

Data Integration with BranchNet and Advisor Workstation 2.0

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Data Integration with BranchNet and Advisor Workstation 2.0

Each night, data from BranchNet is automatically generated, but still must be manually imported into Advisor Workstation 2.0 for each client. If all securities map correctly, you will have nothing to address. If, however, one or more securities is not recognized, you will need to map those items to known securities in order to ensure the portfolio is properly entered. This document explains how to import portfolios from BranchNet into Advisor Workstation 2.0, and how to map unrecognized securities.

When a portfolio is imported, Advisor Workstation simply recognizes the securities being imported, then multiplies the number of shares in the original platform by the current price for the security in Advisor Workstation.

Note that a discrepancy could exist between the value of the portfolio in BranchNet, and Advisor Workstation. This is due to Advisor Workstation using its most current price for securities, which could be updated more frequently or recently than BranchNet.

Also, the portfolio created in Advisor Workstation contains only the names of the securities imported, and their values. It is not possible to retrieve historical purchase information or transaction data; only the current holdings can be retrieved from BranchNet.

The import interface will show you the number of portfolios or core accounts that can be imported at one time.

Keep in mind, though, that for all Advisor Workstation users, the number of portfolios is limited to 150,000, and the number of holdings per portfolio is 250.

Overview

How does the import process work?

How many portfolios or core accounts can I import at once?

Integrating Data with LPL BranchNet

This section will show you how to do the following:

- Make your BranchNet data available for integration with Advisor Workstation 2.0
- Import portfolios into Advisor Workstation 2.0
- Update existing portfolios
- Resolve unmapped securities
- Map to advisor-defined securities, and
- Delete duplicate portfolios.

To enable data integration with your LPL BranchNet account, send an email to order.fulfillment.mailbox@lpl.com.

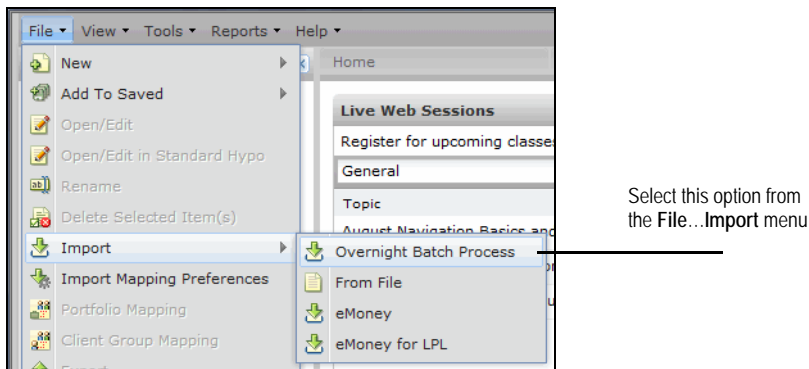
☞ Your message must include your InstID, Advisor Workstation login and LPL Master Rep ID.

You will receive a confirmation email from LPL Order Fulfillment once BranchNet upload capability has been completed (usually within three business days).

To import client holdings from BranchNet, you must first select the client's name, then enter one or more account numbers.

To import client data from BranchNet into Advisor Workstation, do the following:

1. From Advisor Workstation's menu bar, select **File...Import...Overnight Batch Process**. The Overnight Batch Process dialog box opens.

