Schwab OpenView Gateway Set-up Instructions

Overview

Schwab OpenView Gateway is used by financial advisors who custody assets with Schwab to send generated trade files to Schwab Advisor Center automatically. This third-party integration eliminates the need to download trade files and upload them manually.

This document contains step-by-step instructions for the initial set-up of Schwab OpenView Gateway. Please contact your Customer Success Manager with any questions.

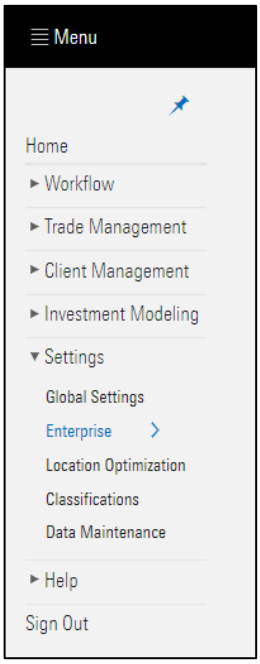
This document includes the following sections:

- Setting up Schwab OpenView Gateway
- Submitting a Direct Trade

Setting up Schwab OpenView Gateway

Before you can submit direct trades, you will need to configure your settings in TRX and enable the Schwab integration. To enroll in Schwab OpenView Gateway, complete these steps:

1. From the **Menu**, select **Settings** > **Enterprise**.



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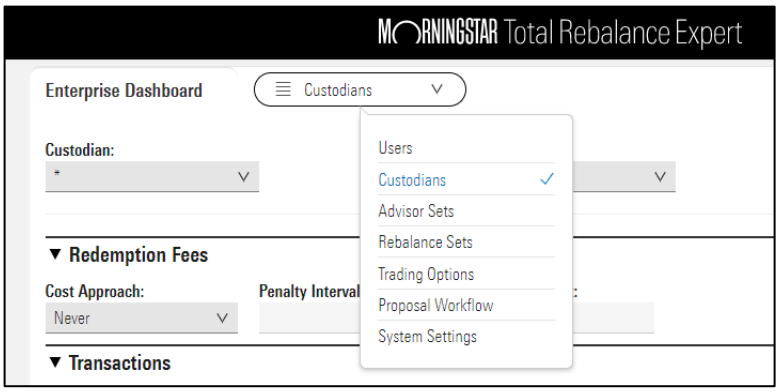
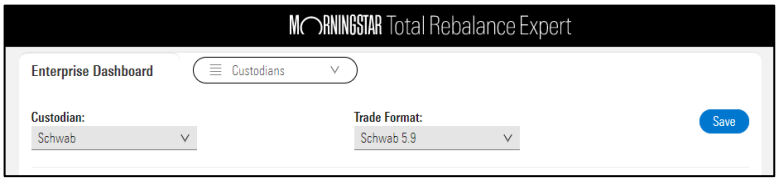
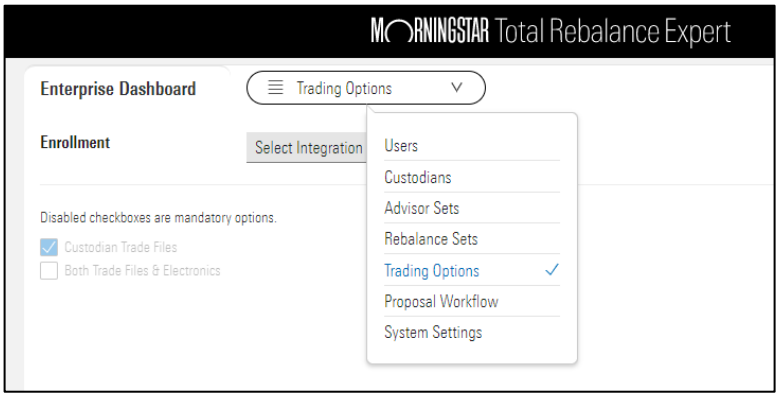
2. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Custodians.**



