

# Schwab OpenView Gateway Set-up Instructions

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## 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.

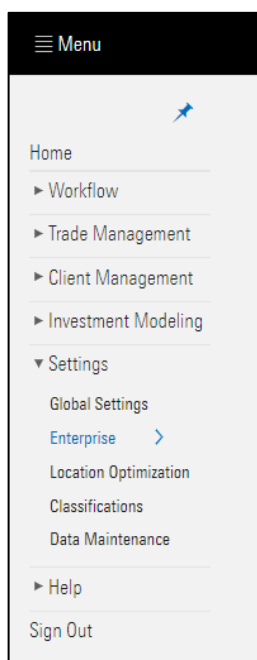
This document includes the following sections:

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

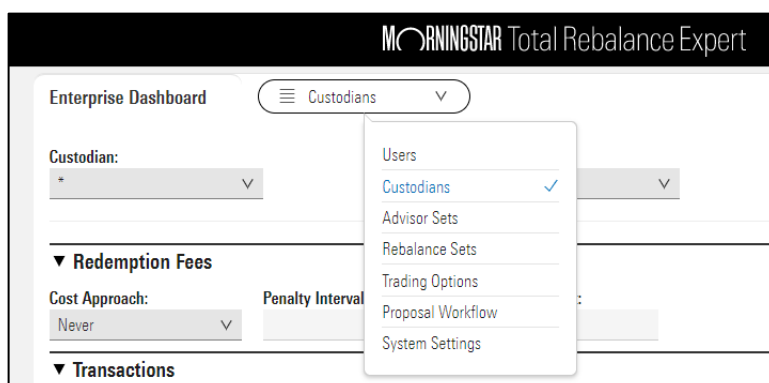
## Setting up Schwab OpenView Gateway

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**.



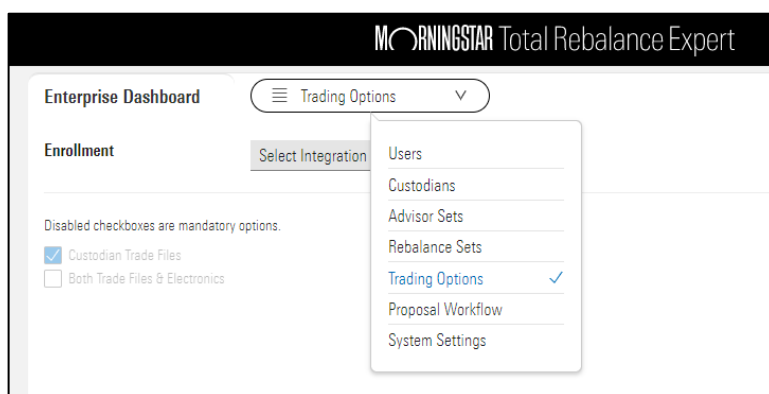
2. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Custodians**.



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.*



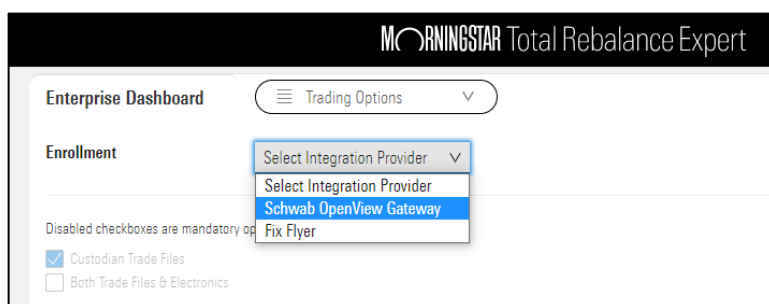
4. Hover the cursor over the drop-down menu next to **Enterprise Dashboard** and select **Trading Options**.



## Schwab OpenView Gateway Set-up Instructions

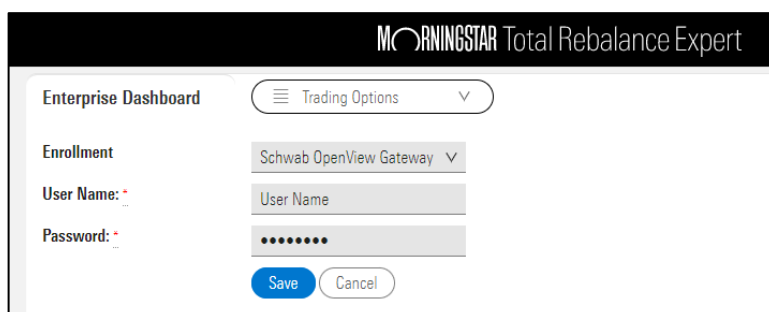
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5. From the **Enrollment** drop-down menu, select **Schwab OpenView Gateway**.