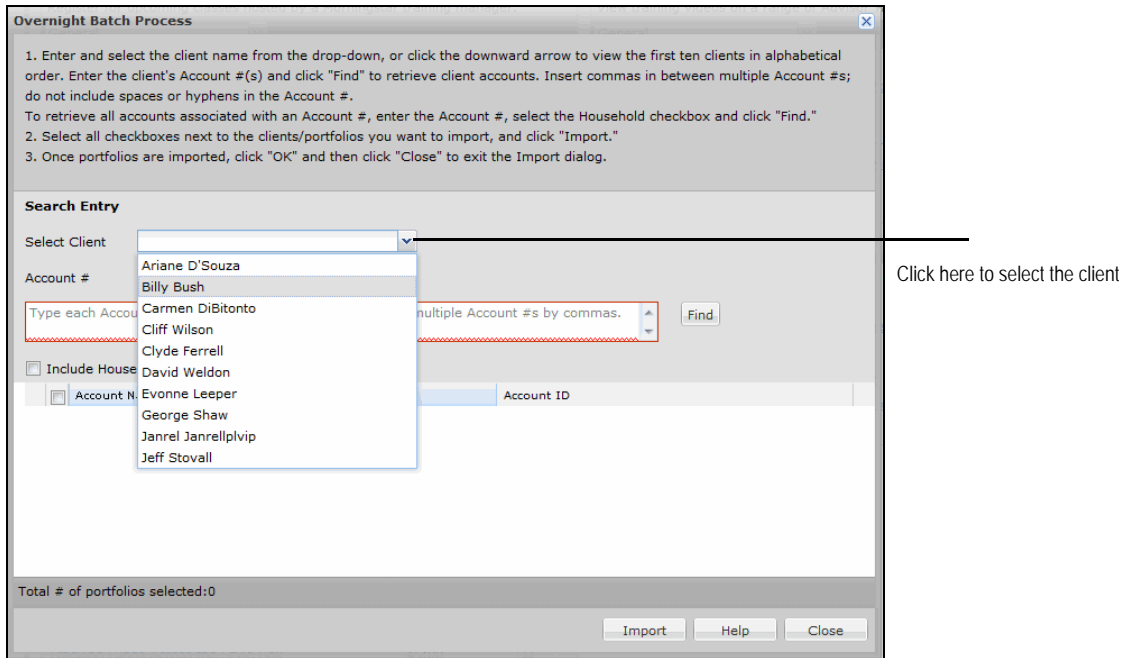


Overview

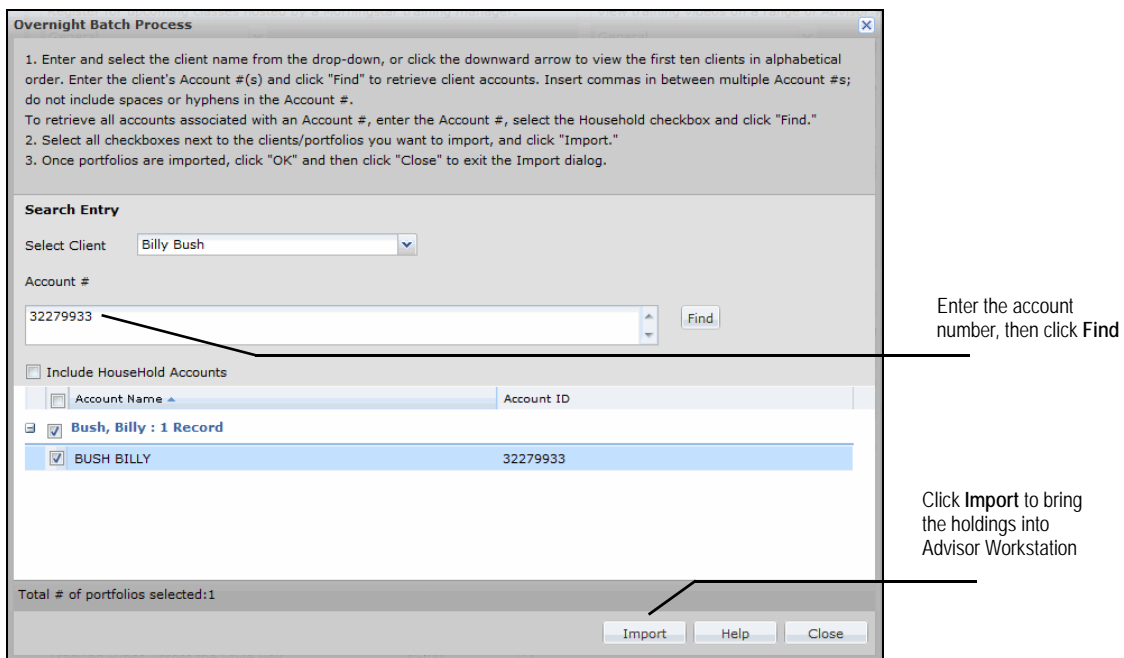
How do I enable data integration with BranchNet?

How do I import portfolio data from BranchNet?

