

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.

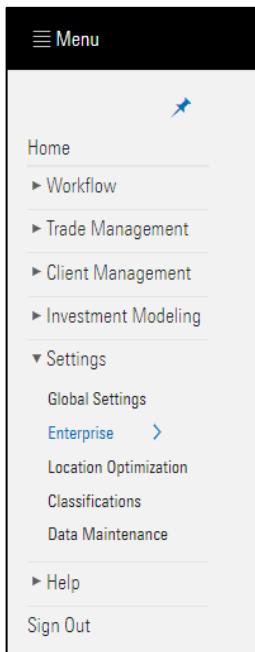
This document includes the following sections:

- ▶ [Setting up Schwab OpenView Gateway](#)
- ▶ [Submitting a Direct Trade](#)

Setting up Schwab OpenView Gateway

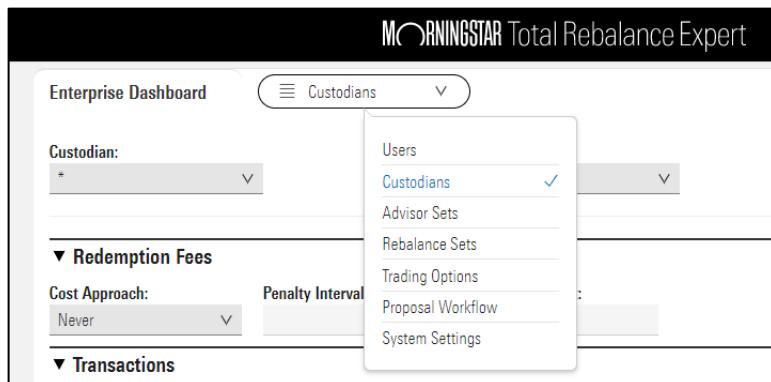
Before you can submit direct trades, you will need to configure your settings in TRX and enable the Schwab integration. To enroll in Schwab OpenView Gateway, complete these steps:

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



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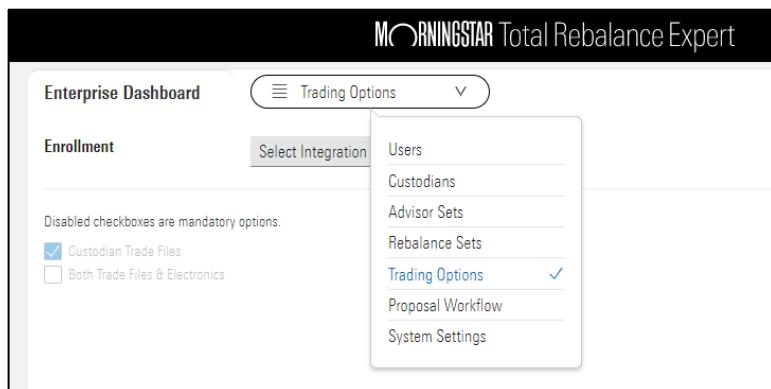
2. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Custodians**.



3. Confirm the **Custodian** is set to **Schwab** and the **Trade Format** is set to **Schwab 5.9**. Click **Save**.

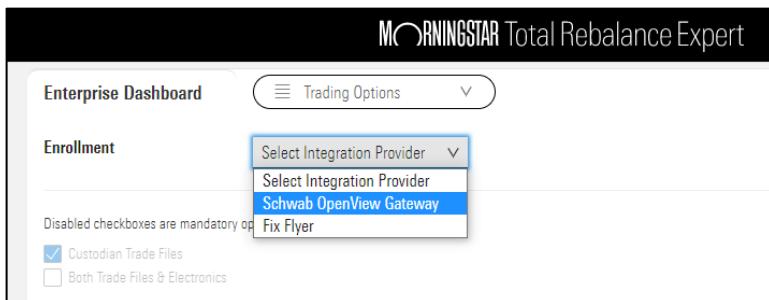


4. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Trading Options**.

