

Broadridge Data Aggregation- Manual Account Creation

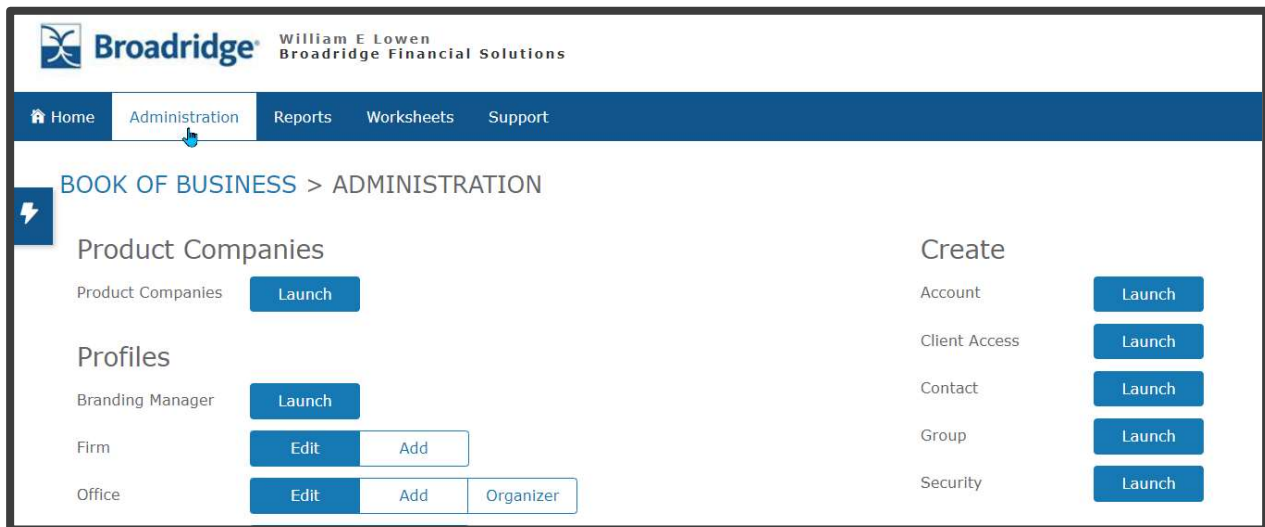
A guide for users that demonstrates how to create and maintain manual accounts

GENERAL INFORMATION

Manual accounts can be created for products that are not available through our traditional data feeds. The adviser can manually recreate account history by using tools such as milestones, cash balances and cash flows. Broadridge Data Aggregation also gives the user the ability to create manual holdings that can be added to manually created accounts. The individual debt and equity holdings that we receive in our daily feeds contain historical pricing and other valuable information and can be used to help recreate manual account history.

CREATING A MANUAL ACCOUNT

Manual account creation is launched from the **ADMINISTRATION / CREATE / ACCOUNT** tab. Click launch to add the account information.



The account number, product company, account type and registration code fields are mandatory. Please contact the Broadridge Support Department if the product company you wish to add is not found on the drop-down menu. Click **SAVE** once you have entered the necessary information.

Click **VIEW ALL PARTIES** to add client party and contact information.

The party type should be set to primary for the primary owner. Use secondary if adding a joint owner. The joint party information is added after the user adds and saves the primary owner information. SSN, DOB, and address information is optional. Click **SAVE** after entering the necessary information.

Account Party Information

Person Non-Natural Entity

Party Type

Primary

Account Party Information

Person Non-Natural Entity

Party Type

Title

First Name

Middle Name

Last Name

Suffix

DOB

Personal Identification

Addresses

Type

Address Line 1

Address Line 2

Address Line 3

Address Line 4

Address Line 5

City

State/Province

Zip/Postal Code

Country

Phone Numbers

Type

Number

Email Addresses

Type

Email

Reset Save

CREATING A MANUAL HOLDING

Manual security creation is launched from the **ADMINISTRATION / CREATE / SECURITY** tab. Click **LAUNCH** to navigate to the add security function.

Broadridge William E Lowen Broadridge Financial Solutions

Home Administration Reports Worksheets Support

BOOK OF BUSINESS > ADMINISTRATION

Product Companies

Product Companies **Launch**

Profiles

Branding Manager **Launch**

Firm **Edit** **Add**

Office **Edit** **Add** Organizer

Position **Edit** **Add**

Create

Account **Launch**

Client Access **Launch**

Contact **Launch**

Group **Launch**

Security **Launch**

Maintenance

The cusip, symbol, and description fields are mandatory. Best practices would suggest clicking the priced box. Please note that unless the user plans to enter a daily price file, a static price of

\$1 should be entered in the current price field. The user can adjust the value of the holding by creating buys and sells and adjusting the share amount of the trade after it has been added to the manual account.