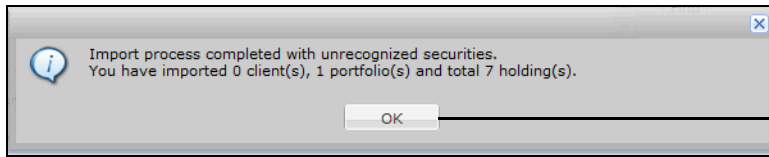
2. Click the **Select Client** drop-down field and select the **name** of the client whose portfolios you want to import.



3. In the Account # field, enter the **account number** with no dashes.
 - ☞ You can enter multiple account numbers separated by commas.
4. Click **Find**. After a moment, the matching portfolio(s) will appear in the dialog box.
5. Make sure the box is checked next to the name(s) of the item(s) you want to import, then click **Import**.



6. A confirmation message appears, showing you the number of portfolios and holdings imported. Click **OK** to clear the message.



Click OK to clear this message

You can now see the client(s) and portfolio(s) in the Clients & Portfolios Module in Advisor Workstation 2.0. For instructions on handling unrecognized securities, see page 5.

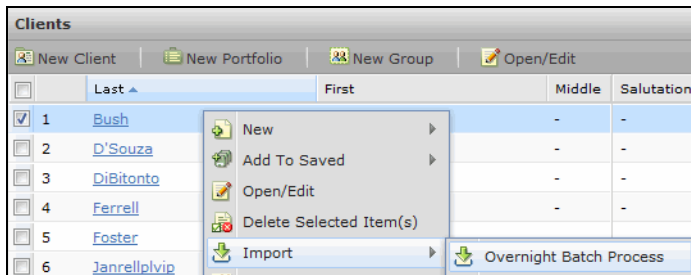
To update an existing client’s portfolio(s) by retrieving data from BranchNet, do the following from Advisor Workstation:

1. Go to the **Clients** page in the Clients & Portfolios module.
2. Right-click once on the **name** of the client you want to work with.

You cannot select more than one client at a time.

3. From the menu that appears, select **Import... Overnight Batch Process**.

How do I update an existing client record by retrieving client data from BranchNet?



After right-clicking on the appropriate client record, click here to update it

- The Overnight Batch Process window appears, and the client's name and account number are populated automatically. Click **Find**. After a moment, matching portfolios will appear in the dialog box.

Overnight Batch Process

1. Enter and select the client name from the drop-down, or click the downward arrow to view the first ten clients in alphabetical order. Enter the client's Account #(s) and click "Find" to retrieve client accounts. Insert commas in between multiple Account #s; do not include spaces or hyphens in the Account #.
To retrieve all accounts associated with an Account #, enter the Account #, select the Household checkbox and click "Find."
2. Select all checkboxes next to the clients/portfolios you want to import, and click "Import."
3. Once portfolios are imported, click "OK" and then click "Close" to exit the Import dialog.

Search Entry

Select Client: Billy - Bush

Account #: 32279933

Include HouseHold Accounts

Account Name	Account ID
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Total # of portfolios selected:0

Buttons: Import, Help, Close

Click hereto import the client's portfolio(s)

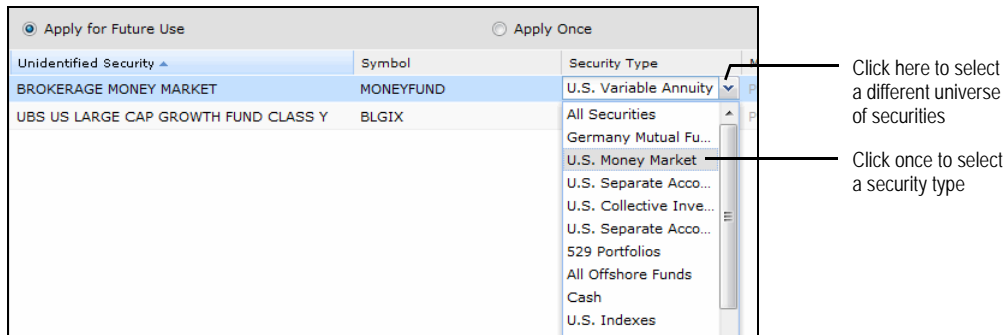
- Make sure the box is checked next to the name(s) of the item(s) you want to import, then click **OK**.
- A confirmation message appears, showing you the number of portfolios and holdings imported. Click **OK** to clear the message.