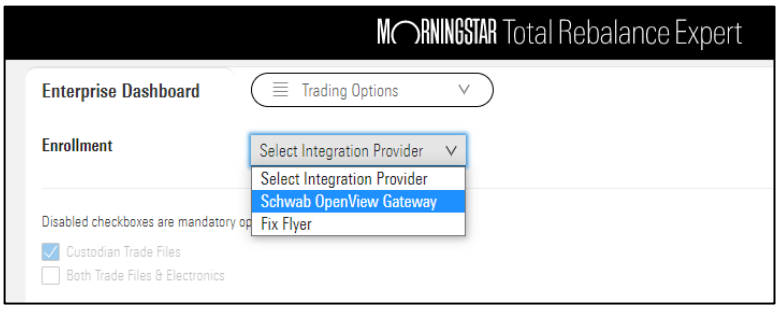
3. Confirm the **Custodian** is set to **Schwab** and the **Trade Format** is set to **Schwab 5.9**. Click **Save**.
   - ► *Note: This step is typically completed on your behalf as part of the onboarding process, but it is important to be aware of for potential troubleshooting issues in the future.*



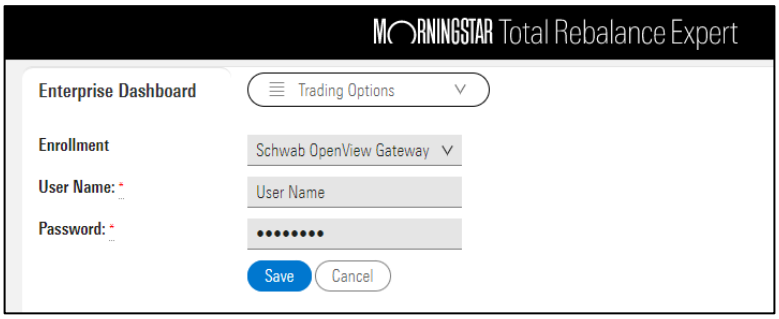
4. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Trading Options**.



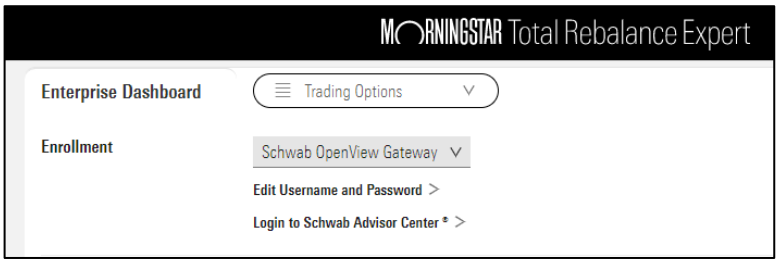
5. From the **Enrollment** drop-down menu, select **Schwab OpenView Gateway**.



6. Enter your **Schwab Advisor Center User Name** and **Password**. Click **Save**.
   - *Note: For users with a security token code, do NOT include your code in this field.*



