

DAZL / DataXchange Online 1.5  
File Upload User Guide

# SmartOffice®



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## DAZL Introduction

DAZL (Data Access Zip Link) is a free service and takes about one week (after submitting your fund request form) for the process to be set up to download investment data. The DAZL Company will notify you of fund approvals by e-mail.

If after reading this guide you still have questions pertaining to retrieving your files from DAZL, contact their Support Department directly at (800) 409-8774 x950. If you have questions regarding uploading DAZL files to SmartOffice or obtaining licensing from E-Z Data to do so, phone E-Z Data Technical Support at (626) 585-3515.

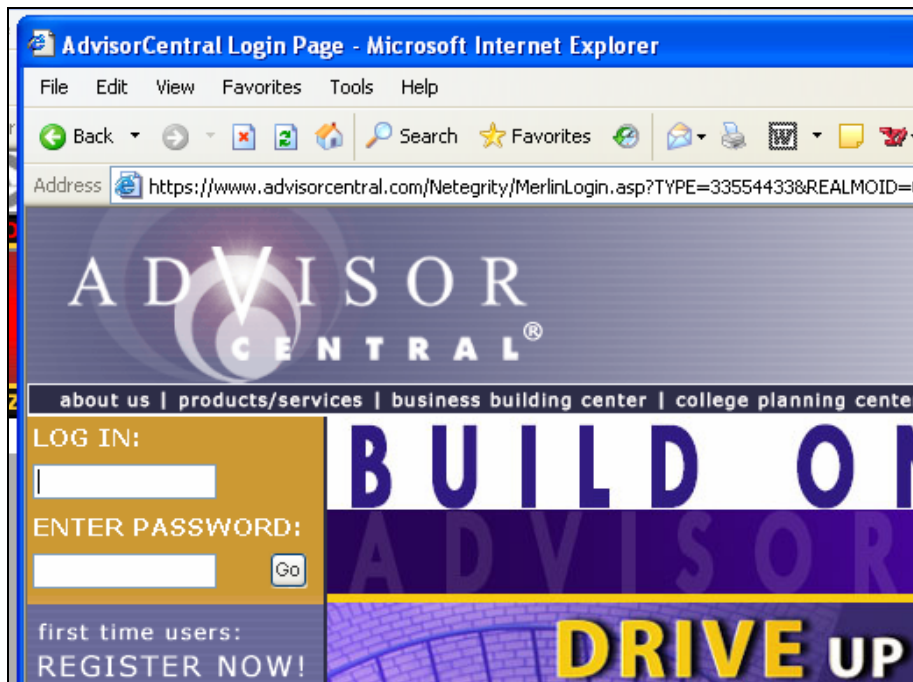
## Requirements

- **WinZip®** – You will need this software to compact your DAZL files into one compressed archive for uploading. WinZip can be downloaded from: <http://www.winzip.com/downwzeval.htm>.
- A Login Account to [www.advisorcentral.com](http://www.advisorcentral.com).
- A license from E-Z Data to perform the DAZL / DataXchange integration with SmartOffice.

## Retrieving your DAZL files

You can retrieve your DAZL files in one of two ways:

1. Log into your account on [www.advisorcentral.com](http://www.advisorcentral.com); or, click **Login** from [www.dazl.com](http://www.dazl.com) to take you to [www.advisorcentral.com](http://www.advisorcentral.com).



- Once logged into the account, click on each file, choose **Save to Disk**, and then browse to the designated directory. Each file must be downloaded individually.
- For older files, there is an archive section where those files can be accessed.

- The downloaded files are self-inflating executables (.EXE). Once the files are inflated, there will be a new file with the same name but with the extension of .DAT. The executables **and** the DAT files will remain in the directory until they are manually deleted.

Name	Size	Type
17001109.exe	4 KB	Application
19001109.DAT	2 KB	DAT File
19001109.exe	4 KB	Application
25001109.exe	5 KB	Application
31000727.DAT	58 KB	DAT File
31000727.EXE	11 KB	Application
46001110.exe	4 KB	Application
55001110.DAT	28 KB	DAT File
55001110.exe	7 KB	Application

2. The second option is to use the iDAZL executable to automatically connect to your account and retrieve your data. The executable can be configured to retrieve current data, archived data, and can download to a directory that you specify. iDAZL is available from the **Download** menu option on the DAZL Web site, [www.DAZL.com](http://www.DAZL.com).

Click on the iDazExt link below and select "save" from the dialog box. Once the file has been downloaded you should open it with a program that can read PkZip files. You can then extract the program iDAZLExt.exe to a directory of your choosing.

