SmartLink for
Albridge Web Services

SmartOffice®

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Introduction

This guide outlines the use of SmartLink for Albridge Web Services for SmartOffice® version 5.1.3 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 Web Services, 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 www.albridge.com.

Requirements

- Wealth Management and Albridge Web Services from Albridge
- Partner User ID provided by the user's Home Office representative to Albridge
- SmartOffice v5.1.3 or higher
- SmartLink for Albridge Web Services registration
- SmartInvestments module
- Adobe Reader (for reviewing PDF reports)
- Appropriate URL added to Internet Explorer's trusted sites, as follows:
    1. Select **Internet Options** from the expanded **Tools** menu.
    2. Click the **Security** tab and then select the **Trusted Sites** option 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** field.
        - *.ez-data.com
    5. Click the **OK** button to close the Trusted Sites dialog box.
    6. Click the **OK** button to close the Internet Options dialog box.
        - Pop-up blockers disabled.

Registering for SmartLink for Albridge Web Services

Call E-Z Data customer service to register for SmartLink for Albridge Web Services. This is necessary before the feature can be accessed. The ability to access this feature is provided on a per user basis within an office.

Setting up SmartOffice

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

Before you begin, verify the following:

- The advisor's SmartOffice user account record is linked to the advisor's SmartOffice record. (The user account must be linked to an advisor record, not a contact record; the two behave differently.)
- The advisor's user account has access to the SmartInvestments module.
- The advisor's correct Social Security Number is entered in the SS # field.
- Client contact records have the correct Social Security Number.

  The SS # in SmartOffice must match the one in Albridge Web Services. Although SmartLink for Albridge Web services can use other criteria to attempt to match contacts (see page 5 for details), entering an SS # for each contact is recommended for the most accurate results.
- Business clients have the correct Tax ID. The Tax ID in SmartOffice must match the one in Albridge Web Services.
- Investment securities have the correct CUSIP and Symbol values.

Downloading Data from Albridge Web Services

This section describes the steps for downloading data and provides detailed information about the types of data downloaded.

When using SmartLink for Albridge Web Services, download data frequently—daily, if possible, or as often as data is available. Downloading frequently raises alerts to possible corporate actions and changes in CUSIP, account number and file formats that can affect the accuracy of data in SmartOffice.

Using the Albridge Web Services Integration

SmartLink for Albridge Web Services can be used to:

- Retrieve a single contact's or business' investment portfolio.
- Retrieve multiple contacts' or businesses' investment portfolios.
- Retrieve an advisor's entire book of business.

The following steps apply to all of these tasks.

Download Information from Albridge Web Services

1. From the Quick Add/Search section, select one of the following from the drop-down list:
   - **Individual Contact**: To download information for one or more contacts.
   - **Business Contact**: To download information for one or more business contacts.
   - **Advisor**: To download information for an advisor's entire book of business.
2. Type the first few letters of the contact/advisor's last name (or the business name) in the search field and then click the **Go** button. The appropriate business, contact or advisor displays.

   > **Note**: If more than one search result is found, a summary page displays. Tag the appropriate contact(s), business(es) or advisor from the list.

3. Click the **DXO** button from the toolbar.

   > **Note**: If the DXO dialog box does not open, Internet Explorer's pop-up blocker may be preventing it from opening. To bypass the pop-up blocker, hold the **CTRL** key while clicking the **DXO** button.

4. From the Services list, select **Albridge Web Services - SmartLink** to be prompted to enter your Albridge Partner User ID and Advisor SS #.

Note: If the Login Page does not display, hold down the **CTRL** key while selecting **Albridge Web Services - SmartLink**.

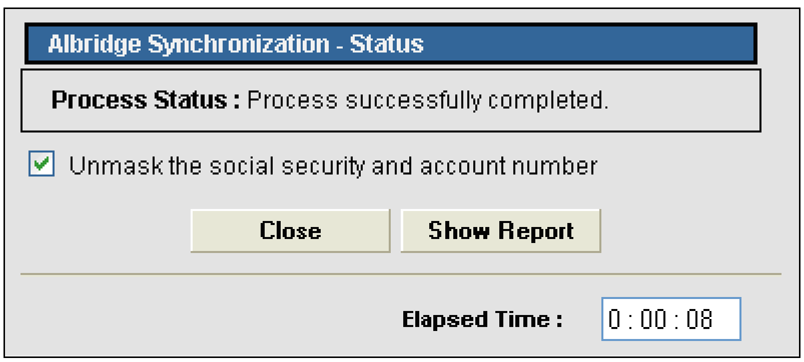
5. Enter the appropriate Albridge Partner User ID and Advisor SS # information.