7. Once complete, select **Login to Schwab Advisor Center**.



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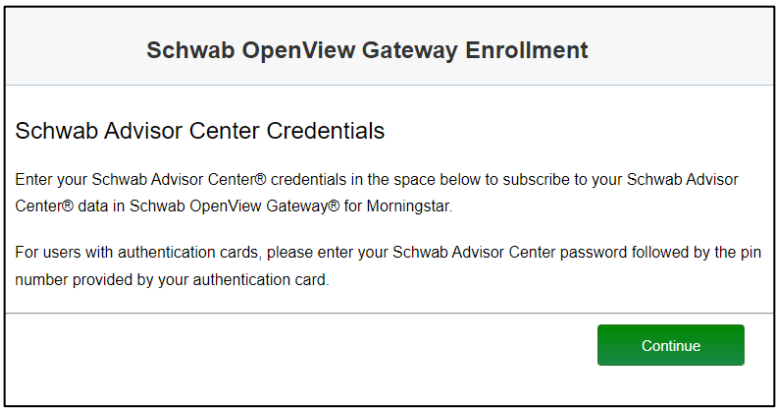
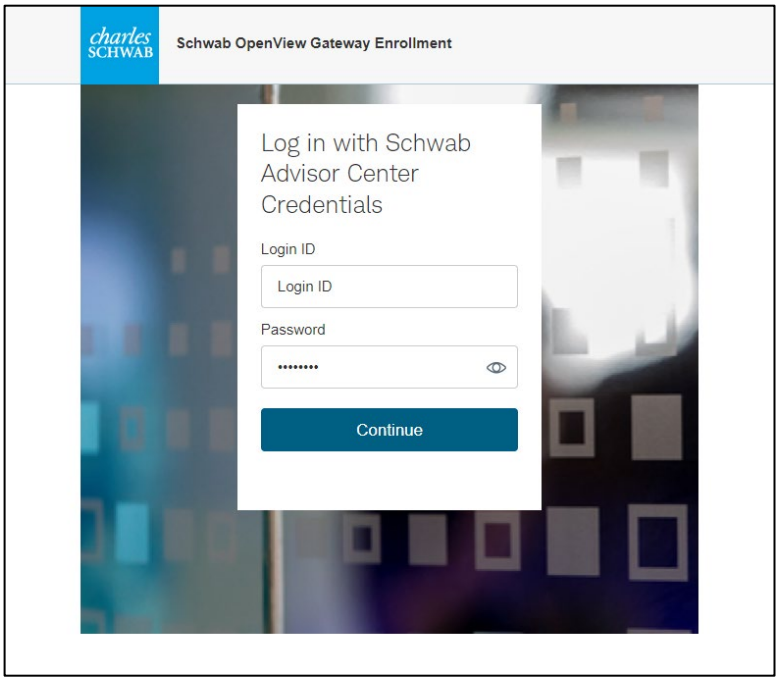
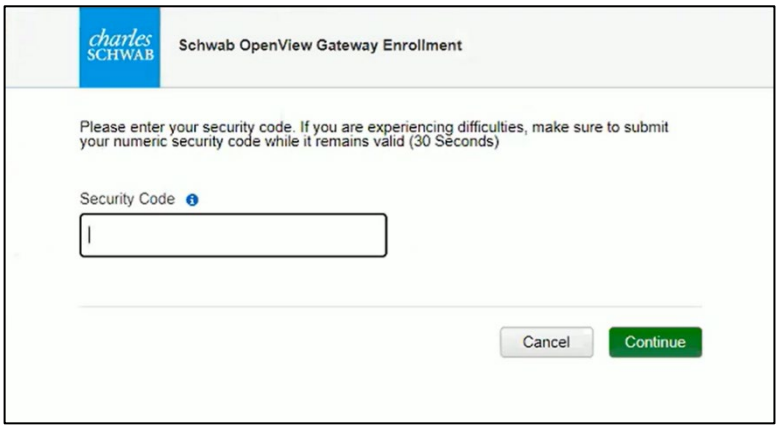
8. You will be redirected to an enrollment screen. Click **Continue**.



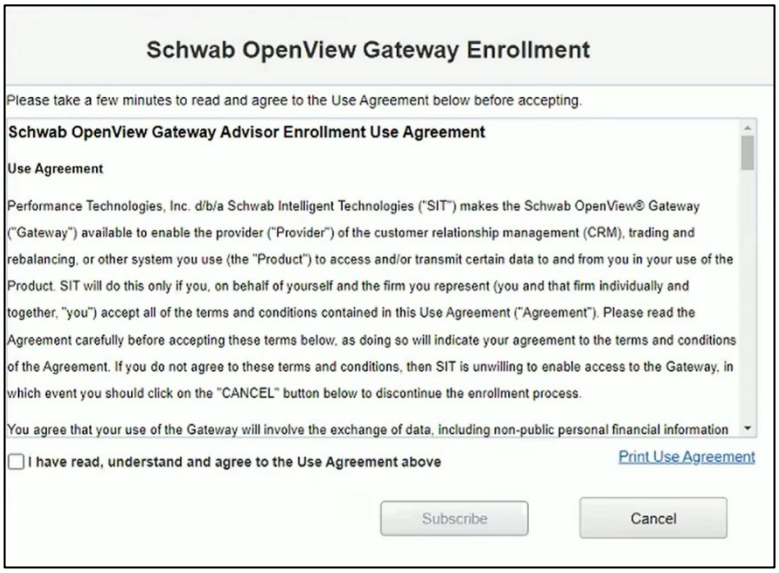
9. Enter your **credentials** and agree to Schwab Advisor Center's **terms and conditions**.



