

Importing Options

Importing allows you to bring portfolio and research information from an outside source into Principia. You can import information into Research Mode and Portfolio Mode from an Excel spreadsheet. From Portfolio Mode, you can also import client information you download from a data provider

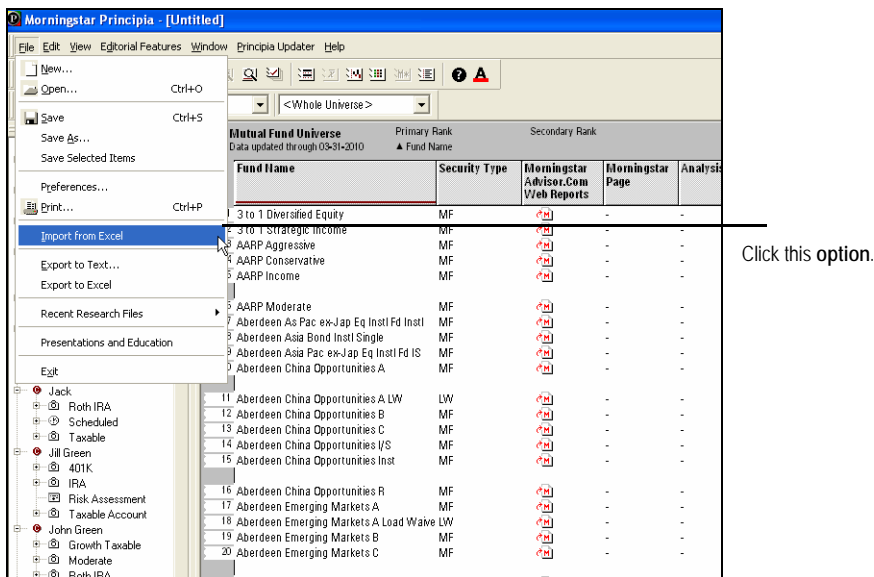
Overview

To import a list of securities from a saved Excel file, do the following in Research Mode:

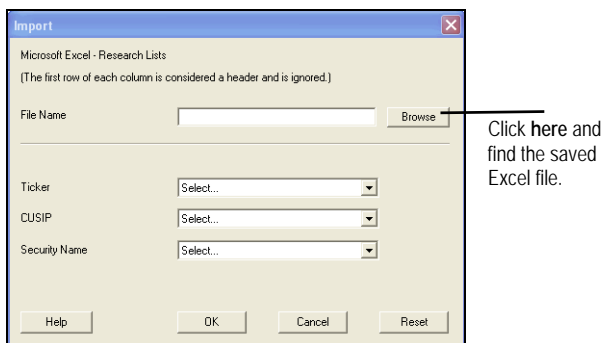
- ☞ Before you import the information, note the ticker, CUSIP, and security name fields in the saved Excel file. You will need to enter this information in the import dialog box.

Importing from Excel in Research Mode

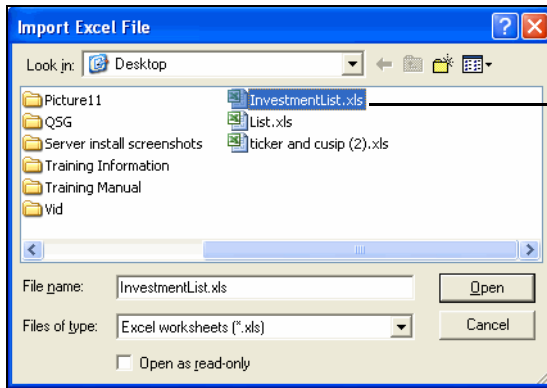
1. From the File menu, select **Import from Excel**.



2. From the Import dialog box, click the **Browse** button and navigate to the location where the Excel file is saved.

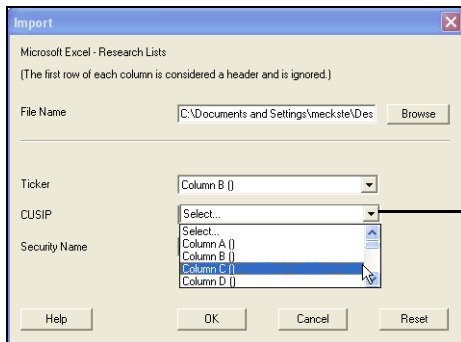


3. In the Import Excel File window, select the **file** you wish to import and click the **Open** button.




The Import Excel File window will display the file you wish to import.