   - **Albridge Partner User ID**: This is the ID provided by the user's Home Office representative to Albridge

   - **Advisor SS #**: Enter the number without any dashes (e.g., 123456789).

Tip: Select the **Remember Me** option to have the Albridge Partner User ID and Advisor SS # filled in automatically for all future downloads.

6. Click the **OK** button.
7. When the download is complete, the Albridge Synchronization - Status dialog box opens.



8. To display 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: The Social Security Number and account number are required to resolve any errors.

Data Downloaded from Albridge Web Services

The following data is downloaded from Albridge Web Services:

- Contacts
- Accounts
- Positions (including position history)
- Securities (including price history)

> **Important**: Albridge Web Services does not download any transactional data.

The following sections describe in detail the data downloaded for each record.

Contacts

SmartLink for Albridge Web Services matches contacts and businesses using the following information:

- **Contacts**: Social Security Number. If there is no matching SS #, SmartLink for Albridge Web Services tries to match contacts based on First Name, Last Name and Birth Date, matched exactly to what is in Albridge (and only when an advisor's entire book of business is downloaded).
- **Businesses**: Tax ID

If no matching contact or business is found in SmartOffice, a new contact is created (businesses are created as contacts and need to be converted to businesses in SmartOffice). For this reason, incorrect or missing contact information in SmartOffice can result in duplicate contacts being created.

> **Note**: Contacts are created only when an advisor's entire book of business is downloaded.

The following table lists the information that is automatically entered for newly created contacts based on information from Albridge Web Services. This information is not updated for existing contacts.

Albridge Field	SmartOffice Field
First Name	First Name
Middle Initial	Middle
Last Name	Last Name

<table>
<tr><th>Albridge Field</th><th>SmartOffice Field</th></tr>
<tr><td>Suffix</td><td>Suffix</td></tr>
<tr><td>Prefix</td><td>Title</td></tr>
<tr><td>Date of Birth</td><td>Birth Date</td></tr>
<tr><td rowspan="2">Advisor Selected in SmartOffice</td><td>Primary Advisor

Note: When selecting the advisor to begin downloading the advisor’s book of business, the advisor is linked to the contact as the primary advisor.</td></tr>
<tr><td>User Assignment

Note: The selected advisor is automatically assigned to the contact.</td></tr>
<tr><td>Social Security Number</td><td>Social Security #</td></tr>
<tr><td>Evening Phone</td><td>Residence Phone Number</td></tr>
<tr><td>Fax</td><td>Business Fax Number</td></tr>
<tr><td>Day Phone</td><td>Business Phone Number</td></tr>
<tr><td></td><td>Business Phone Extension</td></tr>
<tr><td>E-mail</td><td>N/A</td></tr>
<tr><td colspan="2">The address is created using the following information. The address type defaults to None.</td></tr>
<tr><td>Address 1</td><td>Address</td></tr>
</table>

Albridge Field	SmartOffice Field
Address 2	Address 2
Address 3	Address 3
City	City
State	State
ZIP	ZIP Code

Investment Accounts and Positions

Accounts and positions (including position histories) are created and/or updated when a specific client's portfolio or an advisor's entire book of business is retrieved.

SmartLink for Albridge Web Services matches accounts based on account number.

- If a match is found, certain account information is updated (as noted in the contact table in the previous section), and position and position history information is inserted/updated.
- If no match is found, a new account is created in SmartOffice, along with the respective positions and histories.

The following investment information is created or updated for each contact.

Accounts

Albridge Field	SmartOffice Field	Field Updated?
Acct No	Account #	Yes (Leading Zeros)
Acct Name	Account Name	No
Acct Type [If Acct Name is blank]	Account Name	No
Acct No [If Acct Type is blank]	Account Name	No
Account Type	Type	No

Albridge Field	SmartOffice Field	Field Updated?
Account Title	Registration	Yes
Tax Status	Qualified Account	Yes
Investor's SSN	Tax ID	Yes
	Data Provider Set to "Albridge"	Yes
	Source of Data Type Set to "Downloaded-Modifiable"	Yes
	Roll Up Options Set to "Roll Up Current Value"	Yes

Position

Albridge Field	SmartOffice Field
Asset Name	Product Name
Asset Type	Sector
Quantity	Shares
Quantity Date	Share Date
Value	Current Value
Price	Price
Price Date	Price Date

Position History

Albridge Field	SmartOffice Field
Date	Date
Quantity	Shares

Investment Securities

Investment securities and their associated price histories are inserted/updated when a specific client's portfolio is downloaded or when an advisor's entire book of business is retrieved.

