Detecting and Correcting Incorrect Security Mappings in Morningstar OfficeSM

To review your data in Morningstar OfficeSM for possible incorrect security mappings, please follow the steps outlined in this document. Throughout this guide, if you have questions, please contact one of our support teams for assistance:

Overview

- If you reconcile transactions yourself, please contact our product support team at +1 866 215-2503 or officequestions@morningstar.com.
- If you use Morningstar Back Office Services, please contact that support team at +1 312 384-3714 or BOS-relations@morningstar.com.

At a high level, the process of identifying incorrectly mapped securities includes the following steps:

- 1. Ensure the correct setting is checked to see liquidated holdings for your practice.
- Review stocks, ETFs, and closed-end funds used in your practice to see which do not belong (or have never belonged). This might require cross-referencing Morningstar Office data with that from your custodian.
- 3. Export associated accounts to Excel for archiving and reference.
- Correct the mappings and review related transactions by following this guide (see Correcting Incorrect Security Mappings on page 8), or contact the appropriate Morningstar support team.

What is the process for detecting and repairing this issue?

Detecting Incorrect Security Mappings

This section covers how to detect incorrect security mappings in Morningstar Office. **Overview** You will learn how to do the following:

- ► see liquidated holdings for your practice
- ► review the securities in your practice for incorrect mappings, and
- ► export securities that may have been incorrectly mapped.

The first step in diagnosing the issue of incorrectly mapped securities is to ensure you are looking at all holdings in your practice, including liquidated holdings. To change your settings to see liquidated holdings, do the following:

How do I see liquidated holdings for my practice?

- 1. From the **Home** module, click the **Settings** page.
- 2. Click the **Preferences** folder. The Account Setting dialog box opens.



- In the Account Setting dialog box, check the box for Show Liquidated Holding.
 At the bottom of the dialog box, click Save + Close.
- 5. When the confirmation message opens, click **OK** to close it.

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The next step is to sort your securities by Security Type to find those that have never been held by your clients. If you are unsure whether a security has ever been held by a client, be sure to also check your custodian's data.

How do I review the securities in my practice?

Note: Regularly review this list to uncover any suspicious holdings you believe are not owned by your clients.

Do the following:

- 1. From the **Portfolio Management** module, select the **Securities in Accounts** page.
- 2. **Scroll right** until you see the Security Type column.
- 3. To sort the list of security by type, **double-click** the **Security Type** column header.

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- 4. Review the following security types for securities either not held or never held in your clients' accounts:
 - stocks
 - closed-end funds, and
 - exchanged-traded funds.
- 5. If you find a security that has never been held in a client's account, check the **box** to the left of the security's name.
 - Note: One way to spot these incorrectly mapped securities is by comparing the Price Date and Last Transaction Date values for each row. When the Price Date is before the Last Transaction Date, this could indicate an inactive security. If you export all securities to Excel, place the following formula in a new cell in a row to check for this: =IF(F1<E1,"Review",""), where Column E is the Last Transaction Date, and column F is the Price Date column. Wherever the word Review appears, check to see if it reflects an inactive security.

The next steps involve the following actions:

- 1. Isolate the securities you've selected.
- 2. Export the accounts associated with these securities.
 - Note: The key to the export process is to add and rename a separate tab for each security whose associated accounts you export. This is detailed in the following procedure.

The Microsoft[®] Excel file you create will be used as a reference for use in later steps where the transactions related to these incorrectly mapped securities are corrected.

To isolate possibly incorrectly mapped securities and export accounts holding these securities, do the following after completing the security review:

1. At the bottom of the window, click the **Selected** button.



How do I export securities that may have been incorrectly mapped? 2. Mouse over the first row, right-click and select View Accounts with Holding. The Accounts with [security name] window opens, listing the accounts holding (or those that held) this security.

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3. From the header, click the Export button, then select Export to Excel.

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- Rename the tab in Microsoft[®] Excel for the security you exported.
 Add a new tab to the Microsoft[®] Excel workbook.
- 6. **Save** the Microsoft[®] Excel file.

- 7. In Morningstar Office, **close** the Accounts with [security name]... window.
- 8. Repeats steps 2-7 for each security selected as part of the review. When prompted to open subsequent Excel files, be sure to select **Active Cell**, then click **OK**.

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9. Once the Excel file is complete, If you would like to correct the security mapping related to these securities yourself, please see Correcting Incorrect Security Mappings on page 8. If you would like Morningstar to assist you in fixing any instances of incorrect security mappings and you reconcile transactions yourself, please contact our product support team at +1 866 215-2503 or officequestions@morningstar.com; if you use Morningstar Back Office Services, please contact that support team at +1 312 384-3714 or BOS-relations@morningstar.com.