4. From the Ticker, CUSIP, or Security Name drop-down, assign at least one **identifier** to the Excel column and then click **OK**.



The drop-down menu displays the columns to be assigned on the Excel spreadsheet.

 The program will choose the field that has the highest preference. The order of preference is Ticker, CUSIP, and Name.

Importing Options

5. A status bar appears and the system will display the imported securities. Otherwise, a warning message indicates the number of unmatched investments. Click **OK** to view the imported securities in Research Mode.

The screenshot shows the 'Mutual Fund Universe' window with a table of funds. A dialog box titled 'Status' is overlaid on the table, displaying 'Importing from Excel' and a warning: 'Unable to match 11 import items.' The dialog has an 'OK' button. An arrow points from the text 'Click OK to complete the import process.' to the 'OK' button.

Fund Name	Security Type	Morningstar Advisor.Com Web Reports	Morningstar Page	Analysis	Morningstar Category
1 3 to 1 Diversified Equity	MF				World Stock
2 3 to 1 Strategic Income	MF				Multisector Bond
3 AARP Aggressive	MF				Large Blend
4 AARP Conservative	MF				Conservative Allocation
5 AARP Income	MF				Intermediate-Term Bond
6 AARP Moderate	MF				Moderate Allocation
7 Aberdeen As Pac ex-Jap Eq Instl Fd Instl	MF				Pacific/Asia ex-Japan Stk
8 Aberdeen Asia Bond Instl Single	MF				World Bond
9 Aberdeen Asia Pac ex-Jap Eq Instl Fd IS	MF				Pacific/Asia ex-Japan Stk
10 Aberdeen China Opportunities A	MF				Pacific/Asia ex-Japan Stk
11 Aberdeen China Opportunities A LW	LW				Pacific/Asia ex-Japan Stk
12 Aberdeen China Opportunities B	MF				Pacific/Asia ex-Japan Stk
13 Aberdeen China Opportunities C	MF				Pacific/Asia ex-Japan Stk
14 Aberdeen China Opportunities IS	MF				Pacific/Asia ex-Japan Stk
15 Aberdeen China Opportunities Instl	MF				Pacific/Asia ex-Japan Stk
16 Aberdeen China Opportunities R	MF				Pacific/Asia ex-Japan Stk
17 Aberdeen Emerging Markets A	MF				Emerging Mkts
18 Aberdeen Emerging Markets A Load Waive	LW				Emerging Mkts
19 Aberdeen Emerging Markets B	MF				Emerging Mkts
20 Aberdeen Emerging Markets C	MF				Emerging Mkts
21 Aberdeen Emerging Markets Instl Fd IS	MF				Emerging Mkts
22 Aberdeen Emerging Markets Instl Fd Instl	MF				Emerging Mkts
23 Aberdeen Emerging Markets R	MF				Emerging Mkts
24 Aberdeen Equity Long-Short A	MF				Long-Short
25 Aberdeen Equity Long-Short A LW	LW				Long-Short
26 Aberdeen Equity Long-Short B	MF				Long-Short
27 Aberdeen Equity Long-Short C	MF				Long-Short

6. From the File menu click **Save**.

The screenshot shows the 'Morningstar Principia - [Untitled]' application window. The 'File' menu is open, and the 'Save' option is highlighted. An arrow points from the text 'Click this option to save the imported file list.' to the 'Save' menu item.

Fund Name	Security Type	Morningstar Advisor.Com Web Reports	Morningstar Page	Analysis
Dividend Growth Trust Rising Div Gr I	MF			
Dodge & Cox Balanced	MF		2010-02-28	2010-03
Dodge & Cox Global Stock	MF		2010-02-28	2010-01
Dodge & Cox Income	MF		2010-02-28	2009-11
Dodge & Cox International Stock	MF		2010-02-28	2009-12
Dodge & Cox Stock	MF		2010-02-28	2010-03
Domini International Social Equity A	MF			
Domini International Social Equity A LW	LW			
Domini International Social Equity Inv	MF			
Domini Social Bond Inv	MF			
Domini Social Equity A	MF			2009-09
Domini Social Equity A Load Waived	LW			2009-09
Domini Social Equity Instl	MF			2009-09
Domini Social Equity Inv	MF		2010-02-28	2009-09
Domini Social Equity R	MF			2009-09
Dreman Contrarian Intl Value Retail	MF			
Dreman Contrarian Mid Cap Value Instl	MF			
Dreman Contrarian Small Cap Value A	MF			
Dreman Contrarian Small Cap Value A LW	LW			
Dreman Contrarian Small Cap Value I	MF			

