Broadridge Data Aggregation- Manual Account Creation

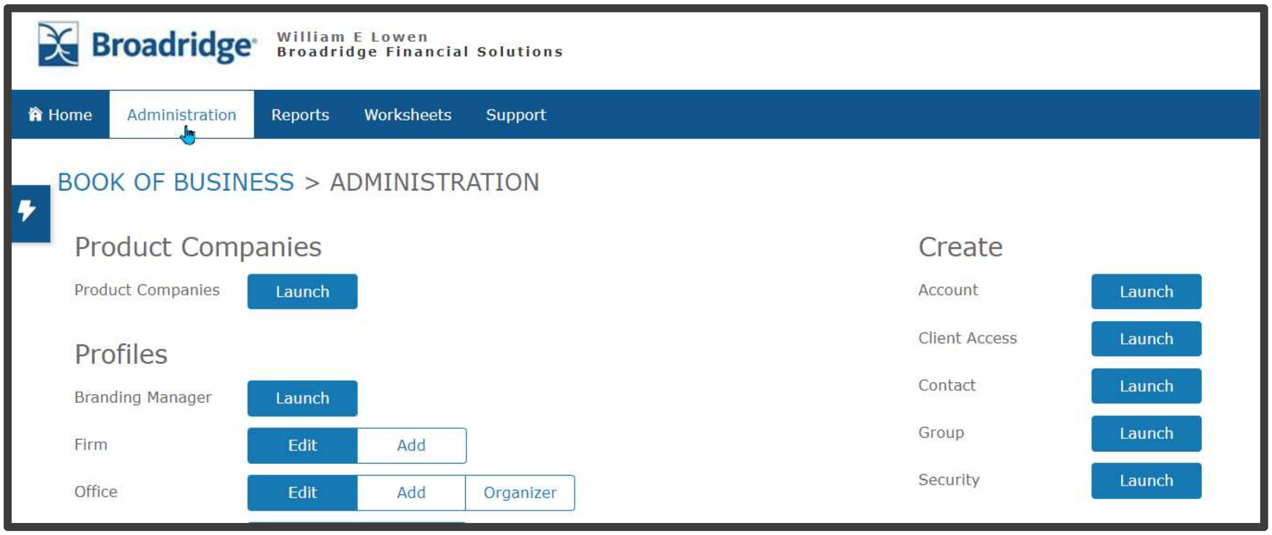
A guide for users that demonstrates how to create and maintain manual accounts

GENERAL INFORMATION

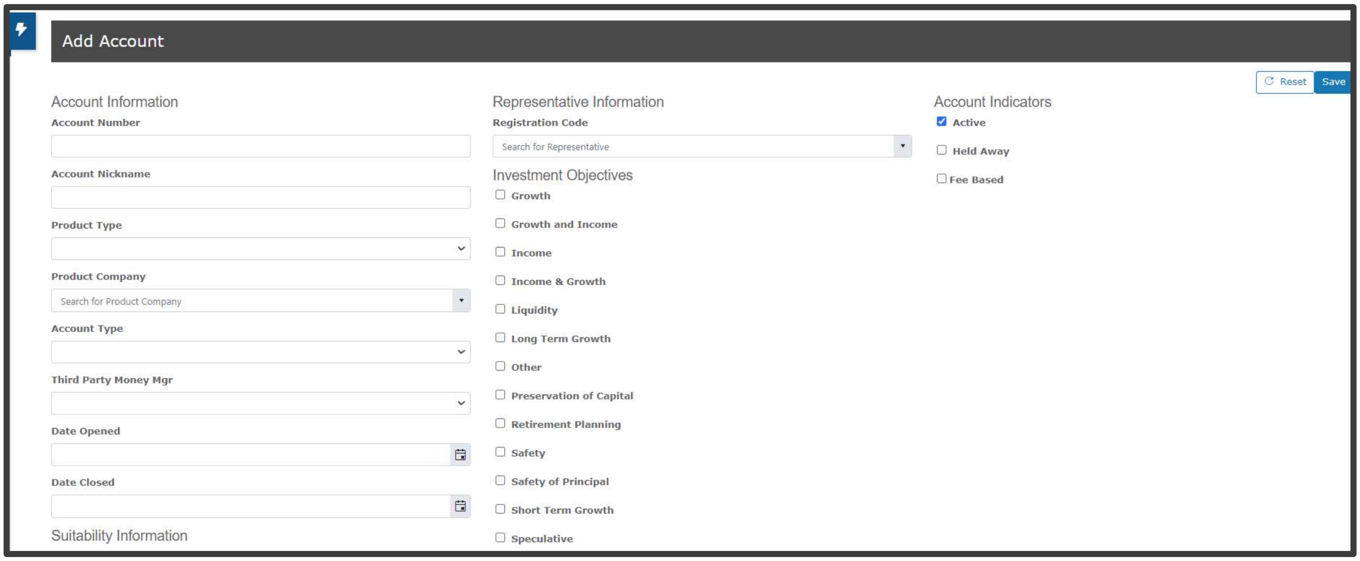
Manual accounts can be created for products that are not available through our traditional data feeds. The adviser can manually recreate account history by using tools such as milestones, cash balances and cash flows. Broadridge Data Aggregation also gives the user the ability to create manual holdings 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