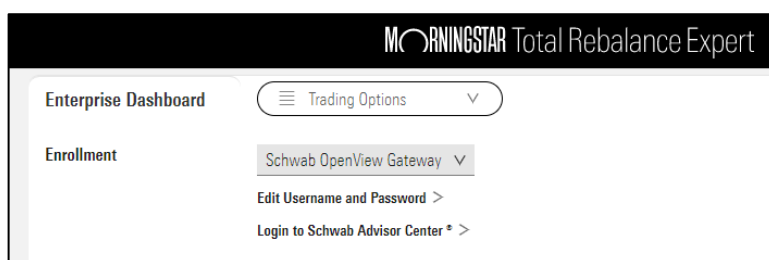
The screenshot shows the 'Morningstar Total Rebalance Expert' interface. Under the 'Enterprise Dashboard' tab, the 'Enrollment' dropdown menu is open, displaying four options: 'Select Integration Provider', 'Select Integration Provider', 'Schwab OpenView Gateway' (highlighted in blue), and 'Fix Flyer'. Below the dropdown, there are checkboxes for 'Custodian Trade Files' (checked) and 'Both Trade Files & Electronics' (unchecked). A note states: 'Disabled checkboxes are mandatory on'.

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.*



The screenshot shows the 'Morningstar Total Rebalance Expert' interface. Under the 'Enterprise Dashboard' tab, the 'Enrollment' dropdown menu is set to 'Schwab OpenView Gateway'. Below this, there are input fields for 'User Name' and 'Password'. The 'User Name' field is labeled 'User Name: \*' and the 'Password' field is labeled 'Password: \*'. There are 'Save' and 'Cancel' buttons at the bottom.

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



The screenshot shows the 'Morningstar Total Rebalance Expert' interface. Under the 'Enterprise Dashboard' tab, the 'Enrollment' dropdown menu is set to 'Schwab OpenView Gateway'. Below this, there are links for 'Edit Username and Password >' and 'Login to Schwab Advisor Center \* >'.

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**.

 Schwab OpenView Gateway Enrollment

### Log in with Schwab Advisor Center Credentials


Login ID

Password

Continue

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



Schwab OpenView Gateway Enrollment

Please enter your security code. If you are experiencing difficulties, make sure to submit your numeric security code while it remains valid (30 Seconds)

Security Code ⓘ

CancelContinue

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

Schwab OpenView Gateway Enrollment

Please take a few minutes to read and agree to the Use Agreement below before accepting.

Schwab OpenView Gateway Advisor Enrollment Use Agreement

Use Agreement

Performance Technologies, Inc. d/b/a Schwab Intelligent Technologies ("SIT") makes the Schwab OpenView® Gateway ("Gateway") available to enable the provider ("Provider") of the customer relationship management (CRM), trading and rebalancing, or other system you use (the "Product") to access and/or transmit certain data to and from you in your use of the Product. SIT will do this only if you, on behalf of yourself and the firm you represent (you and that firm individually and together, "you") accept all of the terms and conditions contained in this Use Agreement ("Agreement"). Please read the Agreement carefully before accepting these terms below, as doing so will indicate your agreement to the terms and conditions of the Agreement. If you do not agree to these terms and conditions, then SIT is unwilling to enable access to the Gateway, in which event you should click on the "CANCEL" button below to discontinue the enrollment process.