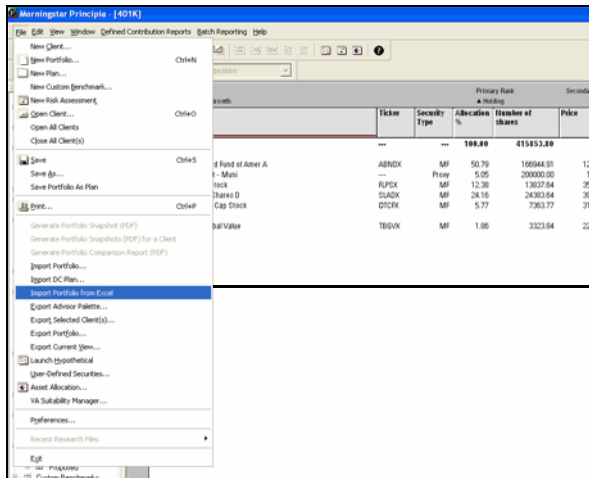
7. In the Save As dialog box enter a **name** in the File Name field and click **Save** to return to Research Mode.

To import portfolio allocation information into Principia from an Excel file, do the following:

Importing from Excel in Portfolio Mode

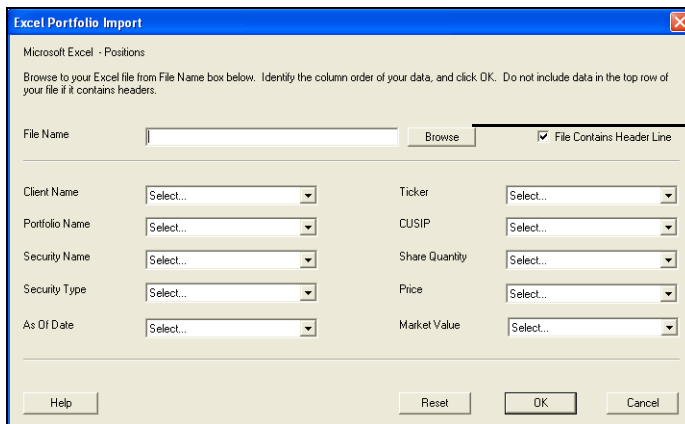
☞ Before you start the import process, note the fields on the Excel file. You will assign this information to the Excel Portfolio Import dialog box.

1. Click the **Portfolio Mode** icon.
2. From the **File** menu in Allocation View, select **Import Portfolio From Excel**.



Select this option.

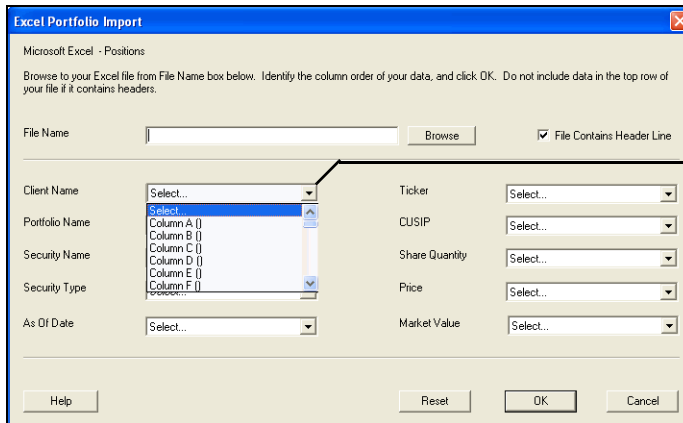
3. The Excel Portfolio Import window appears. Click the **Browse** button, and navigate to the location on your computer where the Excel file is saved.



Click this button.

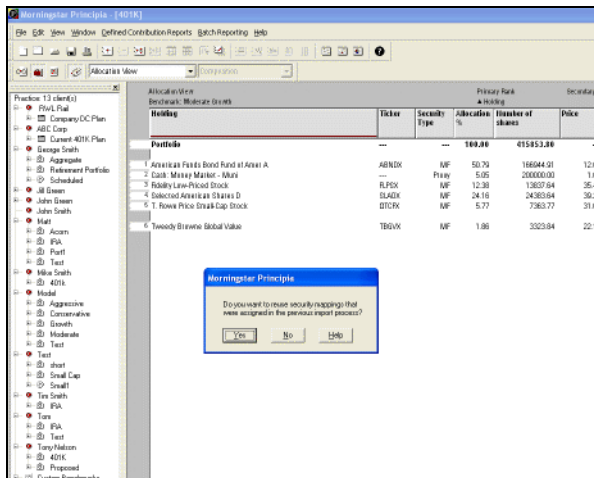
4. Highlight the saved Excel file, then click **OK**.