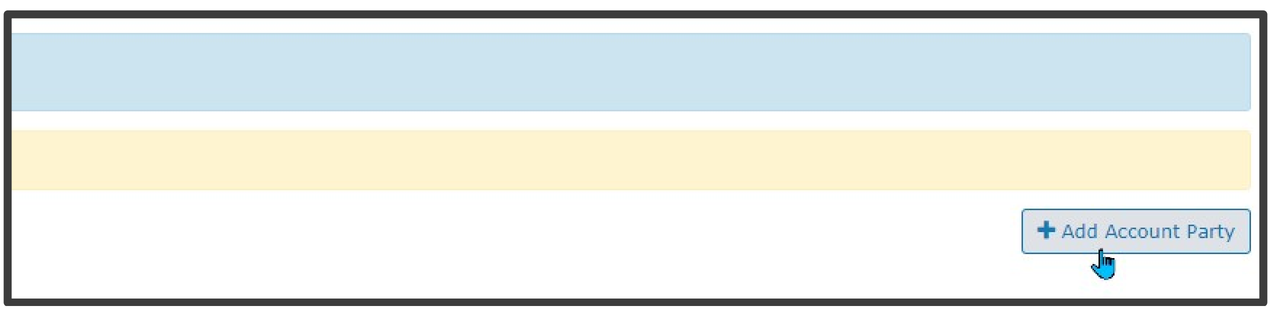
Manual account creation is launched from the **ADMINISTRATION / CREATE / ACCOUNT** tab. Click launch to add the account information.



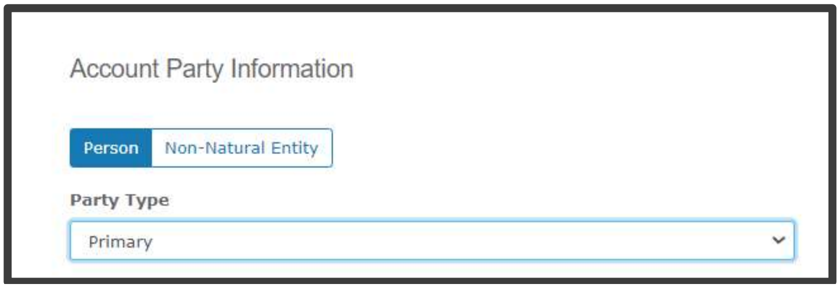
The account number, product company, account type and registration code fields are mandatory. Please contact the Broadridge Support Department if the product company you wish to add is not found on the drop-down menu. Click **SAVE** once you have entered the necessary information.

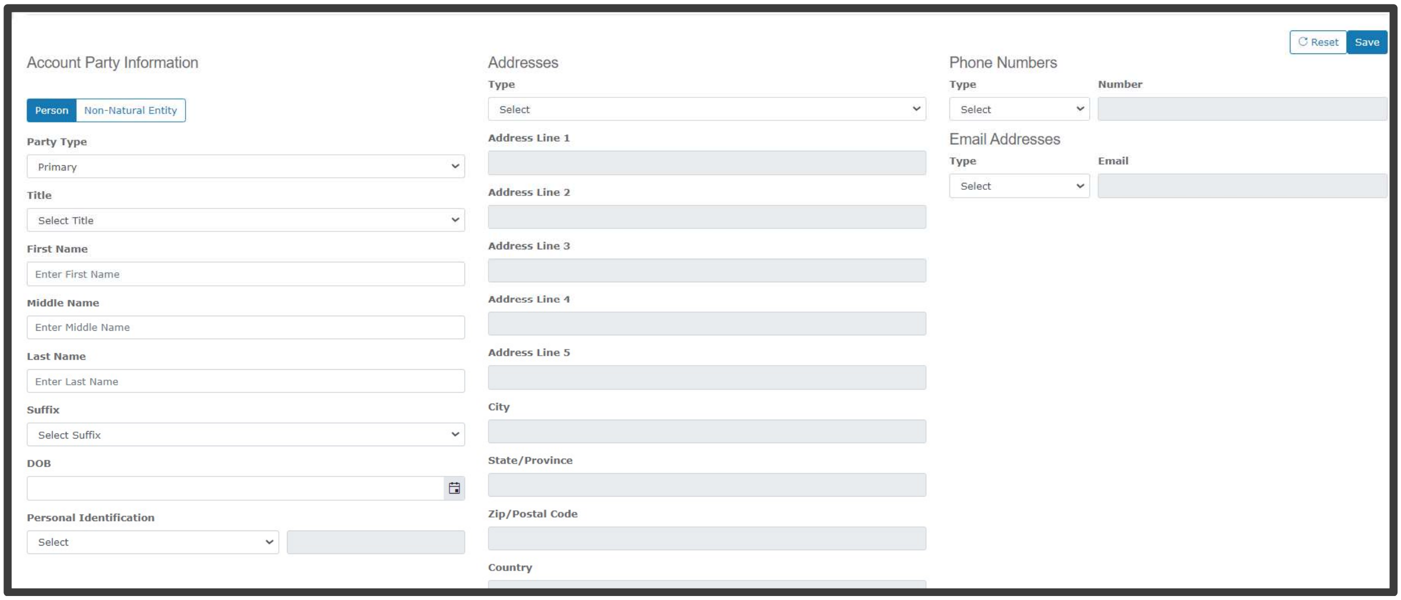


Click **VIEW ALL PARTIES** to add client party and contact information.



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.