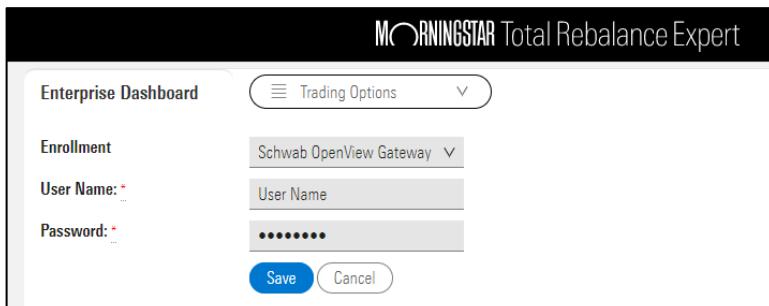


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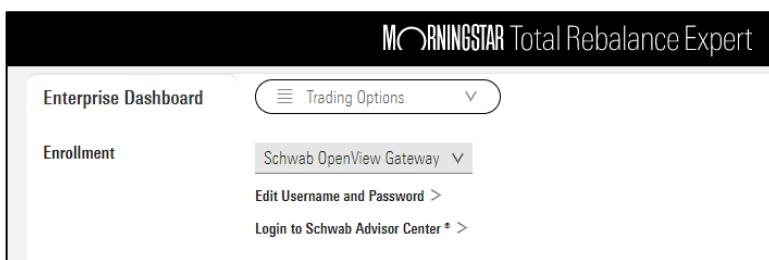
5. From the **Enrollment** drop-down menu, select **Schwab OpenView Gateway**.



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**.

Schwab OpenView Gateway Enrollment

Schwab Advisor Center Credentials

Enter your Schwab Advisor Center® credentials in the space below to subscribe to your Schwab Advisor Center® data in Schwab OpenView Gateway® for Morningstar.

For users with authentication cards, please enter your Schwab Advisor Center password followed by the pin number provided by your authentication card.

Continue

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

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Log in with Schwab Advisor Center Credentials

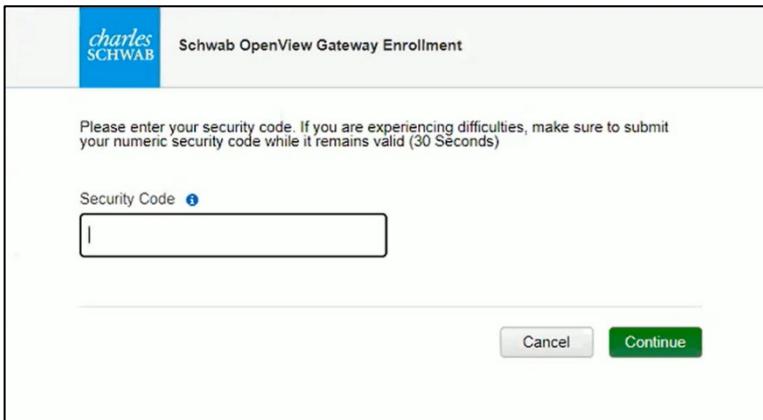
Login ID

Password
 

Continue

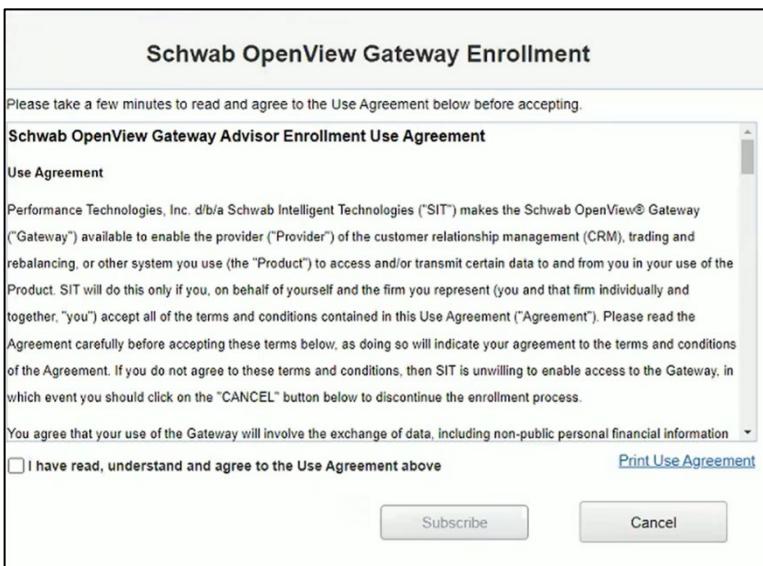
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10. For users with a security token, please enter the **code** provided by your security token. Click **Continue**.