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Correcting Incorrect Security Mappings

This section explains how to address incorrectly mapped securities.

Prote: If you subscribe to Morningstar Back Office Services, any incorrect mappings will be corrected for you. For any questions related to this issue, please contact the Back Office Services support team at +1 312 384-3714 or BOS-relations@morningstar.com.

Fixing incorrectly mapped securities is complex, and involves many detailed steps. Please do not hesitate to contact the Morningstar Office support team with questions at +1 866 215-2503 or officequestions@morningstar.com.

For incorrectly mapped securities, your client accounts either still own these holdings, or they have been liquidated. The following table describes the possible scenarios related to ownership of these securities, and which section you need to reference to resolve these incorrect mappings.

Overview

Scenario Description	Example	Section Reference
An incorrectly mapped security is currently owned by your clients and none have ever liquidated it.	Facebook (ticker: FB) was incorrectly mapped to FBR Asset Management (former ticker: FB). Any client account that once owned Facebook still owns Facebook, but in Morningstar Office the position currently reflects FBR Asset Management. Therefore, the ticker FB must be re-mapped to Facebook.	Use the procedures detailed in How do I update security mappings via the Import blotter? and How do I ensure the securities are using the correct price?
An incorrectly mapped security was liquidated or sold from all of your clients' accounts. You need to correct the mapping to insure historical performance and management fee reporting is accurate.	Facebook (ticker: FB) was incorrectly mapped to FBR Asset Management (former ticker: FB). You purchased Facebook for one or more client accounts, and subsequently sold it in all accounts prior to today. As a result, the position has been liquidated across all client accounts and is not currently owned by any account.	Use the procedures detailed in How do I fix liquidated incorrectly mapped securities? and How do I copy price information from one security to another?
	If your clients liquidated the security, you must also copy the pricing information from the incorrectly mapped security to the correct security if you use Imported Price as the price source when importing.	
An incorrectly mapped security was liquidated from some client accounts, but not all, or it was purchased, sold, and subsequently repurchased by at least one account.	Facebook (ticker: FB) was incorrectly mapped to FBR Asset Management (former ticker: FB). You purchased Facebook for one or more client accounts, and subsequently sold it in at least one client account.	Call Morningstar Office support at +1 866 215-2503

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If an incorrectly mapped security is currently owned by your clients and none have ever liquidated it, the process to resolve incorrectly mapped securities for these accounts involves the following steps:

- 1. Re-import the most recent security and position files from your custodian.
- 2. Remap each incorrectly mapped security to the correct Morningstar-tracked security.
- 3. Reconcile the data to see a highlighted list of out-of-balance securities as a result of remapping.
- 4. Fix the out-of-balance securities.
- 5. Post the updated data to your practice.
- 6. Review transactions to ensure the correct price is being used.

To fix the mismatched securities via the Import blotter, do the following:

- 1. From the menu bar at the top of the Morningstar Office window, click Import.
- 2. Open the Import Blotter for your custodian, and import your previous day's **Security** and **Position** files.
- 3. In the Import blotter, select the **Morningstar-Tracked Securities** page.



How do I update security mappings via the Import blotter? 4. In a row with an incorrectly mapped security, from the Morningstar Mapped Holding field, click the **magnifying glass** icon. The Find Investments dialog box opens.

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- 5. Find and select the correct security, then click OK to save the correct mapping.
- 6. Repeat steps 4-5 for all incorrectly mapped securities.
- 7. After all incorrectly mapped securities are saved as user-defined securities and mapped to the correct security, click **Save**.
- 8. Click **Reconcile**. You are brought to the Failed page under the Positions folder.

Import - Morningstar Office - Chad Lowry												
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Note the locations of the Save and Reconcile buttons

9. Click **OK** to clear the message box.

- 10. On the Failed page, you will see one reconciliation error for the inactive security, and one reconciliation error for the new security. Check the **box** to the left of the two holdings for the same account (one is inactive, the other is active).
- 11. From the toolbar, select Action...Replace Holding. A window opens.



- 12. Verify that the Target field has the security you want to see in Morningstar Office.
- 13. Click Apply replacement for all accounts in Reconciliation Blotter for this source/ target pair.
- 14. In the Security Price Option field, check **Copy Prices to Target Security**. A window opens.
- 15. Verify that these prices are the ones you need. (Compare the prices you previously exported to what is showing in the Security blotter.) Confirm that no conflicting prices are listed in the third column. Click **OK** to close the window.
- 16. Click Replace Holding.
- 17. Repeat steps 10-16 for each pair of securities. As you reconcile your account, your errors are corrected.
- 18. When all errors are corrected, click Post.
- 19. You can now close the blotter and Import windows.