SmartLink for Albridge Web Services matches securities based on Office ID, CUSIP and Symbol.

- If a match is found, the security itself is not updated; however, the price history is created or updated accordingly.

If no match is found, SmartLink for Albridge Web Services tries to match securities based on Office ID and CUSIP.

- If a match is found, the respective symbol is updated, and the price history is created or updated accordingly.

If no match is found, SmartLink for Albridge Web Services tries to match securities based on Office ID and Symbol.

- If a match is found, the CUSIP is updated, and the price history is created or updated accordingly.

If none of these methods produces a match, a new security is created along with the associated price history. For this reason, incorrect CUSIP information can result in duplicate investment securities being created in SmartOffice.

The following tables describe the fields that are matched when securities are created or updated.

Security Master

Albridge Fields	SmartOffice Fields
Security Name	Name
Security Type	Security Type
Ticker	Symbol
CUSIP	CUSIP
Management Name	Fund Family
Investment Objective	Fund Objective
Asset Type	Sector

Price History

Albridge Fields	SmartOffice Fields
Price	Share Price
Price Date	Date

Frequently Asked Questions

1. An error occurs while attempting to log in to Albridge.
    - **Question**: I tried logging in with my Albridge Partner User ID and Advisor SS #, but I get the following error: "AUTHORIZATION_ERROR 4: Invalid Partner User ID. Please contact Software Manufacturer Product Support."
    - **Answer**: The Albridge Partner User ID you are using is actually the one you received when you signed up for Web Services through the Home Office. This Partner ID is the user name to use when logging into Albridge Web Services in SmartOffice. The Advisor SS # is your Social Security Number.
2. Accounts and positions are 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 wrong 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 unique, so once an account is created with that account number, the system does 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. Select the **Unmask the social security and account number** option to display the account number within the report.
        b. Click 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. This information will be used 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 displays the account information related to that account number.
        g. Select the account and then click the **Delete** button. This deletes the account from the system and enables the correct contact within SmartOffice to be uploaded the next time the Albridge integration is run.

3. A contact is not processed.
    - **Question**: Why does the report note that a contact was not processed?
    - **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. An error message displays when 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:

        a. Go to **User Setup > User Preferences**.

        b. Ensure that the correct name is entered in the Linked Contact field, by following the steps in the Appendix (see page 15).
5. The Total Value is not filled in.
    - **Question**: Once I retrieve my client’s portfolio, the Total Value is not filled in.
    - **Answer**: The Total Value is a calculation that is filled in once the Validation button is clicked. This button calculates all of the account values and fills in the total account value accordingly. Click this button every time the client’s portfolio is updated.
6. Duplicate Social Security Numbers are found.
    - **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 (i.e., not associated with a contact record). This is because SmartLink for Albridge Web Services could not link it to a unique contact record. It is very important to correct the duplicate contact issue.

There is a separate section in the report noting the error.

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	903244000000000	121216303	Peterson	George		Duplicate SS#.
3	015929AD000	156950636	Ackerman	Joseph		Duplicate SS#.
4	V3707105MC	213072330	Anderson	Alicia		Duplicate SS#.

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 Web Services created the orphaned accounts.

- **Action**: To resolve the duplicate SS # issue:

  a. From the Albridge Synchronization dialog box, select the **Unmask the social security and account number** option.

  b. Click the **Show Report** button to open the report in PDF format.

  c. Scroll down to the section titled “The following accounts were processed but not linked to any contacts.”

  d. Copy the Social Security Number and return to SmartOffice.

  e. From the side menu, select **Contact > Contact Search**.

  f. From the Contact Search dialog box, select the **Individual** option to display additional fields, including the SS # field.

  g. Paste the Social Security Number into the SS # field.

  h. Click the **Search** button.

  i. Make the necessary corrections to ensure that each contact record includes a correct and unique Social Security Number.

  j. Once complete, associate the accounts with the appropriate contact record.

- **Action**: To associate an orphaned account with a contact:

  a. From the side menu, select **Investment > Link Account to Contact** to open the Search Unassigned Account Masters dialog box

  b. Click the **Search** button.

  c. Tag the account to be associated with a contact record.

  d. Click the **Assign Contact to Account** button.

  e. Enter the contact’s name (last, first) or enter the name of the filter to find the contact record.

f. Click the **Search** button.

g. Select the appropriate contact from the Contact List. The account will be linked to the selected contact.

h. If the contact is not found or does not exist, click the **Add** button located on the Contact List toolbar to create a new contact record.

i. Create a contact record. Make sure to include the First Name, Last Name and Social Security Number.

j. Once the contact record is saved, the account is linked to the contact.