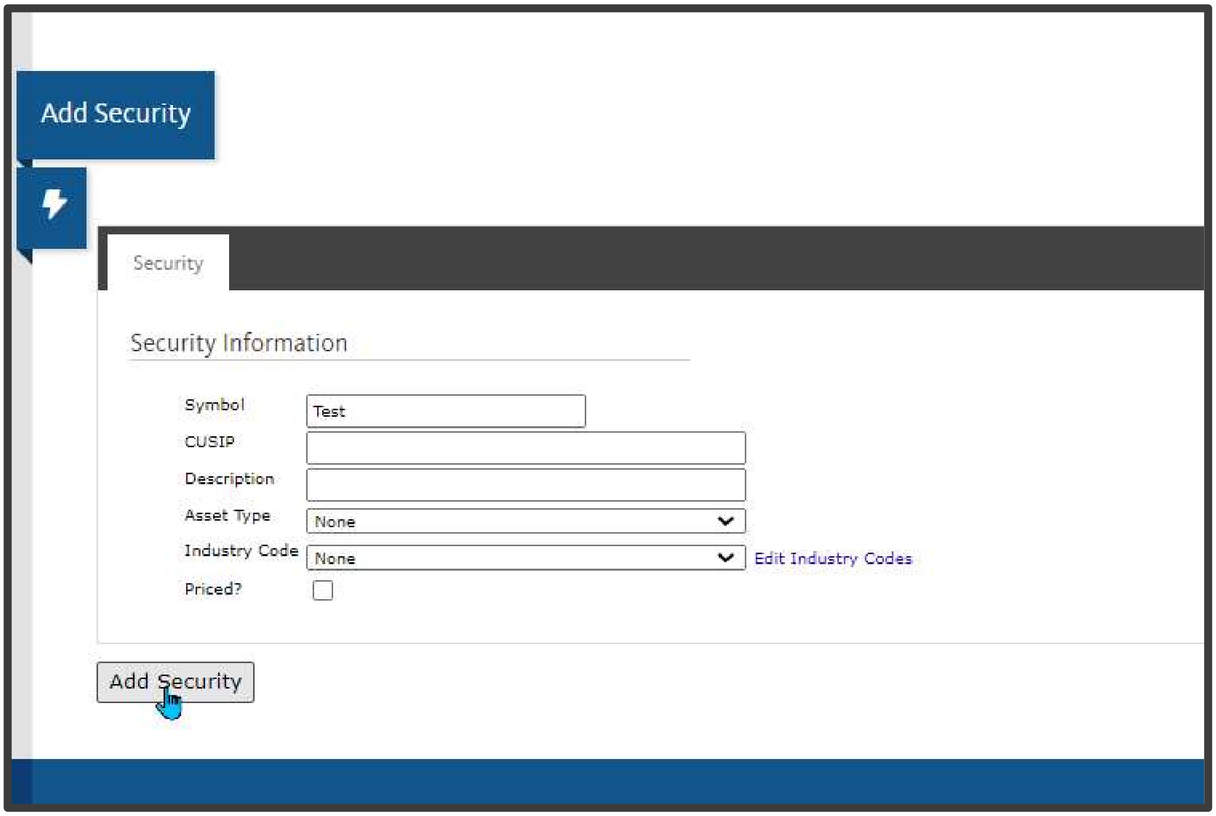


CREATING A MANUAL HOLDING

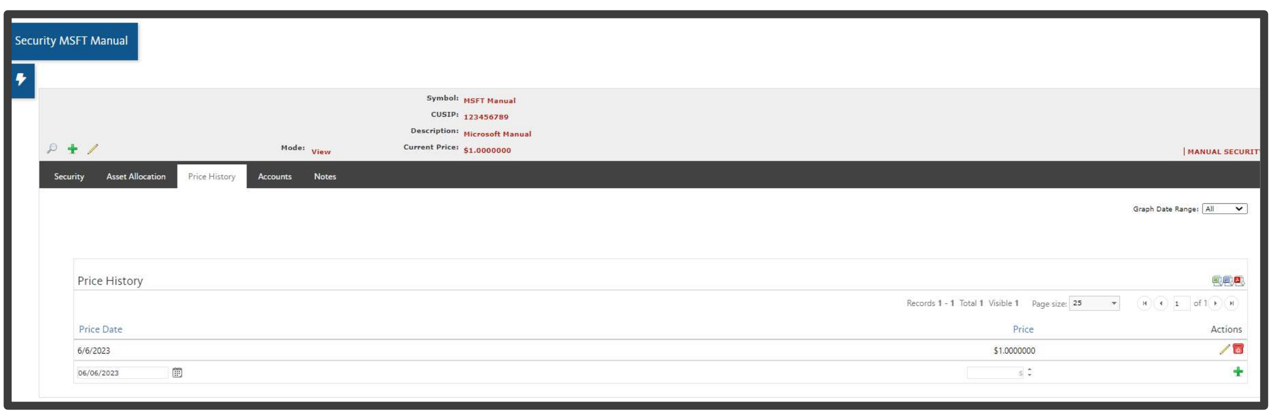
Manual security creation is launched from the **ADMINISTRATION / CREATE / SECURITY** tab. Click **LAUNCH** to navigate to the add security function.

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.