To ensure the accounts now look the way you expect, do the following:

After you finish working in the import blotter, go to the **Portfolio Management** module.
 Select the **Securities in Accounts** page, and find one of the securities whose mapping

How do I ensure the securities are using the correct price?

was changed in the Import blotter. **Right-click** the security and select **View Accounts with Holdings**. The Accounts with [security name] window opens.

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- 4. Double-click the first account to open it.
- 5. Right-click the security and select View Transactions.

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6. If you have any Deliver-in or Deliver-out transactions, you need to update the price for all of these transactions. **Right-click** a Deliver In or Deliver Out transaction and select **Edit**. The Transaction window opens.

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- 7. In the Transaction window, take note of the Received Date field. You need to change this date in order for the security's price to update to the correct value. The easiest way to do this is to use the **calendar icon** to change the Received Date to another date, and then immediately change the Received Date back to its original date. (You will see the price update when the Received Date is changed.)
- 8. Click Save + Close.

Morningstar Office						
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Help				Save + Clos	se Exit	

- 9. Repeat steps 6-9 for each Deliver-In and Deliver Out transaction.
- 10. Repeat steps 3-9 for each incorrectly mapped security.

If a security was mapped incorrectly in all accounts and is also no longer owned by any client accounts, you still need to address this issue because it can affect historical performance reports and management fee reports.

Do the following:

- Reference the Microsoft Excel file you saved earlier with exported accounts holding incorrectly mapped securities. On the first tab of the workbook, note whether any accounts have liquidated the holding in question. If so, go to Morningstar Office and select the **Portfolio Management** module.
- 2. Be sure the **Accounts** page is selected.
- 3. **Double-click** the **account** in question to open it.

How do I fix liquidated incorrectly mapped securities?

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 Right-click the incorrectly mapped security and select Security Replacement for All Accounts in Practice. The Replacement with Security dialog box opens.

Brokerage - Jane Klein	. : San	rsh for	In This View			
Account	Holdin	gs Summary				
 ☐ Holdings Summary ☐ Transactions ☐ Account Performance 〕 Profile/Settings ☐ Imported Return Series > △ Activities ☐ Task Manager ☑ Note Manager ☑ Saved Reports 	Actio	View Summary Name Summary Benchmark:Morningst Activision Blizzard Inc Avon Products Inc CASH Compass Minerals Int EMC Corp Expedia Inc Exxon Mobil Corp Johnson & Johnson Oracle Corp PetSmart Inc Sweep Account Vodafone Group PLC	New Transation View Accounts With H New Transaction View Transaction View Transaction Order View Transaction Order View Prices Find Similar Funds Compare Funds View Subaccounts View Subaccounts View Subaccounts View Related Products Filing SA Documents Charts View Holdings View Owners Security Replacement to Note	action - Edit V Market Value USD 635,941.50 R9.670.00 olding	Yiew 1 Export - Current Price 10,856.41 59.78 ↓ ↓ Practice	Right-click an incorrectly mapped security and select this

ion

- 5. Find and select the **security** you would like to use.
 - Note: If more than one option is available, select the security whose name includes "RepPerf" (this stands for Ready for Performance).
- 6. Click **OK** to close the dialog box.
- 7. When the confirmation message opens, click **OK**. A Notepad document opens with details of every account impacted by this security replacement. Review this file, and ensure that every account here was intended to be changed. If you see an account which you believe does not belong here, contact Morningstar Office support at +1 312 384-3714. Once the change is made, it will be reflected in all accounts that hold the security. All historical transactions under the old security are also converted to the new security.
- 8. Repeat steps 1-7 for each tab in the Microsoft Excel workbook.

If you are using imported prices (rather than the Morningstar price), when the incorrectly mapped security was replaced with the correct one, the price information (which was correct) from the incorrectly mapped security was not brought over to the correct security. Therefore, the price information from the incorrectly mapped security needs to be copied to the correct security in order to produce accurate performance reports and billing statements. If you are using the Morningstar price for a security (perhaps because your custodian does not have consistent pricing for a security), then you do not need to take the action described here.

This procedure needs to be done whether the security was mapped in the Import blotter, or using the security replacement feature in the Portfolio Management module.

Do the following:

1. From the menu bar at the top of the Morningstar Office window, select **Tools**...**Edit Definition Master**. The Definition Master window opens.

Morningstar Office		
<u>F</u> ile <u>N</u> ew Favorites	Tools Reports Help 🛃 Import 🔟 Price Monitor 🕮 Quote	Speed
Hamo	Edit Definition Master	
nome	Hypothetical Illustration	Select this option
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Settings	Settings DE	
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🕨 🚞 Morningstar Services	Market Barometer	
Document Library	Calculators +	
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🗉 Task Manager	Batch Document Upload	
Note Manager	Launch Web Portal	
🕨 🚞 Workflow	Launch Corporate Action Warehouse	_
🕨 🚞 Learning Center	Global Transaction Wizard	
	Advisor-Client Questionnaire	
	12/0 Schwab Internace Changes	
	12/6 Register for the Morningstar Office Security Import	

How do I copy price information from one security to another?