10. For users with a security token, please enter the **code** provided by your security token. Click **Continue**.



11. Read and agree to the **Use Agreement**. Check the acknowledgement and click **Subscribe**.



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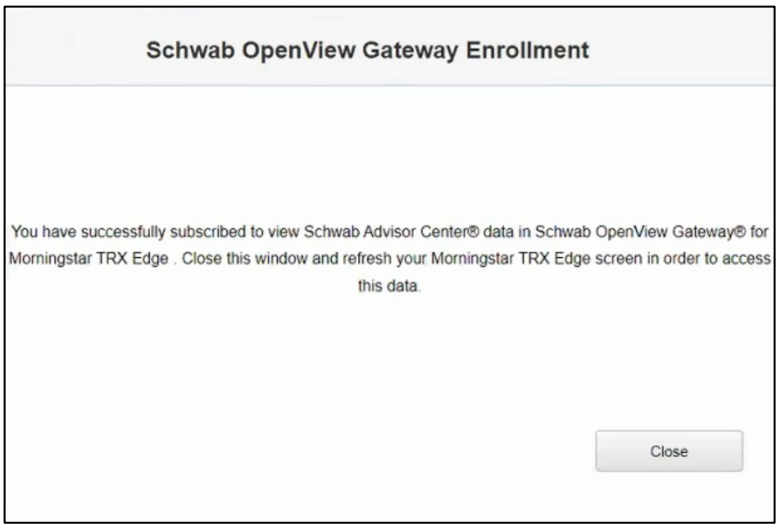
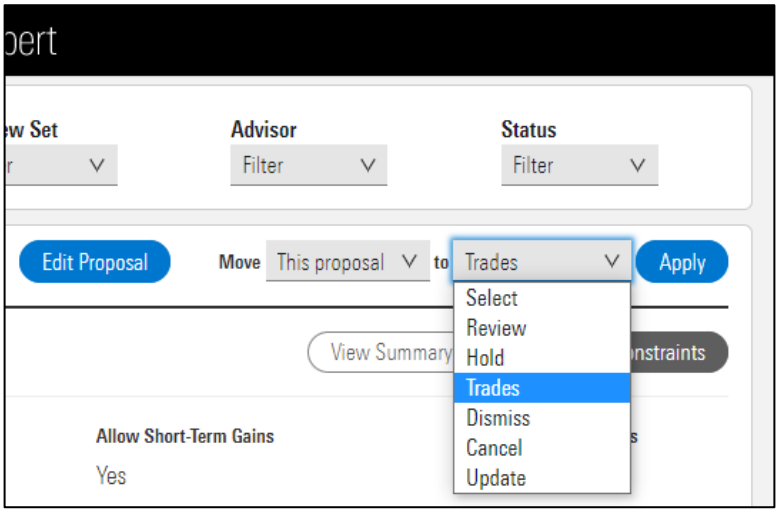
12. Click **Close**.



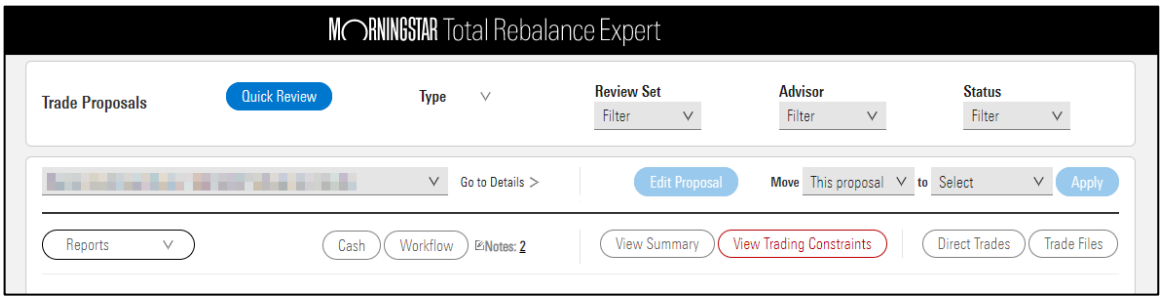
Submitting a Direct Trade

Once you are enrolled in Schwab OpenView Gateway, you will be able to automatically upload trade orders to Schwab Advisor Center after reviewing the trade proposal for each client. To upload Trade Orders to Schwab Advisor Center automatically, complete these steps:

1. Generate and review a trade proposal for a client with a Schwab account.
2. Complete the review workflow by moving the proposal to **Trades** status.