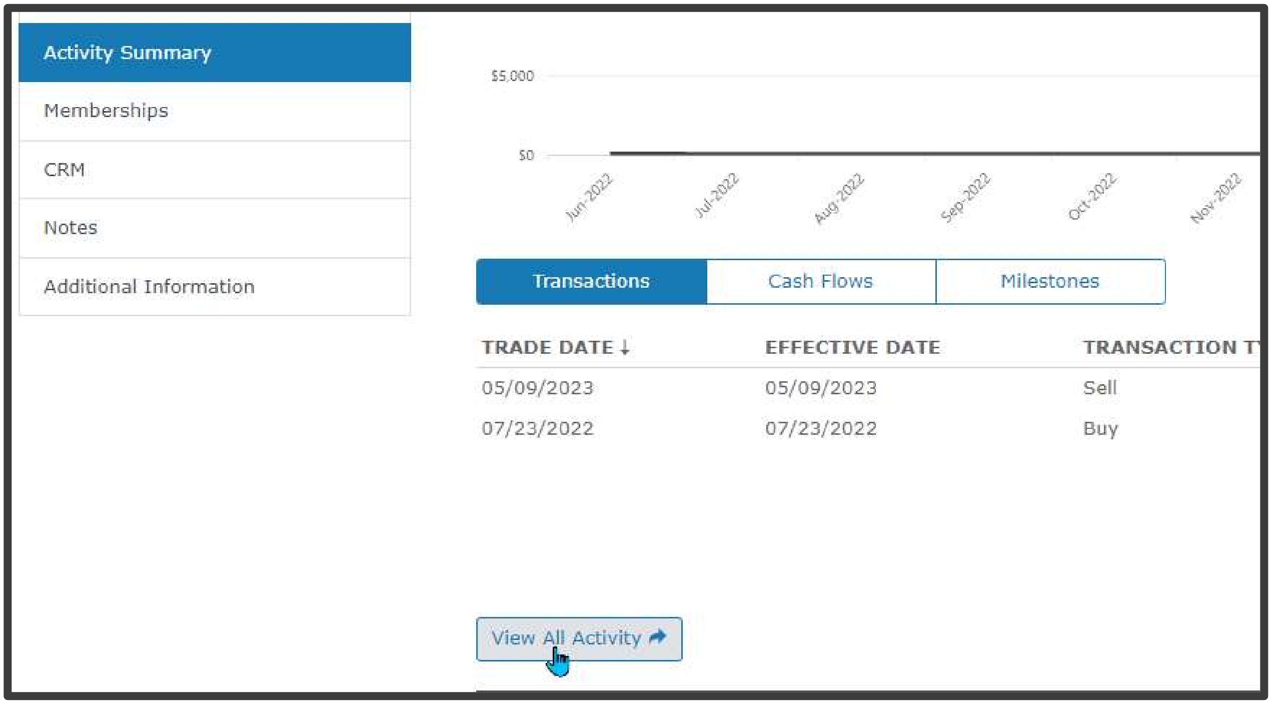


Pricing will carry forward, so creating price files is dependent on how far back the user wants to run reporting for. Adding a price file of $1 on 1/1/2020 will allow the user to run reports back to 1/1/2020.



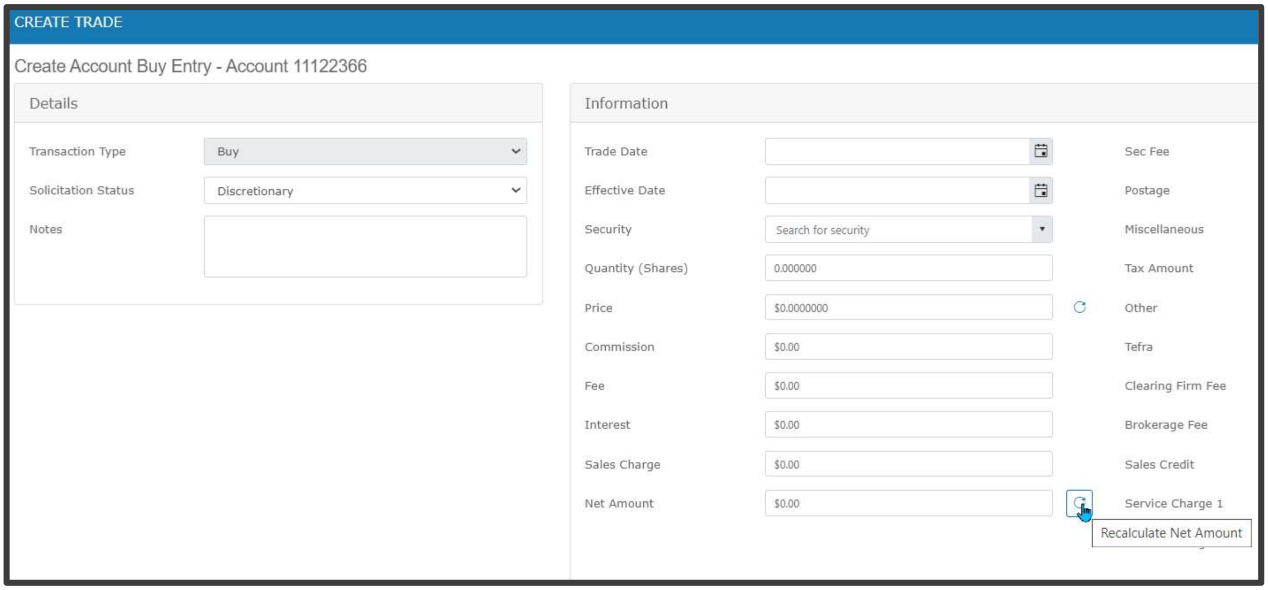
ADDING A MANUALLY CREATED HOLDING TO THE ACCOUNT.

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**.