- 2. Under the Morningstar Securities folder in the left-hand navigation pane, select the **Price Sources** page.
- 3. Confirm you see a row for both the incorrectly mapped security and the correct security. If you do not see a row for the correct security, please review the steps in How do I update security mappings via the Import blotter? on page 9 or How do I fix liquidated incorrectly mapped securities? on page 14.
- 4. In a row with an incorrectly mapped security, **scroll right** until you see the Prices column.
- 5. Click the **magnifying glass** icon in the Prices column. The Prices schedule setup window opens.

Morningstar Office						
File Help Search for		In This View 🔹 Go			Send us feed	
Definition Master	Price S	ources				Be sure this
🕨 🛅 User Defined Securities	Action	🔹 🖬 Add 拱 Save 🖞 Export 🗸 🕻	🖶 Print 🛭 🧔 Refres	ih		page is selected
Securities	Γ	Security Name	ISIN	Price Source	Prices	
📲 Morningstar Securities						
Price Sources		Facebook Inc A	US30303M1027	Imported Price	۹,	
Reclassification	□ 2	FactSet Research Systems Inc	US3030751057	Morningstar Price	্	
Customized Data	□ 3	Fair Isaac Corp	US3032501047	Morningstar Price	۹,	
Security Types	□ 4	Fastenal Co	US3119001044	Morningstar Price	۵	
Asset Classes	5	FBR Asset Investment Corp	US30241E3036	Imported Price	Q.	
Countries	□ 6	Federal Realty Investment Trust	US3137472060	Morningstar Price	Q	Click the icon
Currencies	□ 7	Federal-Mogul Holdings Corp	US3135494041	Morningstar Price	Q	here to see the
lll Exchanges	□ 8	Federated American Leaders B	US3139142026	Morningstar Price	٩	prices associated
I Sectors	□ 9	Federated Capital Appreciation A	US3141727012	Morningstar Price	Q	with this security
Industries Brokerages	□ 10	Federated Fund for US Govt Secs	US31420C8038	Morningstar Price	Q.	with and occurry
Bond Insurers	T 11	Federated Government Income S	US3139121079	Morningstar Price	Q.	
Regions	□ 12	Federated High Income Bond A	US3141951083	Morningstar Price	Q.	

- 6. In the last row with price data, **scroll right** until you see the Day 31 column.
- 7. Even if no price is in the **Day 31** column, click in that cell, then hold down the left mouse button as you drag all the way to the top left and have the first day selected.
- 8. When all cells are selected, press **<CTRL**>+**<C**> to copy the information.

Prices sche	edule setup - Mor	ningstar Office					×	
	Month (mm/yyyy)	Day1	Day2	Day3	Day4	Day5	Day6	
71	12/2016						- 1	
v 2	01/2017		36.110000000	36.640000000	37.360000000	37.940000000	37	Be sure all of
7 3	02/2017	40.470000000	40.470000000	40.010000000			40	prices are sel
7 4	03/2017	47.140000000	46.680000000	47.070000000			47	
v 5	04/2017			49.530000000	49.04000000	49.20000000	49	
7 6	05/2017	52.70000000	53.030000000	52.840000000	53.100000000	53.830000000		
7	06/2017	59.560000000	59.650000000			59.800000000	59	
7 8	07/2017			56.260000000	56.260000000	57.160000000	56	
V 9	08/2017	62.40000000	61.450000000	63.970000000	62.010000000			
v 10	09/2017	65.120000000			65.120000000	65.050000000	64	
7 11	10/2017		63.390000000	63.450000000	62.630000000	63.090000000	63 ≡	
v 12	11/2017	65.330000000	65.450000000	63.20000000			60	
V 13	12/2017	61.960000000			58.60000000	59.550000000	60	
7 14								
15								

- 9. Close the Prices window for the incorrectly mapped security.
- 10. In the row with the correctly mapped security, **scroll right** until you see the Prices column.
- 11. Click the magnifying glass icon in the Prices column. The Prices window opens.
- 12. Use **<CTRL>**+**<V**> to paste in the price data.

Prices scl	nedule setup - Morr	ningstar Office					×	
	Month (mm/yyyy)	Day1	Day2	Day3	Day4	Day5	Day6	
1]					•	
2								Click in the first cell
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13. Click the **Save + Close** button.

14. On the Definition Master window, click **Save**.

15. Repeat steps 4-14 for all incorrect securities using Imported Price as the Price Source.