If a holding in BranchNet does not match a known security (either by name or ticker symbol) in Advisor Workstation 2.0, a dialog box will appear in which you must map the holding to a security in Advisor Workstation 2.0 in order for it to properly appear in a portfolio for the client.

How do I resolve unmapped securities?

To map an unknown security, do the following:

1. In the Edit Security Mappings dialog box, the Security Type column will be pre-populated. To change this selection, click in the **Security Type** field.



2. Select the appropriate **investment universe**.
3. In the Symbol column, enter a **name** or **ticker symbol** for the security. Suggested matches appear as you type.
4. Click once on the **name** of the item you want to use as the mapping for the unrecognized security.

You can click the Search by Subaccount Name or View Full Results link to launch the Results for Security Search window.

5. Repeat steps 1-4 for any additional securities that need to be mapped.
6. Click **OK** to close the Edit Security Mappings dialog box when finished.

If you later realize you erred in making a particular mapping, you can correct it by manually launching the Edit Security Mappings dialog box. From the File menu, select **Import Mapping Preferences**.

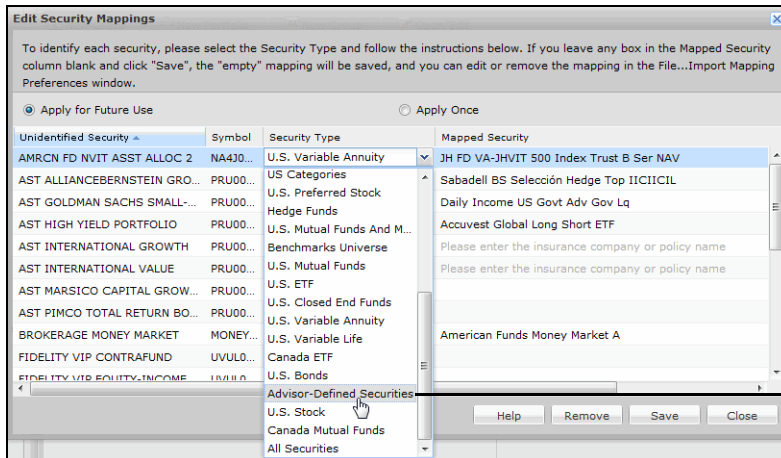
If certain securities in BranchNet are not tracked by Morningstar, you can map these holdings to advisor-defined securities in Advisor Workstation. You must create an advisor-defined security before you can map to it.

How do I map to advisor-defined securities?

You can create advisor-defined securities by selecting **File...New...Advisor-Defined Security**.

To map to an advisor-defined security, do the following:

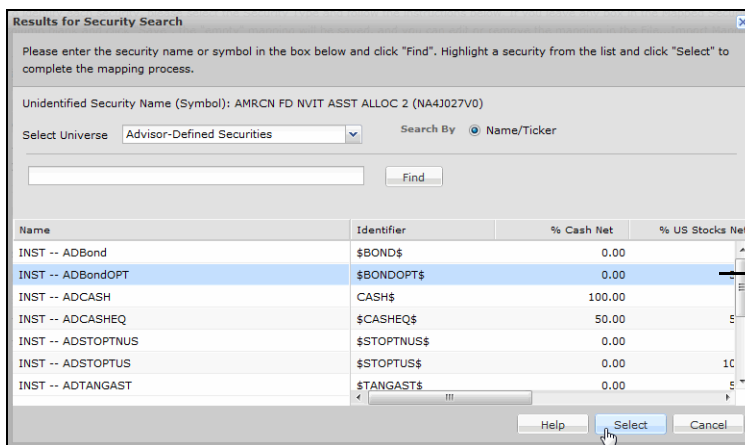
1. From the **File** menu, select **Import Mapping Preferences**. The Edit Security Mappings dialog box opens.
2. Click in the **Security Type** field and select **Advisor-Defined Securities**.



3. In the Mapped Security field, type the **name** of the advisor-defined security or click the **View All Results** link to launch the Results for Security Search window.

You can also click the **New Advisor-Defined Security** link at the bottom of the drop-down menu to create a new advisor-defined security directly from the Edit Security Mappings dialog box.

4. From the Results for Security Search window, click **Find** to list all your advisor-defined securities.
5. Click to highlight the **name** of the desired security, then click **Select**.