You agree that your use of the Gateway will involve the exchange of data, including non-public personal financial information

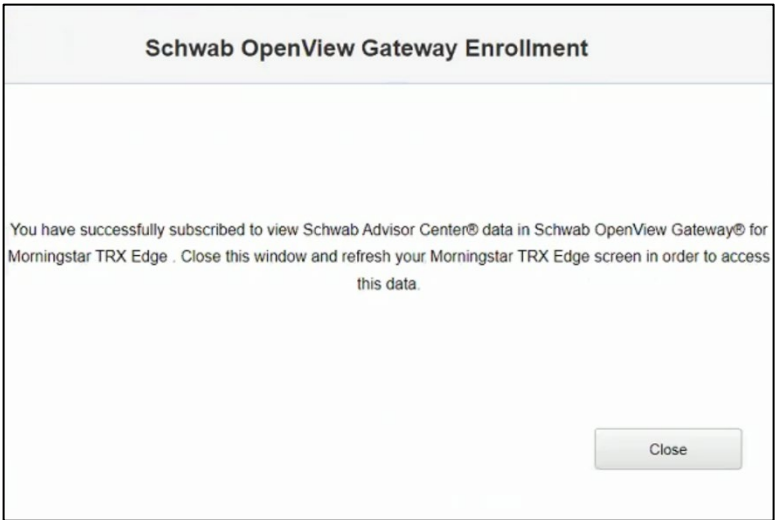
☐ I have read, understand and agree to the Use Agreement above

[Print Use Agreement](#)

Subscribe

Cancel

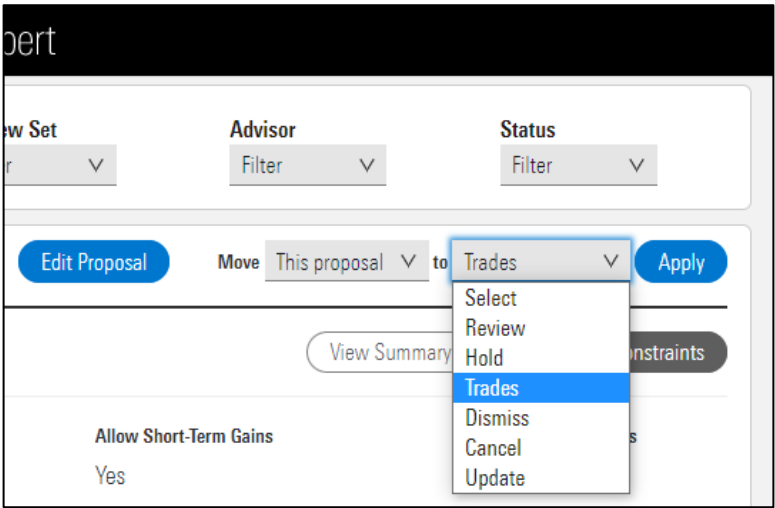
12. Click **Close**.



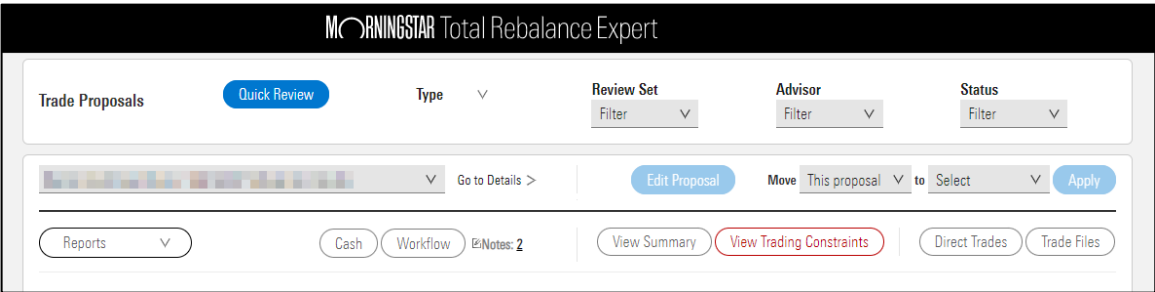
Submitting a Direct Trade

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:

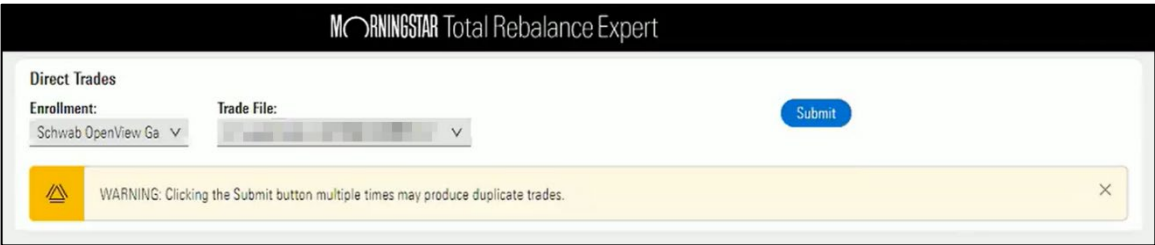
- 1. Generate and review a trade proposal for a client with a Schwab account.
- 2. Complete the review workflow by moving the proposal to **Trades** status.