- Click the drop-down next to the **Client Name** field and select the **column** it is associated with in the Excel spreadsheet.



The drop-down menu is used to assign a column from the Excel spreadsheet file.

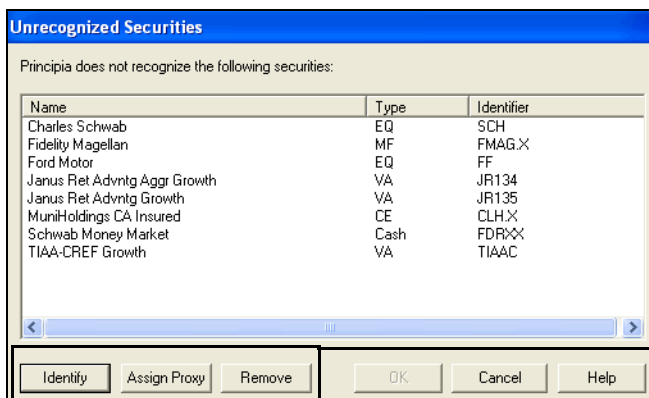
- Repeat step 4 until the required fields in the Excel Portfolio Import window are associated with columns in the saved spreadsheet file, then click the **OK** button.
- If you have previously imported portfolio information, a warning message appears. Click **Yes** if you wish to reuse the mappings from the previous import. Otherwise, click **No** to continue.



Click **Yes** if you wish to save security mappings for the next time you run the import process.

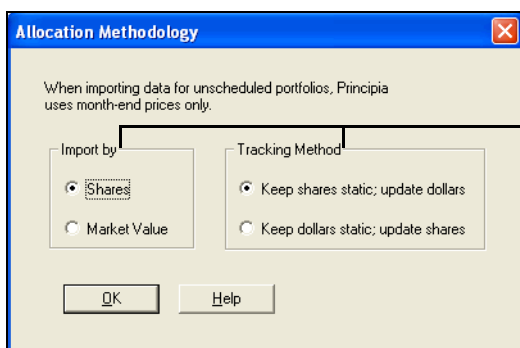
- If Principia does not recognize an investment, the Unrecognized Securities dialog appears.
 - To map a security, highlight it and click **Identify**. Use the **Source** arrow to select the database you want to use, then type the name of security. Click **OK** and the Unrecognized Securities dialog reappears with the security removed from the list.
 - To map a proxy, highlight the security, click the **Assign Proxy** button and then click the proxy you want to use. Click **OK** and the Unrecognized Securities dialog appears with the security removed from the list.

- To remove a security. **Highlight** the security, click **Remove** and then click **OK**. The security should be removed from the Unrecognized Security dialog.



Select one of these options to assign unrecognized securities.

9. After you have identified, assigned as a proxy, or removed unwanted securities, click **OK**.
10. Choose the appropriate allocation methodology and then click the **OK** button to view the imported information in the Advisor Palette.



From the Import by and Tracking Method sections, select an **option** for allocating portfolios.

The Principia Importer tool is a standalone application that allows you to import client and portfolio positions from a third-party data provider. To access the tool, you must download it from the Principia E-Delivery website.

Installing the Principia Importer

To download the Principia Importer, do the following:

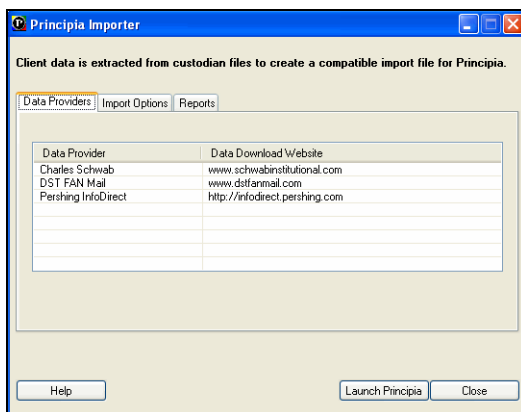
1. Login to the E-Delivery site and in the available fields, enter the **Last Name** and **Subscription ID** for the person in the office who subscribes to Principia.
2. Click the **Submit** button.
3. Click the **Download** link at the bottom of the Software Downloads page to install the Portfolio Importer application and create an icon on your desktop.