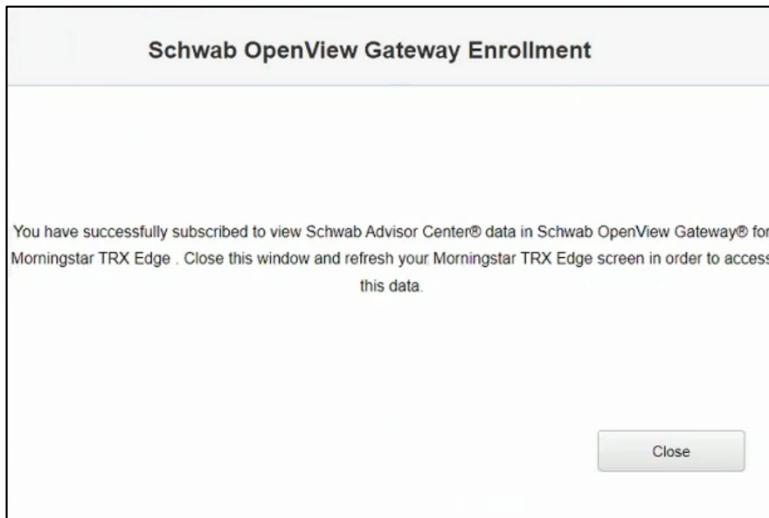
The screenshot shows a web page titled "Schwab OpenView Gateway Enrollment". At the top left is the Charles Schwab logo. The main content area contains a message: "Please enter your security code. If you are experiencing difficulties, make sure to submit your numeric security code while it remains valid (30 Seconds)". Below this is a "Security Code" input field with a placeholder "1" and a question mark icon. At the bottom are "Cancel" and "Continue" buttons.

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



The screenshot shows a web page titled "Schwab OpenView Gateway Enrollment". It displays the "Schwab OpenView Advisor Enrollment Use Agreement". The page includes a "Use Agreement" section with detailed terms and conditions. Below the text is a note: "You agree that your use of the Gateway will involve the exchange of data, including non-public personal financial information". There is a checkbox labeled "I have read, understand and agree to the Use Agreement above" and a "Print Use Agreement" link. At the bottom are "Subscribe" and "Cancel" buttons.

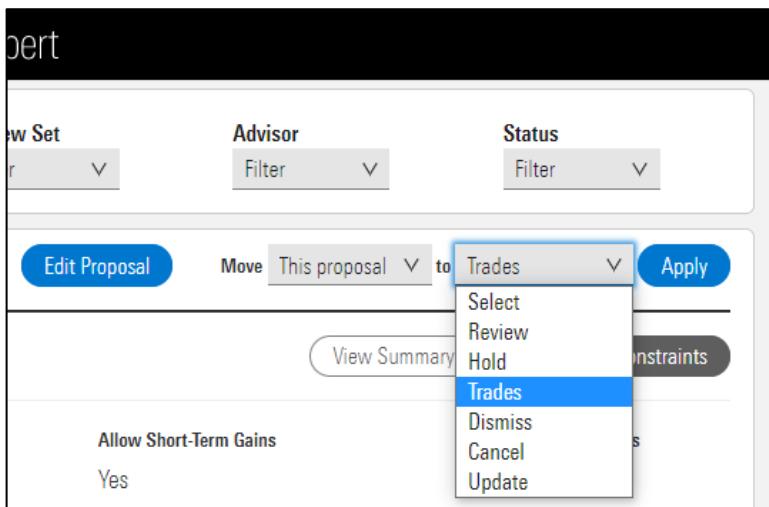
12. Click **Close**.