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

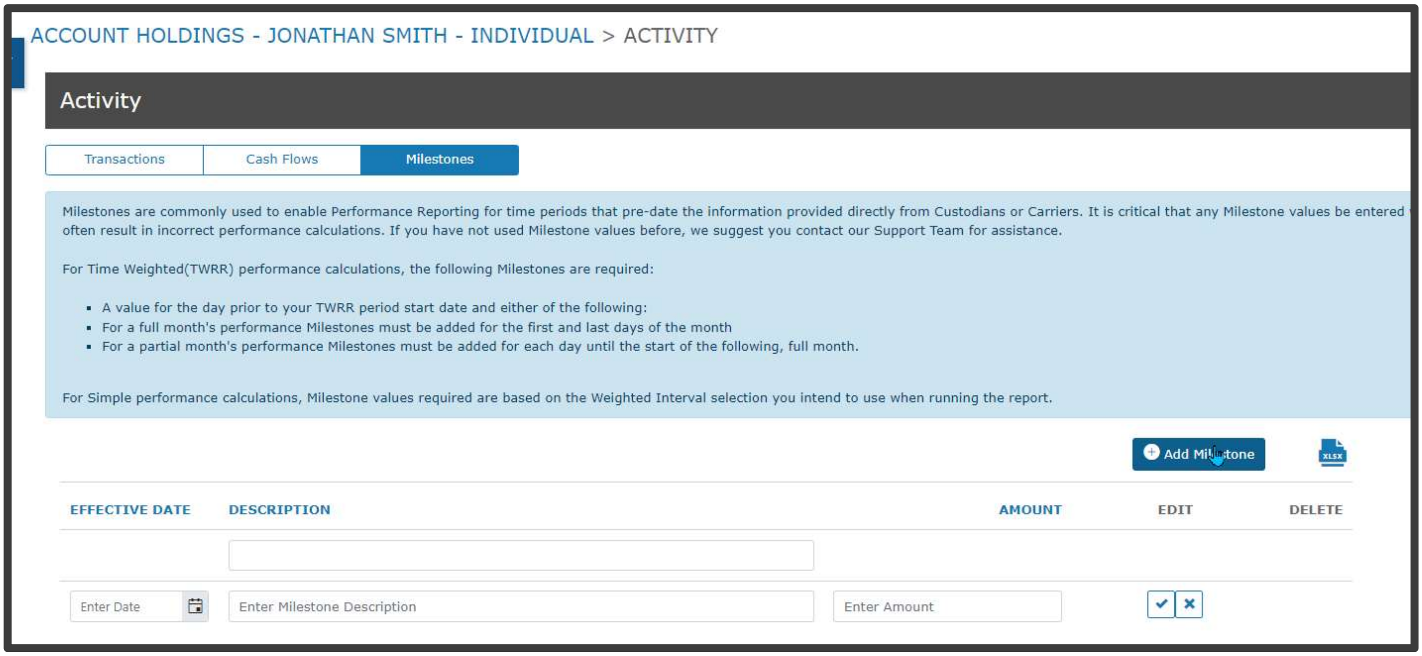
The trade and effective date, security, price, and net amount are required fields. You can search for the security by entering a portion of the symbol, cusip or description in the security field. You can calculate the price or net amount by entering one of them and using the calculator located next to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



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.

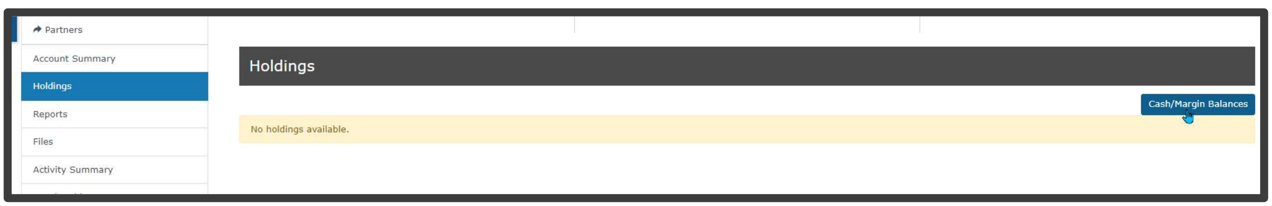
USING MILESTONES

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.