Add Security

Security

Security Information

Symbol: Test

CUSIP:

Description:

Asset Type: None

Industry Code: None [Edit Industry Codes](#)

Priced?:

Add Security

Pricing will carry forward, so creating price files is dependent on how far back the user wants to run reporting for. Adding a price file of \$1 on 1/1/2020 will allow the user to run reports back to 1/1/2020.

Security MSFT Manual

Symbol: MSFT Manual
CUSIP: 123456789
Description: Microsoft Manual
Current Price: \$1.0000000

Mode: View

MANUAL SECURITY

Security Asset Allocation Price History Accounts Notes

Graph Date Range: All

Price History

Records 1 - 1 Total 1 Visible 1 Page size 25

Price Date	Price	Actions
6/6/2023	\$1.0000000	

06/06/2023

ADDING A MANUALLY CREATED HOLDING TO THE ACCOUNT.

The user will need to navigate to the account record to add the holding that they created to the account. Select **ACTIVITY SUMMARY** located on the side menu of the account record then click **VIEW ALL ACTIVITY**.

The screenshot shows the 'Activity Summary' page. On the left is a sidebar menu with options: Activity Summary (selected), Memberships, CRM, Notes, and Additional Information. The main area features a chart with a y-axis from \$0 to \$5,000 and an x-axis with months from Jun-2022 to Nov-2022. Below the chart are three tabs: Transactions (selected), Cash Flows, and Milestones. A table displays transaction data:

TRADE DATE ↓	EFFECTIVE DATE	TRANSACTION T
05/09/2023	05/09/2023	Sell
07/23/2022	07/23/2022	Buy

At the bottom center, there is a 'View All Activity' button with a right-pointing arrow and a mouse cursor hovering over it.

Next, click **CREATE**. Clicking buy or sell is dependent on the user adding or removing a holding from the account.

The screenshot shows the 'Activity' page for 'ACCOUNT HOLDINGS - JONATHAN SMITH - INDIVIDUAL > ACTIVITY'. It includes a sidebar with 'Activity' selected and tabs for Transactions, Cash Flows, and Milestones. A summary shows a market value of \$0.00 as of 06/05/2023. A table lists transactions with columns for Trade Date, Effective Date, Transaction Type, Shares, Symbol, Security Name, Price, and Net Amount. A 'Create' button is visible in the top right corner of the table area.

TRADE DATE ↓	EFFECTIVE DATE	TRANSACTION TYPE	SHARES	SYMBOL	SECURITY NAME	PRICE	NET AM
05/09/2023	05/09/2023	Sell	-25,000.000000	INVT	INVT1237	\$1.00	\$25,000.00
07/23/2022	07/23/2022	Buy	25,000.000000	INVT	INVT1237	\$1.00	(\$25,000.00)

The trade and effective date, security, price, and net amount are required fields. You can search for the security by entering a portion of the symbol, cusip or description in the security field. You can calculate the price or net amount by entering one of them and using the calculator located next to the field you are calculating a value for.

CREATE TRADE

Create Account Buy Entry - Account 11122366

Details		Information	
Transaction Type	Buy	Trade Date	
Solicitation Status	Discretionary	Effective Date	
Notes		Security	Search for security
		Quantity (Shares)	0.000000
		Price	\$0.0000000
		Commission	\$0.00
		Fee	\$0.00
		Interest	\$0.00
		Sales Charge	\$0.00
		Net Amount	\$0.00
		Sec Fee	
		Postage	
		Miscellaneous	
		Tax Amount	
		Other	
		Tefra	
		Clearing Firm Fee	
		Brokerage Fee	
		Sales Credit	
		Service Charge 1	
		Recalculate Net Amount	

If the buy or sell represents an addition or withdrawal of funds, the user will want to check the **CREATE ADDITIONAL CASH TRANSACTION** box located in the bottom left corner of the page. Click **CREATE THIS TRANSACTION** when all necessary information has been added.

Create Additional Cash Transaction?