You can use the Principia Importer to access client and portfolio information from your data provider. Using the tool will reduce the time you spend manually entering information into the Principia system.

Downloading Portfolio Positions

To download the portfolio positions from a custodian, do the following:

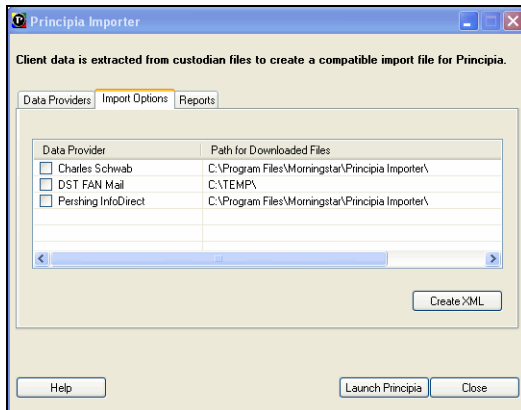
1. Click the **Principia Importer** icon located on your desktop.
2. From the Data Providers tab, double-click a **row** in the grid to select a custodian.



The Data Provider area displays the name and website address for available custodians.

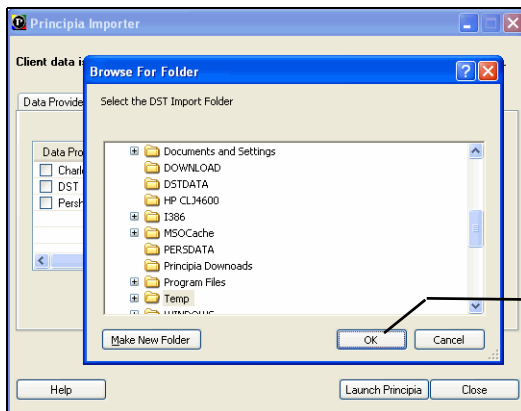
3. Enter the login information to access the custodian website and then download the data files to a location on your computer.
 - ☞ Make a note of this path. You will navigate to this location in the Import Options tab of the Principia Importer tool.
4. From the title bar of the data provider window, click the **minimize** button.
5. Click the **Import Options** tab from the Principia Importer tool.

- To select the location to retrieve the downloaded data files, double-click the **row** in the grid where the Data Provider and Path for Download Files are located.



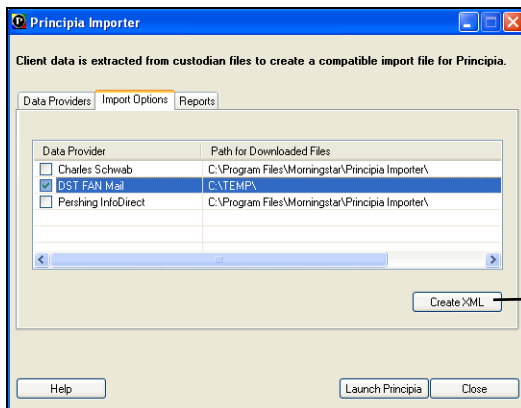
Select a **Data Provider** from the available options.

- From the Browse For Folder, navigate to the location on your computer where the downloaded data files are stored, then click **OK**.



Click the **OK** button to select the location of the downloaded files.

- Select the **check box** next to the custodian's name to assign the data provider, then click the **Create XML** button to start the process of extracting data from the file.



Click this **button** to extract the data files into XML format.

- A message box will appear indicating the dbemstar.xml file was successfully created. Click **OK** to close the dialog box.

The dbemstar.xml file is extracted to the Principia Importer folder in the Program Files/Morningstar directory.

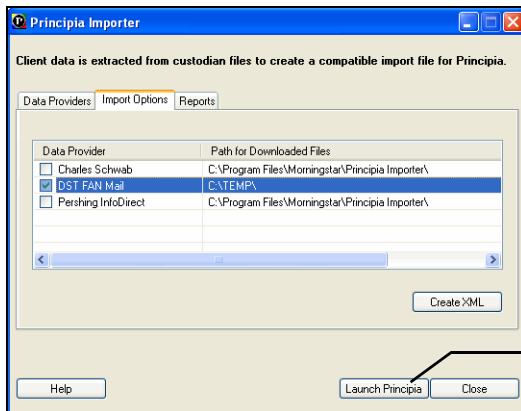
- To view a log file about the extracted data, click the **Reports** tab, then click the data provider **name** in the Current Reports or Previous Reports grid.