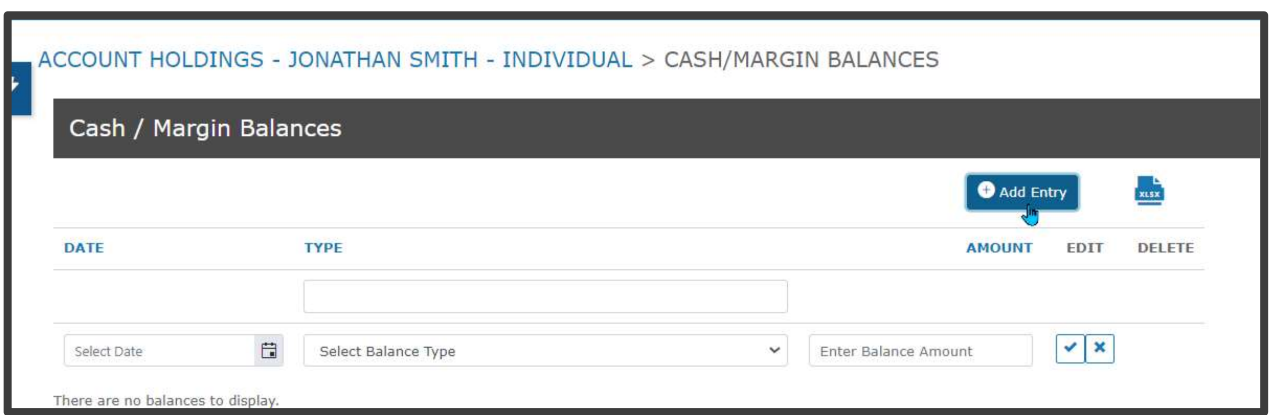


USING CASH BALANCES

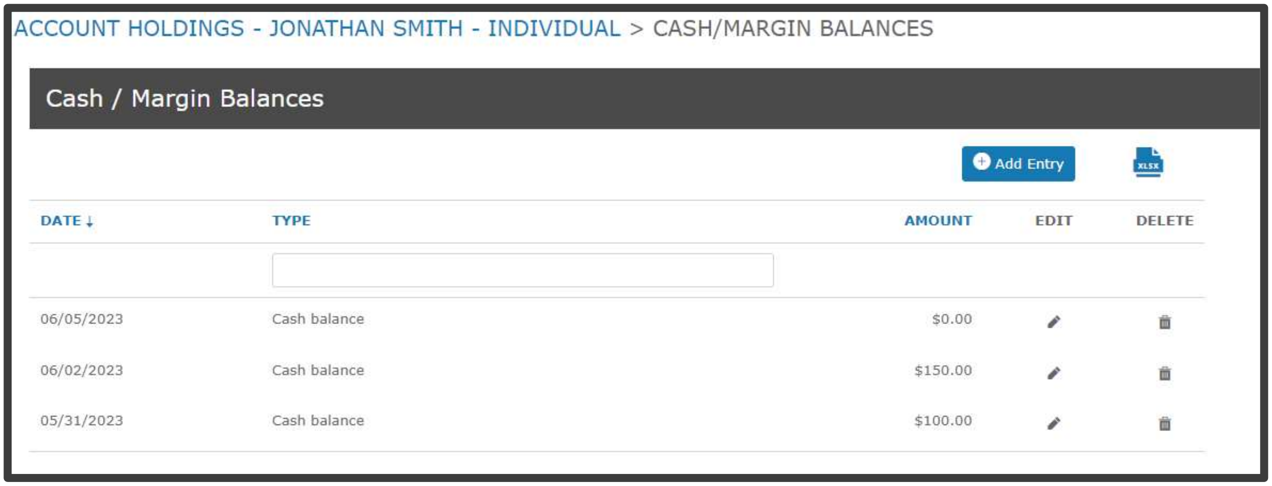
Using cash balances is the most effective way to recreate history in a manual account as the balance will carry forward until it is modified or zeroed out. Cash balances are added by the user from the holdings tab which is located on the side menu of the account record.



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.