USING MILESTONES

One way a user can recreate historical performance is by using milestones. Milestone values will only show value on the Broadridge performance reports. Milestone values will not populate on the account holdings page or the Broadridge position reports. Milestones can be added from the **ACTIVITY SUMMARY** located on the side menu of the account. A milestone date and value are required for the inception date of the holding as well as the first and last calendar date of each month the user wants to run historical performance for.

Activity

Transactions | Cash Flows | **Milestones**

Milestones are commonly used to enable Performance Reporting for time periods that pre-date the information provided directly from Custodians or Carriers. It is critical that any Milestone values be entered often result in incorrect performance calculations. If you have not used Milestone values before, we suggest you contact our Support Team for assistance.

For Time Weighted(TWRR) performance calculations, the following Milestones are required:

- A value for the day prior to your TWRR period start date and either of the following:
 - For a full month's performance Milestones must be added for the first and last days of the month
 - For a partial month's performance Milestones must be added for each day until the start of the following, full month.

For Simple performance calculations, Milestone values required are based on the Weighted Interval selection you intend to use when running the report.

[+ Add Milestone](#)

EFFECTIVE DATE	DESCRIPTION	AMOUNT	EDIT	DELETE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Enter Date Enter Milestone Description Enter Amount

USING CASH BALANCES

Using cash balances is the most effective way to recreate history in a manual account as the balance will carry forward until it is modified or zeroed out. Cash balances are added by the user from the holdings tab which is located on the side menu of the account record.

Partners | Account Summary | **Holdings** | Reports | Files | Activity Summary

Holdings

[Cash/Margin Balances](#)

No holdings available.

Click **ADD ENTRY**. Select a date and balance type from the drop-down menu, then add a balance amount. Click the check mark icon to save the entry.

ACCOUNT HOLDINGS - JONATHAN SMITH - INDIVIDUAL > CASH/MARGIN BALANCES

Cash / Margin Balances

[+ Add Entry](#)

DATE	TYPE	AMOUNT	EDIT	DELETE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>


Select Date Select Balance Type Enter Balance Amount







There are no balances to display.

The value of the account can be updated simply by adding a new balance. Adding a zero balance will close the holding.

ACCOUNT HOLDINGS - JONATHAN SMITH - INDIVIDUAL > CASH/MARGIN BALANCES

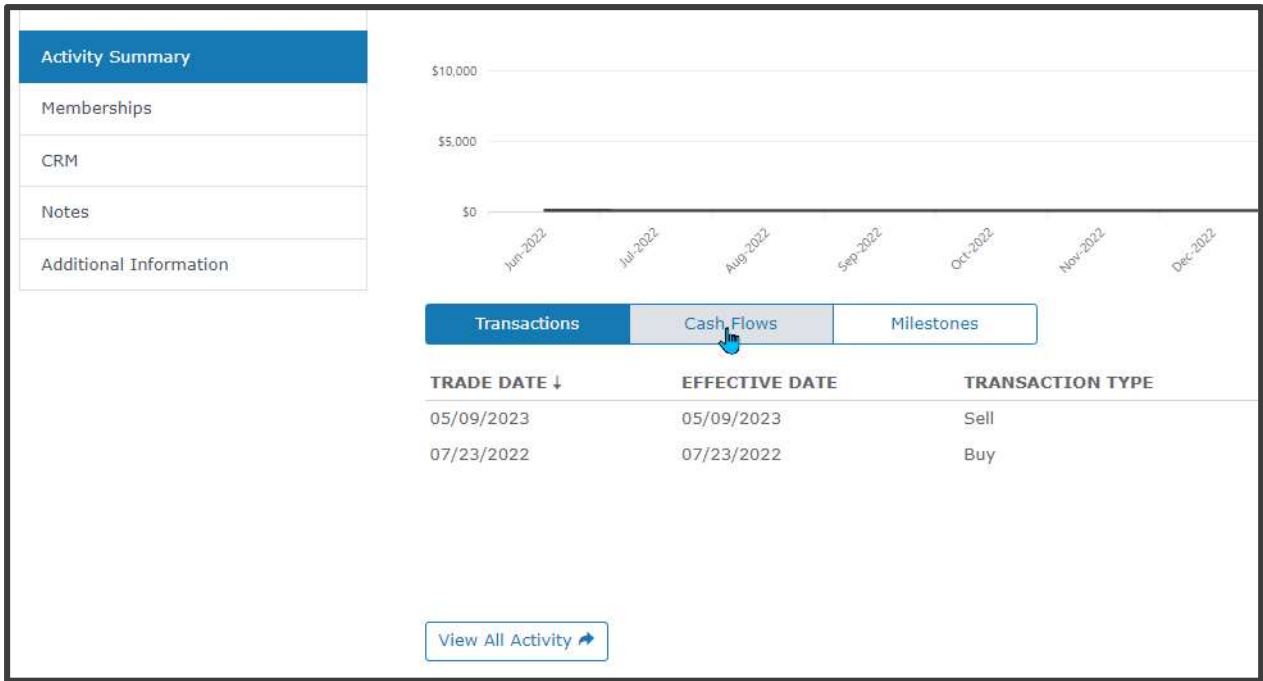
Cash / Margin Balances

[Add Entry](#) 