After you have downloaded the client and portfolio data from your the custodian, you will need to import the information into the Advisor Palette.

Importing into Principia

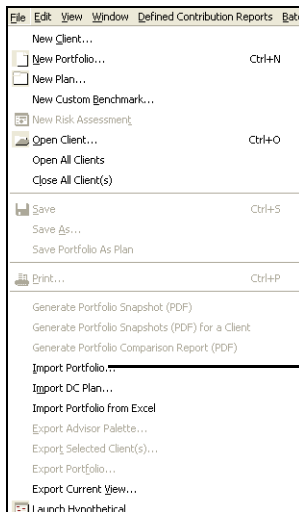
To import the portfolio information into Principia, do the following:

- From the Principia Importer dialog box, click the Launch Principia button.



Click this button to open the Principia program.

- Click the **Portfolio Mode** icon.
- From the File menu, click **Import Portfolio**.



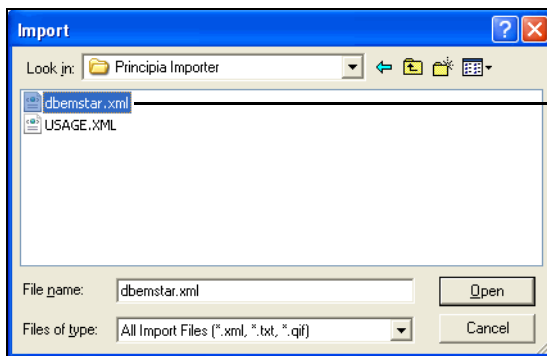
Click this option.

- Use the **Look in** drop-down and navigate to the Principia Importer folder in the Program Files/ Morningstar directory, then click the **Open** button.



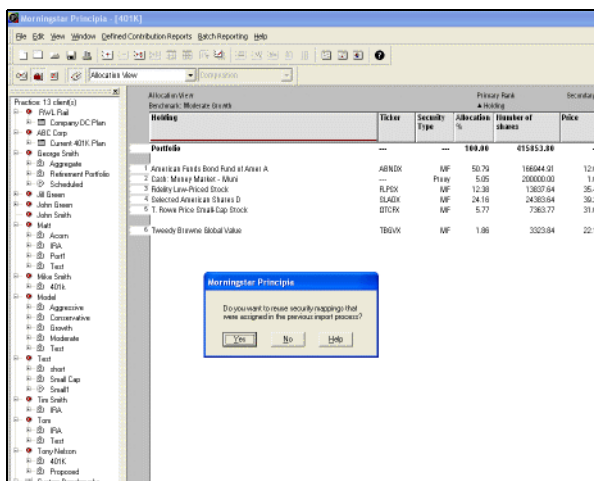
Use this drop-down to find the Principia Importer folder.

- Double-click the **dbemstar.xml** file.



Select this file.

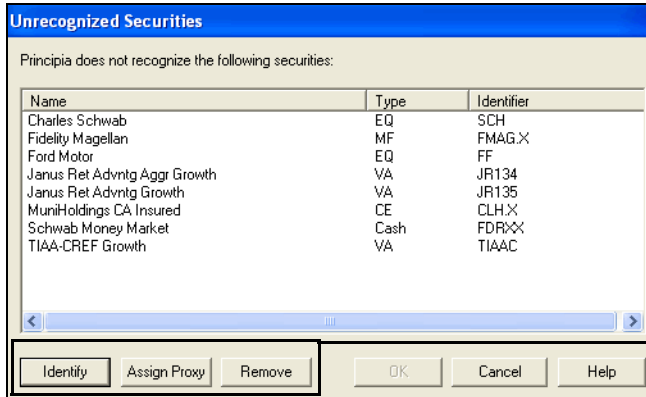
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Click **Yes** if you wish to save security mappings for the next time you use the Import feature.

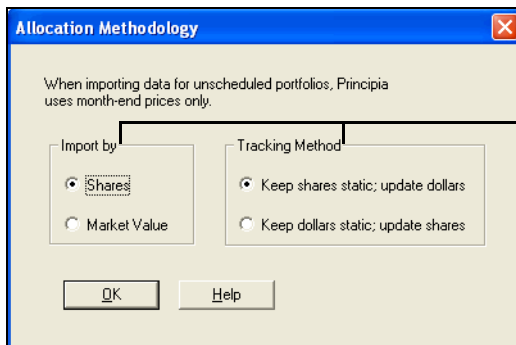
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From the Import by and Tracking Method sections, select an option for allocating portfolios.