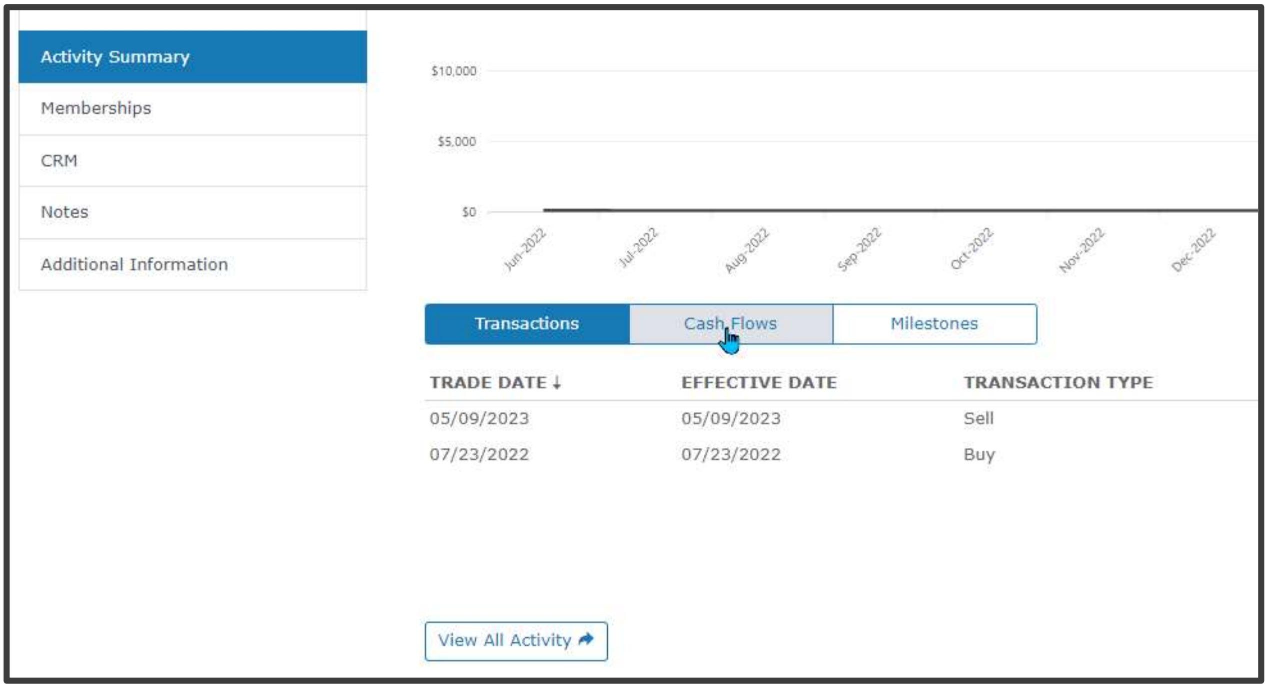


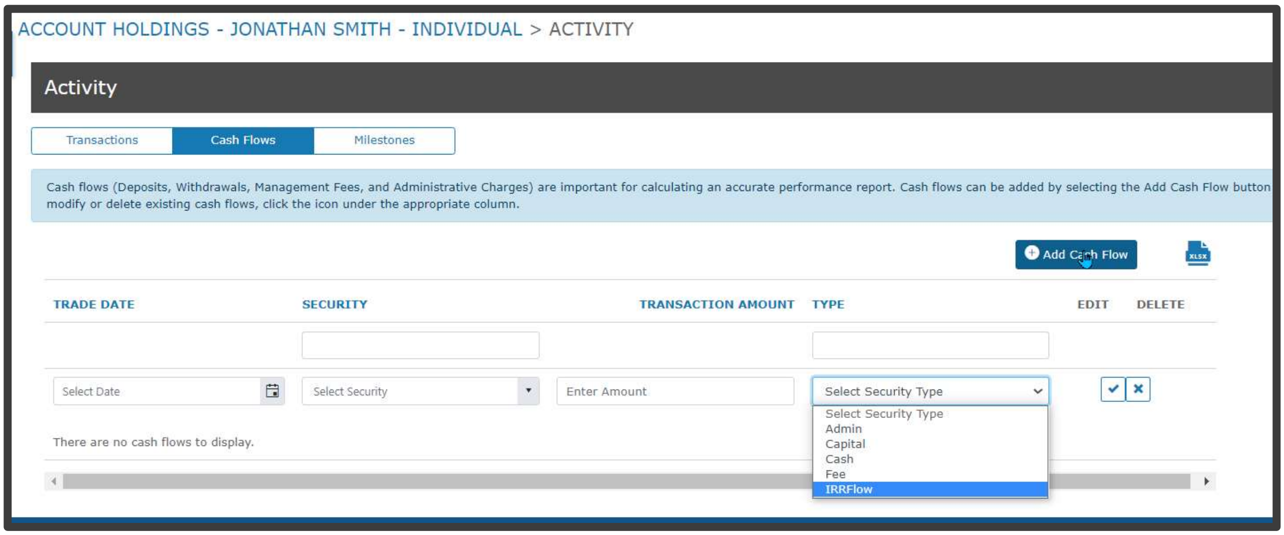
The value of the account can be updated simply by adding a new balance. Adding a zero balance will close the holding.



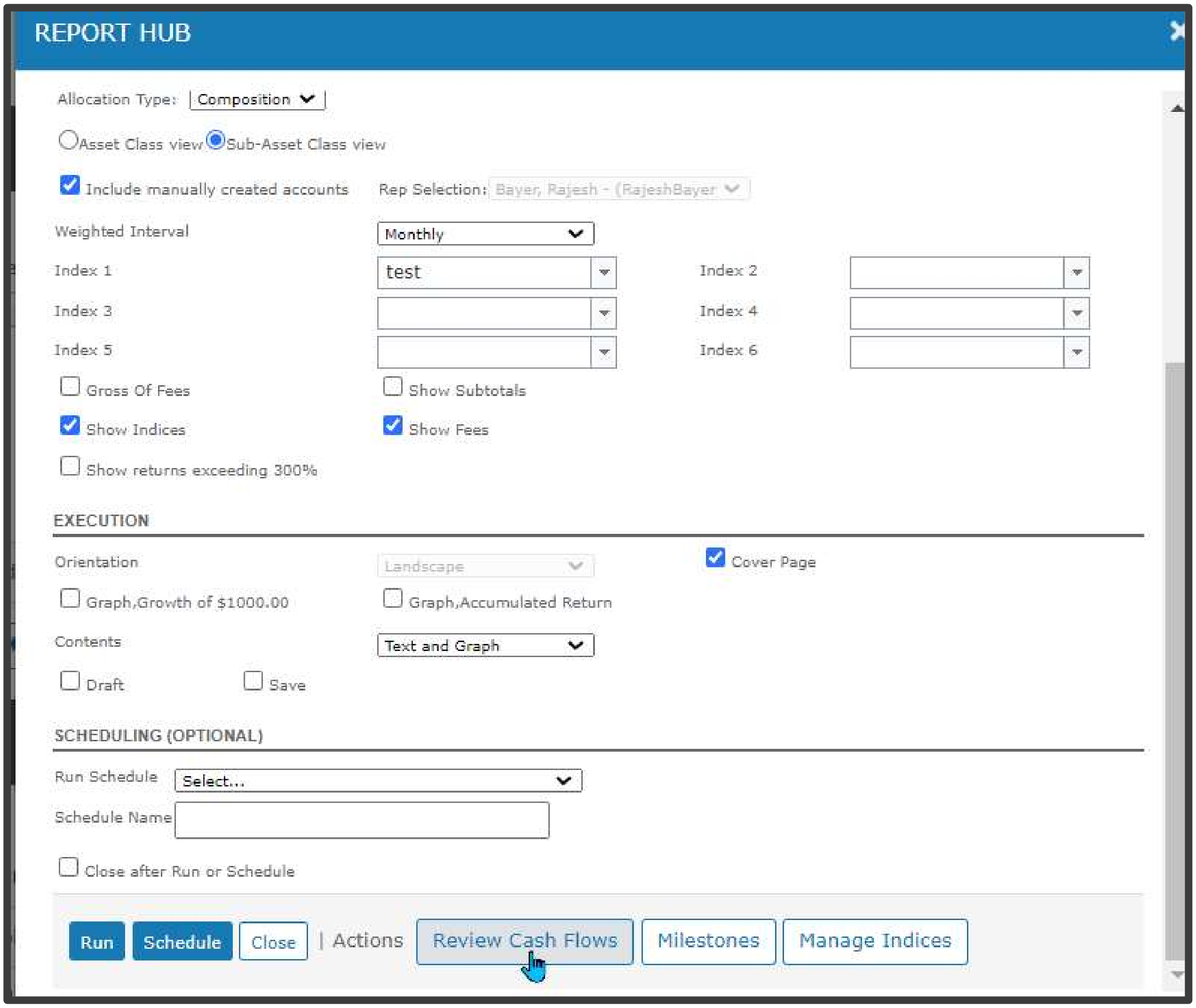
USING CASH FLOWS

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.