DATE ↓	TYPE	AMOUNT	EDIT	DELETE
	<input type="text"/>			
06/05/2023	Cash balance	\$0.00		
06/02/2023	Cash balance	\$150.00		
05/31/2023	Cash balance	\$100.00		

USING CASH FLOWS

Cash Flows are used to represent contributions and withdrawals for performance reporting. An incoming cash flow must be added to the initial milestone value or cash balance so that the performance report treats the entry as a contribution when calculating a return. An outgoing cashflow is needed when a zero milestone or cash balance is applied to the account. The cash flow must be entered on the exact date of the milestone or cash balance update. A cash flow is only needed for subsequent entries if the updated values represent an addition or subtraction of funds from the account. The cashflow menu can be accessed from the **ACTIVITY SUMMARY** tab located on the side menu of the account record. Click view all activity, then click cashflows when directed to the next screen. Click **ADD CASH FLOW**. Admin is used for account related fees, cash is used for cash transfers, capital is used for a transfer of shares in kind and fee is used to represent management fees that an adviser charges to manage the client's profile.



ACCOUNT HOLDINGS - JONATHAN SMITH - INDIVIDUAL > ACTIVITY

Activity

Transactions | **Cash Flows** | Milestones

Cash flows (Deposits, Withdrawals, Management Fees, and Administrative Charges) are important for calculating an accurate performance report. Cash flows can be added by selecting the Add Cash Flow button, modify or delete existing cash flows, click the icon under the appropriate column.

[Add Cash Flow](#)

TRADE DATE	SECURITY	TRANSACTION AMOUNT	TYPE	EDIT	DELETE
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Select Date	Select Security	Enter Amount	Select Security Type	<input type="checkbox"/>	<input type="checkbox"/>
There are no cash flows to display.			<ul style="list-style-type: none"> Select Security Type Select Security Type Admin Capital Cash Fee IRRF 		

The cash flow menu can also be accessed from the performance report hub. Click **REVIEW CASH FLOWS** to access the menu.

REPORT HUB

Allocation Type: Composition

Asset Class view Sub-Asset Class view

Include manually created accounts Rep Selection: Bayer, Rajesh - (RajeshBayer)

Weighted Interval: Monthly

Index 1: test Index 2:

Index 3: Index 4:

Index 5: Index 6:

Gross Of Fees Show Subtotals

Show Indices Show Fees

Show returns exceeding 300%

EXECUTION

Orientation: Landscape Cover Page

Graph, Growth of \$1000.00 Graph, Accumulated Return

Contents: Text and Graph

Draft Save

SCHEDULING (OPTIONAL)

Run Schedule: Select...

Schedule Name:

Close after Run or Schedule

| Actions

SEARCHING FOR MANUAL ACCOUNTS ON THE BROADRIDGE DESKTOP

Manual accounts can be located from the advanced and simple searches as well as the Book of Business page. Click Include **MANUALLY CREATED ACCOUNTS** and use the drop-down menu to sort by data source.

Selections

Representatives Search

[Remove All](#)

- Demo, Broadridge (BRInternalDemo) ✕
- DeMont, Brad (bdemont) ✕
- Lo, Joseph (JosephLo) ✕
- Smith, Susanne (Investigo) ✕
- User, Test (Test User) ✕

[Open](#)

Include Manually Created Accounts
 Include Held Away Accounts

[Apply](#)

By Data Source

Data Source

All Data Sources

DATE SEARCH

[Reset](#)
[Save Search](#)
[Run Search](#)

Search Type (Required)

Search Name

Search Description

Public Search

Build Search Criteria [+ Add Criteria](#)

[Run Search](#)
[Save Search](#)
[Reset](#)

- For Internal Use Only: Investigo-based transaction codes
- Genworth Financial Asset Management
- HADI
- Manual entry
- Migrate
- NFS
- NSCC