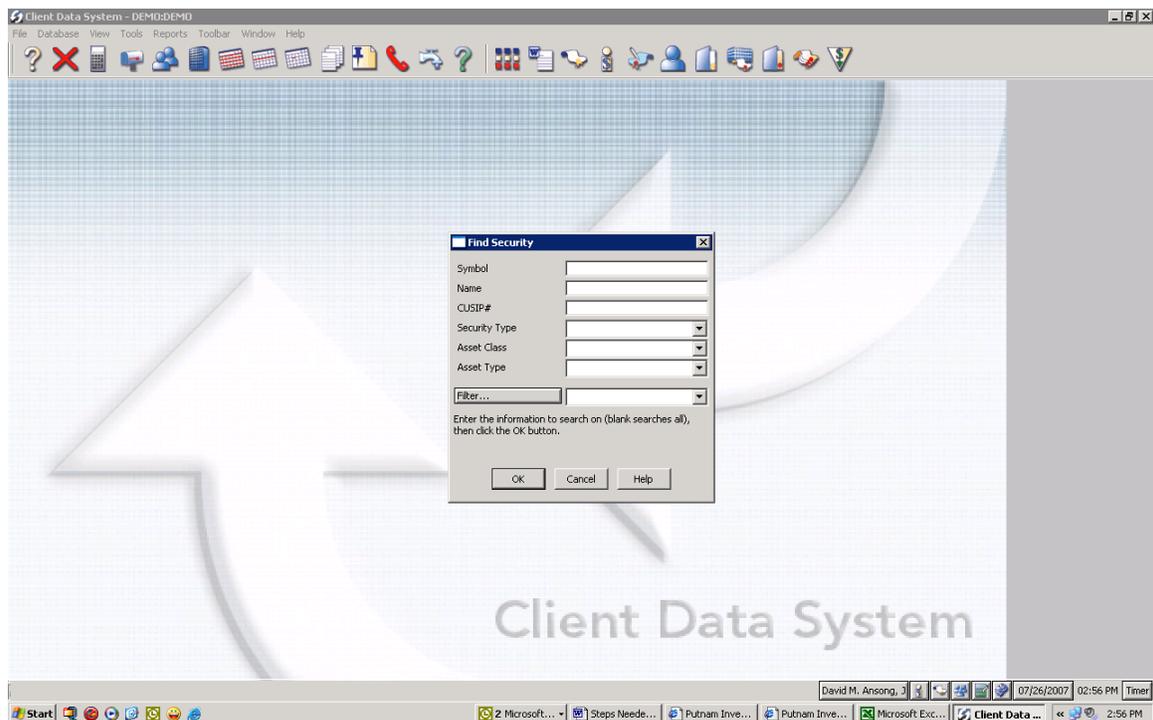
Please call E-Z Data tech support at 626-585-3515 if you have any questions regarding the above process.

## For CDS for Windows users (any version):

**Option 1:** Use the Global Investment Search dialog box and type in the old account number in the **Acct#** field to find all positions with that account number. Go to the **Detail** tab for each position and enter the new account number in the **Account No** field and save the record. Repeat the process until all of the relevant accounts have been changed.



**Option2:** Use the **Find Security** search dialog box and list your Putnam mutual funds.



Then go to the **Positions** tab for each Putnam security to see a list of Putnam positions linked to this security.

Double click on the position rows until the **Detail** tab for the position appears. Enter the new account number in the **Account No** field and save the record. Close the record and this should return you to the **Position** list. Double click on the next position and repeat the process until all of the account numbers have been changed to the new account number convention.

Repeat the above process for all Putnam funds until all of the relevant account positions have been changed.