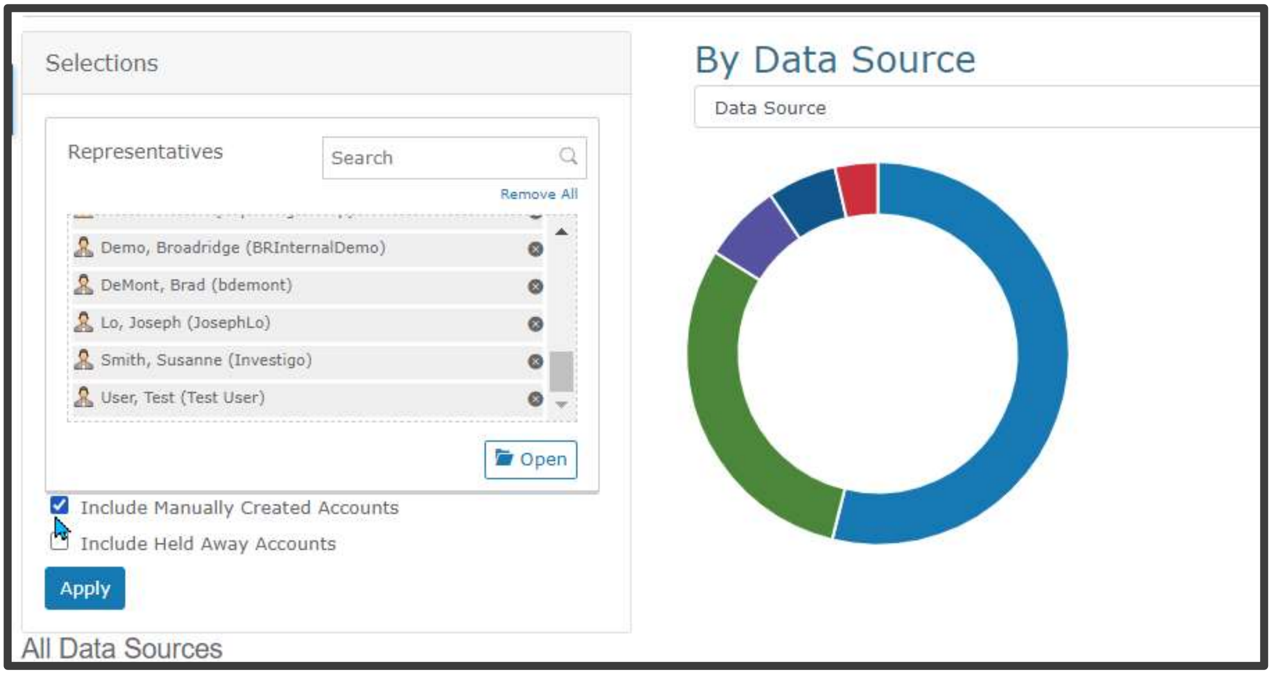


The cash flow menu can also be accessed from the performance report hub. Click **REVIEW CASH FLOWS** to access the menu.

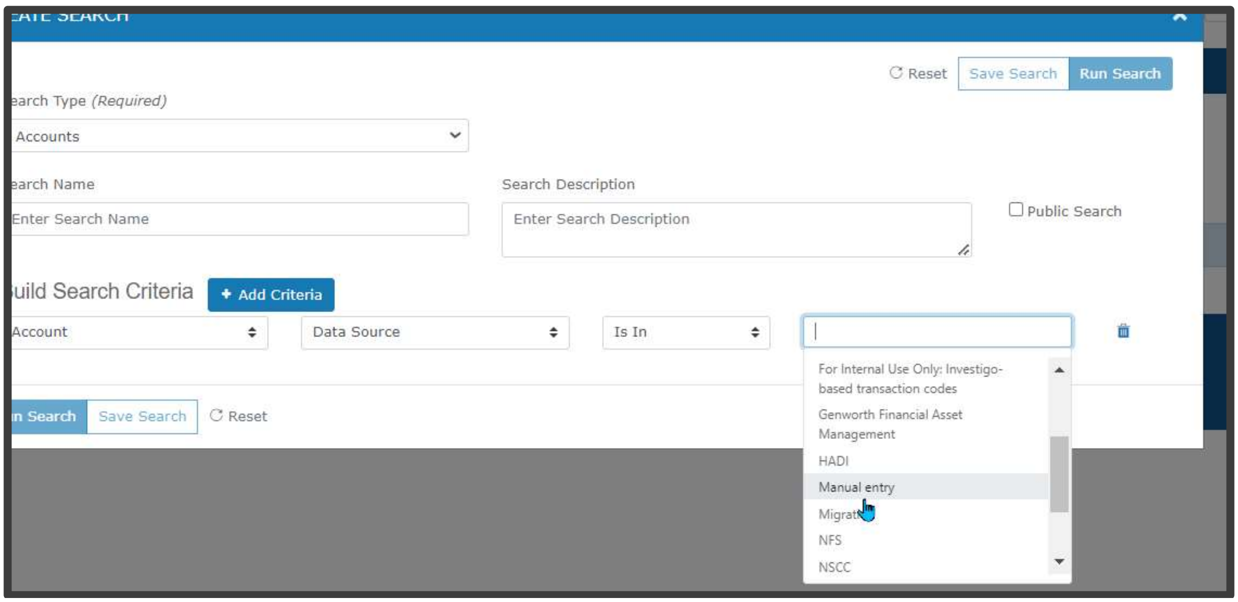


SEARCHING FOR MANUAL ACCOUNTS ON THE BROADRIDGE DESKTOP

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
All Data Sources
By Data Source
Data Source



Reset
Save Search
Run Search
earch Type (Required)
Accounts
earch Name
Enter Search Name
Search Description
Enter Search Description
Public Search
uild Search Criteria
Add Criteria
Account
Data Source
Is In
For Internal Use Only: Investigo-based transaction codes
Genworth Financial Asset Management
HADI
Manual entry
NFS
NSCC
n Search
Save Search
Reset