You will need a copy of PKZipReader, PKZip or WinZip to extract the program. PKZipReader can be download for free here:

ITEM	LINK	REQUIREMENTS
Automated Download Program	<a href="#">iDazExt.zip v1.6.000 (72 KB)</a>	Requires Microsoft Windows® NT4, 95, 98, ME, 2000 or XP
Automated Download Program Documentation	<a href="#">DAZLAutomatedDownloadProgram.pdf (20 KB)</a>	Get Adobe Reader Adobe Acrobat Reader

**Instructions from DAZL for the iDAZL utility:**

- The DAZL™ automated download program is a Win32 application that runs from the command line. The program accepts various command line parameters that control (amongst other things) whether archived or new files should be downloaded. It should also be noted that this program will download the same self-extracting .zip file that is available on the Web site. This program cannot be used to download raw data files. The program accesses the DAZL™ file server through an HTTPS connection utilizing 128-bit encryption to ensure that all data remains secure.

### Command line options:

- -h Displays program Help
- -ixxx Specify mailbox ID
- -pxxx Specify mailbox PIN
- -dxxx Specify directory for files to be downloaded into
- -a Download archived files only
- -o Override the IP address

### Usage Examples:

iDAZLext.exe – i12345 –p1234567#	This will download any new files for mailbox 12345 using pin number 1234567#
iDAZLext.exe –a – i12345 –p1234567#	This will download any archived files for mailbox 12345 using pin number 1234567#. The –a parameter must be first.
iDAZLext.exe – i12345 –p1234567# -dc:\temp	This will download any new files for mailbox 12345 using pin number 1234567# to directory c:\temp
iDAZLext.exe –h	This will display the usage information

## Things to know when signing up for DAZL

- The first step in signing up with DAZL is to fill out an online form, this can be found using the forms link off the DAZL homepage.
- When you fill out the form to receive PFPC/DAZL data, you have several options for file frequency (daily, weekly, monthly). We recommend selecting the **Daily** option for all files.
- You must select **EZDATA** as your software provider on the sign-up form.
- You can request an initial download of historical data (maximum 18 months previous).
- The DAZL Web site displays the available Funds and CUSIP lists.

**Note:** Users process old data at their own risk. CUSIP changes, mergers, transferred accounts, rollovers, change of Rep. Number and change of Broker/Dealer can contribute to problems caused by a non-match of data. Transactions may overlap due to non-match on trade type, dollars or date. Clean-up may be required to correct these types of discrepancies.

After you have your DAZL files, you can proceed with uploading them into SmartOffice using our DataXchange feature.

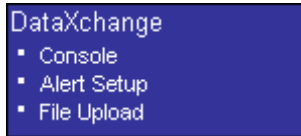
## DataXchange Introduction

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.

## 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 DataXchange can be provided on a per-user basis within an office.

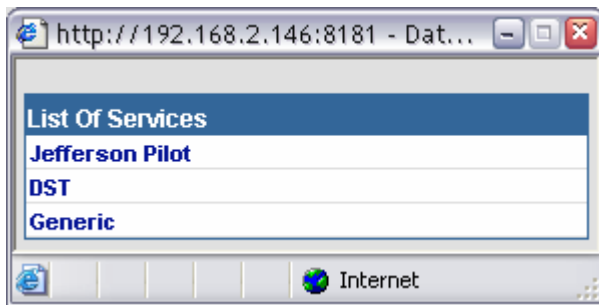
Once DataXchange Online – File Upload has been enabled, the DataXchange menu displays.



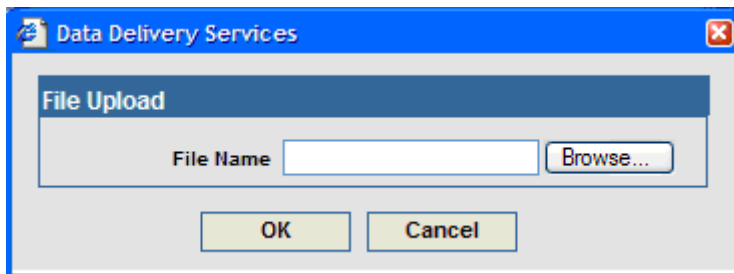
## Uploading Your Files

The user must download the data files onto their client computer from the data provider. Once the files have been downloaded into a single directory, all the files must 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.