6. You are returned to the Edit Security Mappings window. Click **Save** to save the mapping.

If you manually created portfolios in Advisor Workstation 2.0 prior to importing, the portfolios you bring in from BranchNet might appear as exact duplicates of the portfolios you built in Advisor Workstation 2.0. If one or more of your clients has duplicate portfolios, it is recommended you delete the portfolios you created manually, as their holdings cannot be automatically updated later via import and the value will be double counted toward the client total. However, you should confirm the holdings in the imported portfolio are correct before deleting anything.

What if I import duplicate holdings?

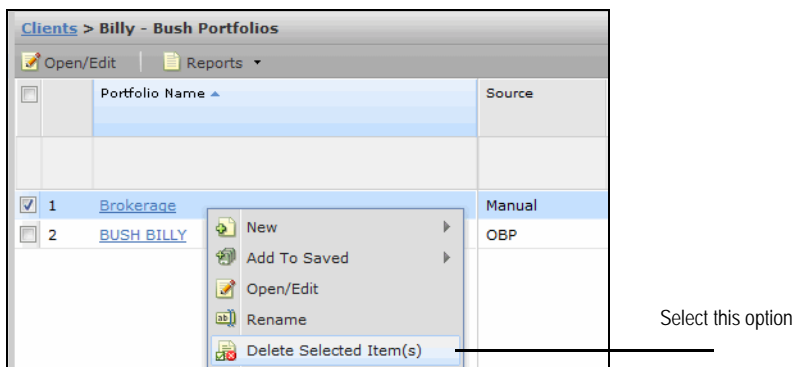
To delete a duplicate portfolio, do the following:

1. In the Clients & Portfolios Module, click the **Clients** page.
2. Click on the hyperlinked **name** of the client whose portfolios you want to view.
3. Identify the **portfolio** you want to delete.

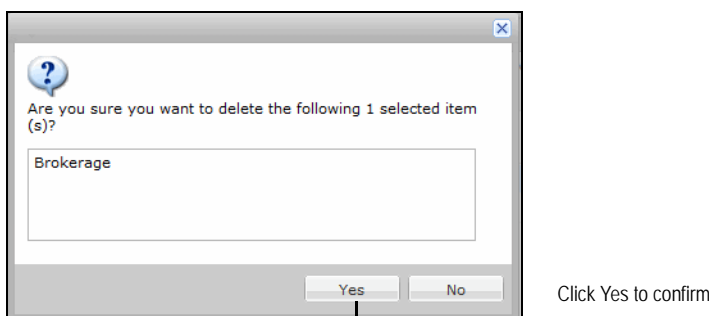
 You can confirm whether a client was imported from BranchNet or created in Advisor Workstation by scrolling to the right and viewing the Source column. "OBP" will appear for clients whose portfolios were imported from BranchNet, and "Manual" will appear for portfolios created in Advisor Workstation.



4. Right-click the Manual portfolio and select **Delete Selected Item(s)**.



5. A warning message appears. Click **Yes** to confirm the deletion.



The portfolio is removed from Advisor Workstation.

FAQs for LPL BranchNet Data Integration

This section contains answers to frequently asked questions about LPL BranchNet data integration.

Yes, direct BranchNet integration is available only for Advisor Workstation.

As an LPL rep, you should have one LPL Master Rep ID. If you are not sure what yours is, send an email to order.fulfillment.mailbox@lpl.com and cc: james.kingsbury@lpl.com and ask to be sent your LPL Master Rep ID.

No, Advisor Workstation can integrate with only one Rep ID. Most reps with multiple or split Rep ID's will have one LPL Master Rep ID that contains all their accounts.

You probably selected "Household" when importing. This means you created multiple households that have the same account, which is causing the duplicates to import. You should either fix the householding in BranchNet or deselect the duplicate accounts.

Morningstar has pre-mapped several money markets and VA's that LPL reps use most frequently; however, there will be securities that are not found in the Morningstar database. You can map to a proxy or another security that is similar by using the Import Mapping Preferences dialog box (See "How do I resolve unmapped securities?" on page 6). You can save these mappings so future imports will not require you to map again.

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What is my LPL Master Rep ID?

Does BranchNet integration work with multiple Rep ID's?

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How do I handle unmapped securities?