Submitting a Direct Trade

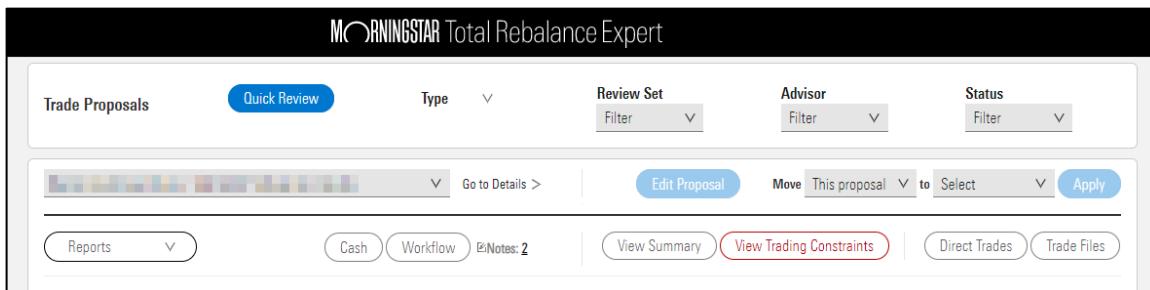
Once you are enrolled in Schwab OpenView Gateway, you will be able to automatically upload trade orders to Schwab Advisor Center after reviewing the trade proposal for each client. To upload Trade Orders to Schwab Advisor Center automatically, complete these steps:

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.



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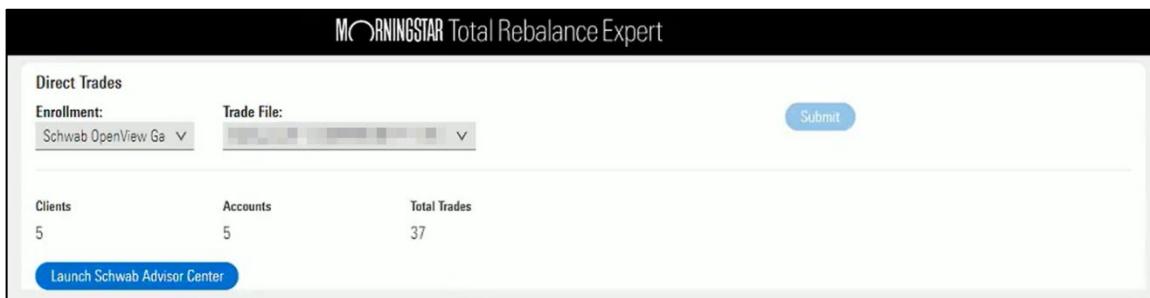
3. Click **Direct Trades**.



4. Click **Submit**.

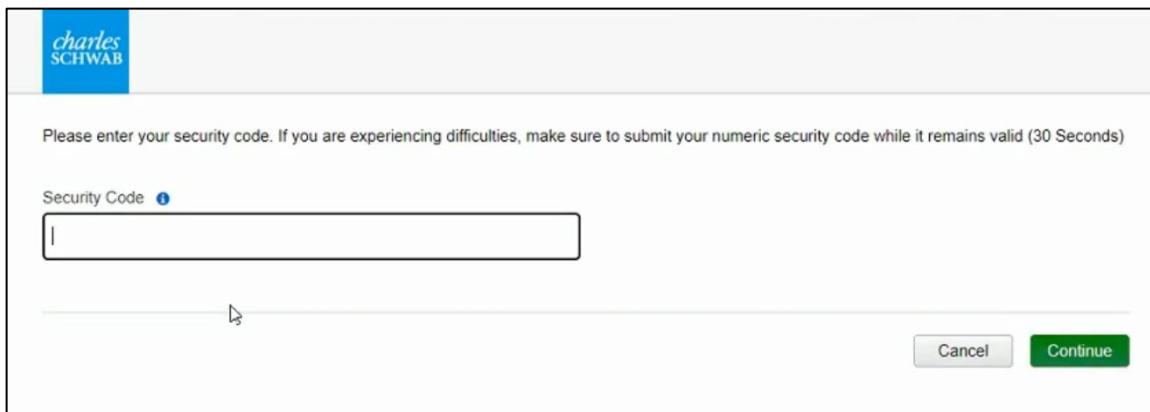


5. Click **Launch Advisor Center**.



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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.*