7. An error message displays when trying to log in.

   - **Question**: After logging in, I received the following error message: “No advisor found.”
   - **Answer**: This occurs when the advisor’s Tax ID is not set up correctly in Albridge Web Services. Please check with the back office to make sure the advisor’s Tax ID is correct.

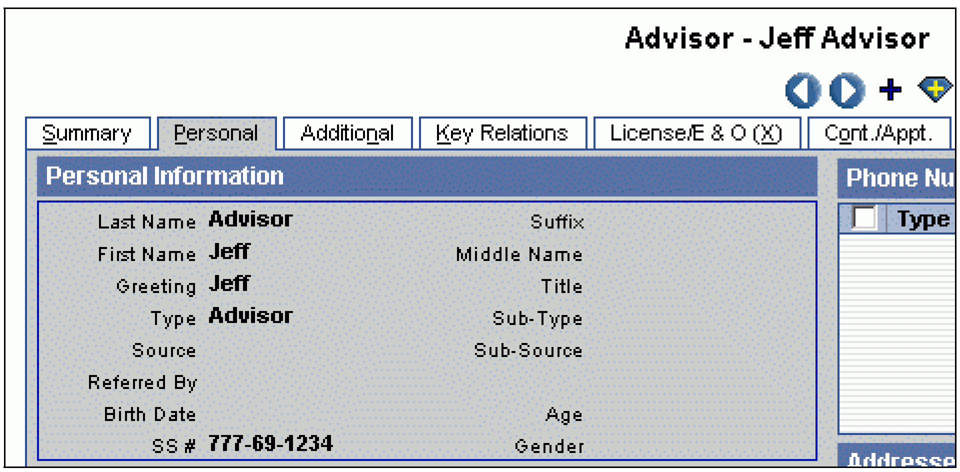
8. An account was not found.

   - **Issue**: In the Albridge PDF Report, there is an error noting that the “Account was not found.”
   - **Resolution**: This error occurs when the account is closed for a contact and is no longer available from Albridge Web Services.

Appendix

Linking an Advisor Record to the Advisor's User Account

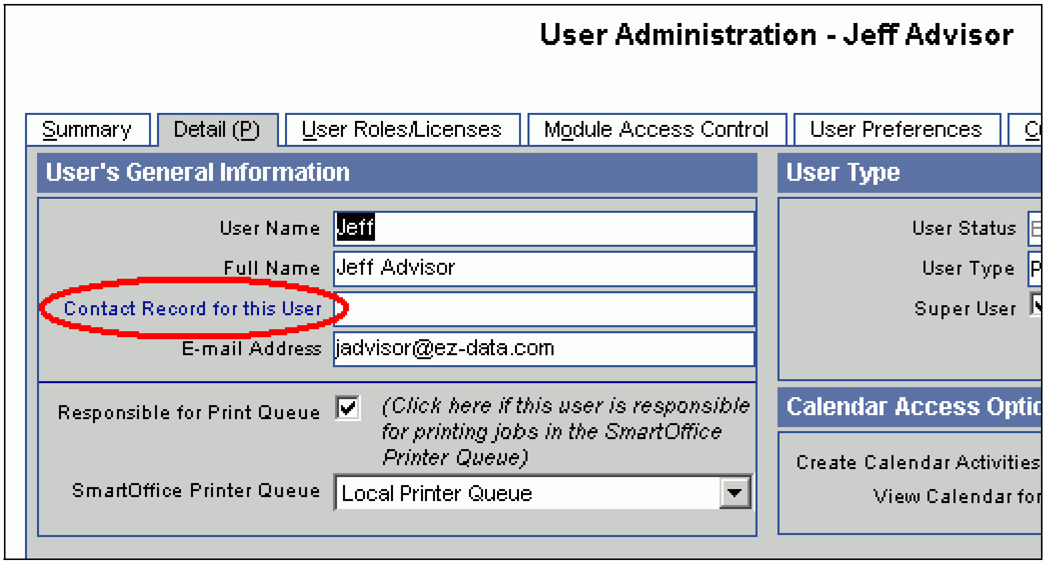
1. From the side menu, click **Advisor/Agency** > **Advisor/Agency Search** > **Search**. The Advisor Summary is displayed.
2. If the advisor has no existing record in the system, click the **Add** button to add an advisor record. If the advisor has an existing record in the system, select the advisor and then click the **Personal** tab.
3. Ensure that the following information is entered for the advisor record (if this is an existing advisor record, click the **Switch to Edit Mode** button first):
   - Last Name
   - First Name
   - Social Security Number



4. Click **User Setup** > **User Management** > **Search** to 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 **Switch to Edit Mode** button to access edit mode.