3. Click **Direct Trades**.



4. Click **Submit**.

5. Click **Launch Advisor Center**.

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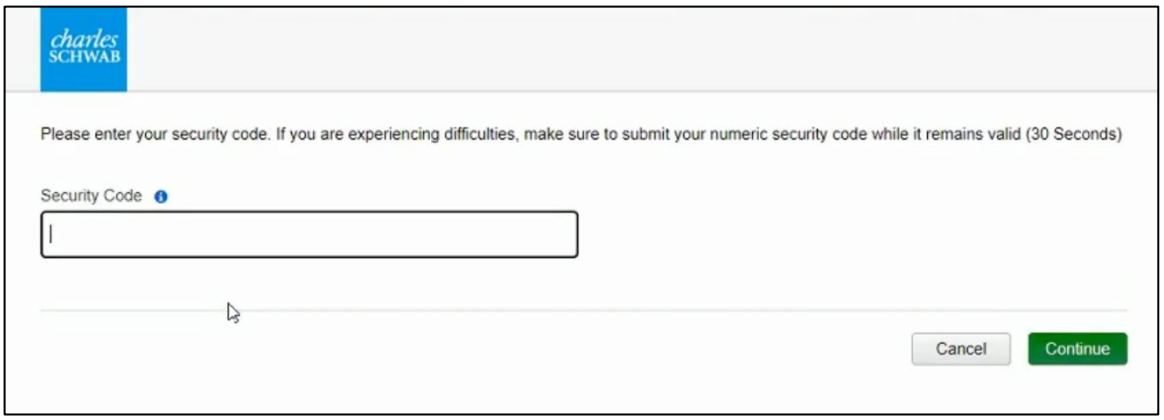
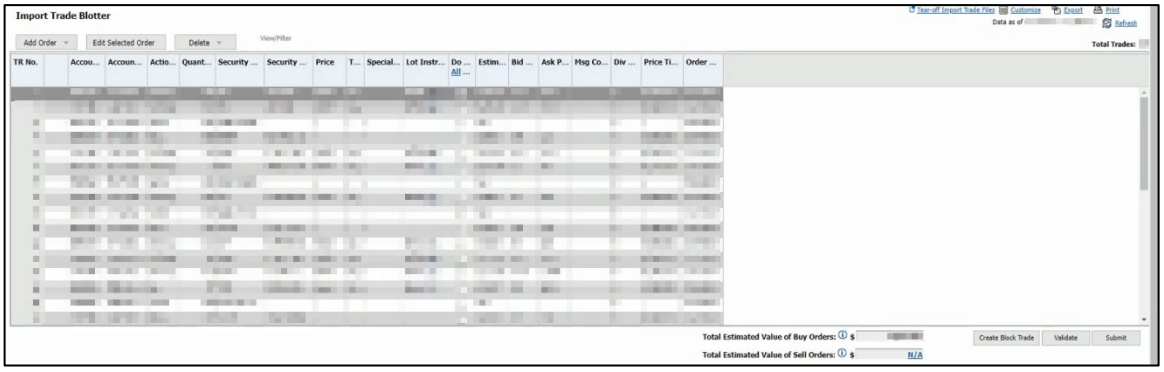
6. Enter your **security code**, then click **Continue**.



7. The trades will be sent to the **Import Trade Blotter** in Schwab Advisor Center. Please continue processing the trades as per your typical approach.
   - *Note: The trades are not automatically executed once imported to Schwab! Please continue to process the trades within Schwab Advisor Center to complete the task.*



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