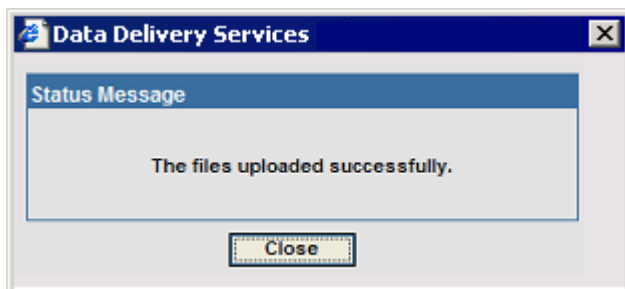
- **DAZL / Generic File Format:** These files must be compressed into a .zip file.
1. Once the data files (.DAT) have been compressed into a .zip file, select **File Upload** from the expanded **DataXchange** menu to display the List Of Services dialog box.



2. Select the **Generic** 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.





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 import results will be available from the DataXchange Console. Select **Console** from the **DataXchange** expanded menu to display the DataXchange Summary.

**DataXchange Summary**

Load Number	ETL Start Time	ETL End Time	DXE Start Time	DXE End Time	Engine Type	Status
<input type="checkbox"/> 1	10/14/2004 05:10PM				Policy	ETL Loading
<input type="checkbox"/> 2	10/22/2004 05:07PM				Policy	ETL Loading
<input type="checkbox"/> 3	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	Policy	DX Completed
<input type="checkbox"/> 4	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	01/20/2005 03:56AM	Investment	DX Completed
<input type="checkbox"/> 279	01/27/2005 04:44AM				Leadsimport	ETL Loading
<input type="checkbox"/> 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 appear 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 every 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.

**DataXchange - Investment - Load Number [10006]**

Load Detail		
ETL Start Time	10/14/2004 10:14AM	DXE Start Time 02/11/2005 05:20PM
ETL End Time	10/14/2004 10:14AM	DXE End Time 02/11/2005 05:21PM
Status <b>DX Completed</b>		
<b>DX Completed. Processing No Table. Completed 100%</b>		
Error Count		
Account	1	
Transaction	49	

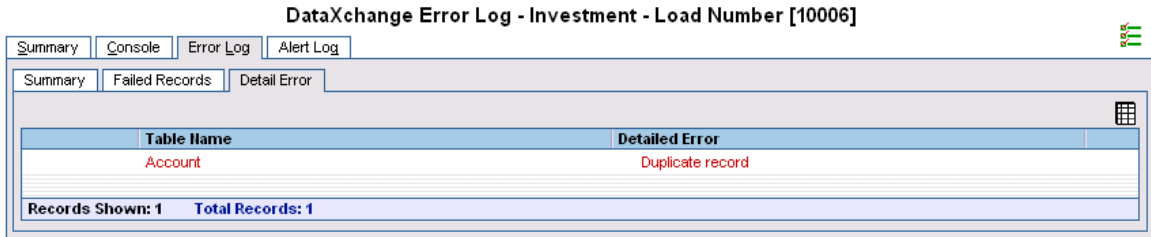
Click the **Error Log** tab to display the Error Log Summary. The DataXchange Error Log only shows records that were not imported correctly; records that were successfully processed cannot be viewed from the DataXchange Console. There are two views for the Error Log Summary, the Top Level Object View 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.

**DataXchange Error Log - Investment - Load Number [10006]**

Top Level Object View	
Table Name	Error Count
<input type="checkbox"/> 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 records on this tab. If the Error Log has been set to Top Level Object View, select a record and then click the **Detail Error** tab to display the Detail Error Summary listing all records and error messages associated with the Account or Policy.



## 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: <b>Miami</b> Product: <b>TA Landmark Variable Annuity</b> Product Code: <b>AEG0010</b> Cusip: <b>AEG546BJ0</b>
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 must 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 an e-mail notification informing when the processing of 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 those recipients in the E-mail List.

Summary | Detail (P) **Alert Setup Detail**

Alert Setup Detail

Engine Type

*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*

Regular E-Mail List

## Rules and Reminders

- The system is not designed to handle the processing of months of data. Do not attempt to begin using DataXchange under these conditions. DataXchange Online should be used to process data on a daily basis or as frequently as possible.
- The maximum number of files for Generic is 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 possible corporate actions, changes in CUSIP, account number and file formats that can affect the accuracy of the data in the database.
- The Primary Contact of an existing Account will not be overwritten by DataXchange.
- No duplicate Tax ID numbers may be in the Contact record for different contacts. Generic File Format Import may match on Social Security number and the Social Security number can be in the database once only.
- Currently, DataXchange does not create contacts out of Generic File Format feeds.