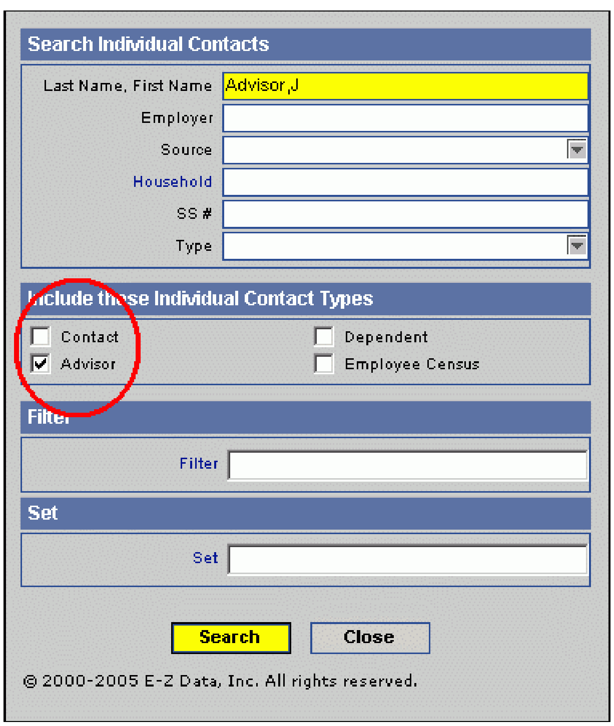
7. Click the **Contact Record for this User** hyperlink to open the Search Individual Contacts dialog box.

> **Note**: If a name already exists in this field, delete it before clicking the **Contact Record for this User** hyperlink.



8. In the Last Name, First Name field, type the advisor's last name, then the first name, separated by a comma.

9. Clear the **Contact** option and then select the **Advisor** option.

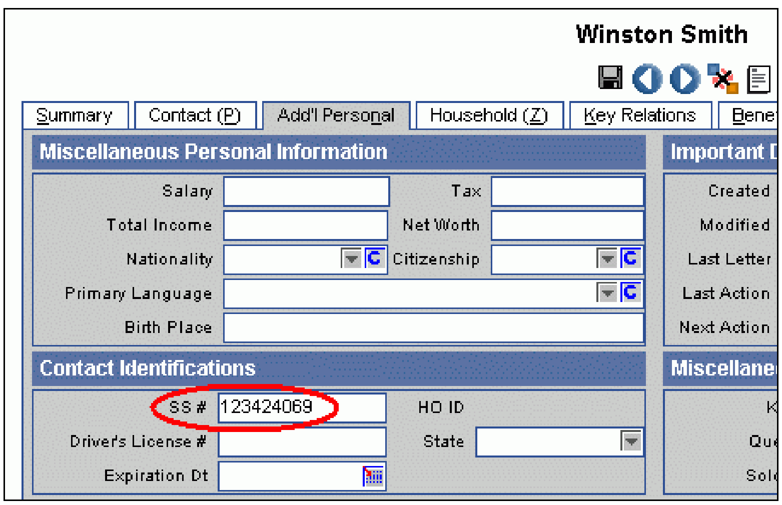


10. Click the **Search** button.
11. Once the appropriate advisor record is selected, click the **Save** button.

Verifying Clients' Contact Records

Follow these steps to ensure that all contacts and businesses have the correct Social Security Number/Tax ID information.

1. Click **Contact > Contact Search** to open the Contact Search Options dialog box.
2. In the Enter Name field, type the last name and then first name of the contact, separated by a comma. If searching for a business, enter the business' name.
3. Click the **Search** button to display the details of the contact or business.
   - If the Individual/Business Contact Summary displays, select the appropriate contact or business and then click the **Detail** tab.
4. Ensure that the correct Social Security Number (in the SS # field for a contact) or Tax ID (in the Tax ID field for a business) is entered. Click the **Switch to Edit Mode** button to make any changes.



It is not necessary to enter any hyphens while entering these numbers; SmartOffice automatically enters them.