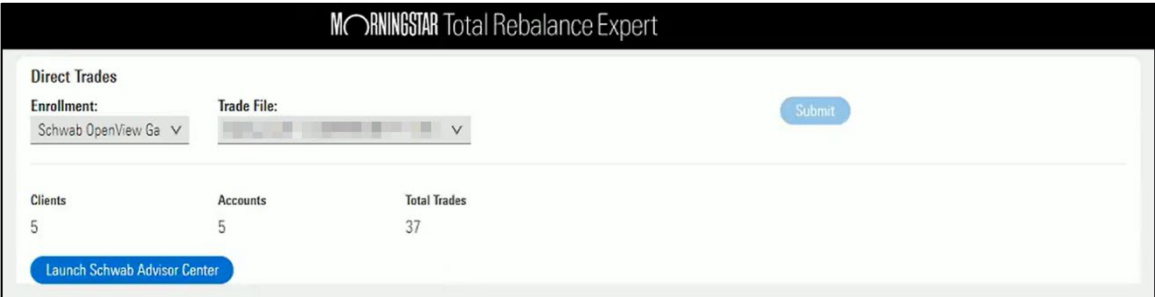
3. Click **Direct Trades**.



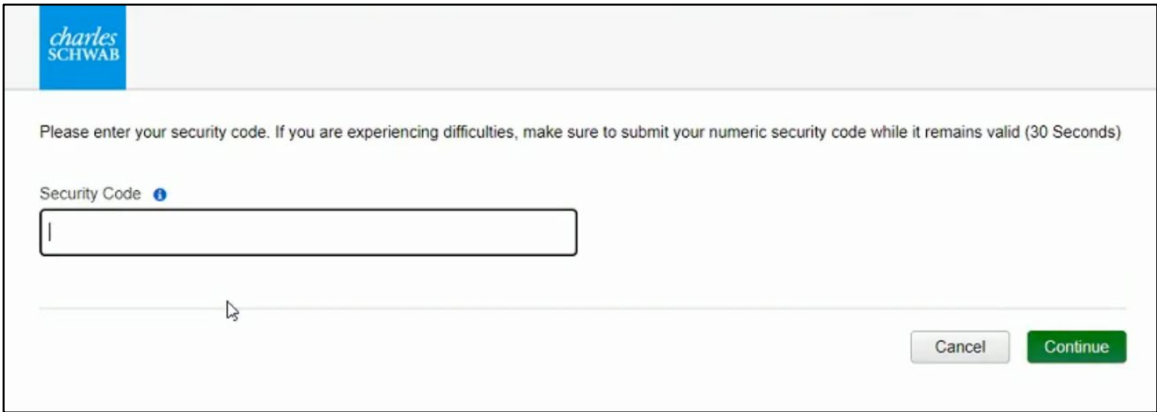
4. Click **Submit**.



5. Click **Launch Advisor Center**.



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



The screenshot shows the Charles Schwab security code entry interface. At the top left is the Charles Schwab logo. Below it, a message reads: "Please enter your security code. If you are experiencing difficulties, make sure to submit your numeric security code while it remains valid (30 Seconds)". A label "Security Code" with an information icon is positioned above a text input field. A mouse cursor is hovering over the input field. At the bottom right, there are two buttons: "Cancel" and "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.*



The screenshot displays the "Import Trade Blotter" window in Schwab Advisor Center. It features a table with columns for trade details. The table is currently empty, showing only the header row. The header row includes columns for TR No., Account, Action, Quantity, Security, Price, T, Special, Lot Instr, Do, Estim, Bid, Ask P, Hsg Co, Dlr, Price TL, and Order. Below the table, there are summary fields for "Total Estimated Value of Buy Orders" and "Total Estimated Value of Sell Orders", both showing \$0.00. At the bottom right, there are buttons for "Create Bulk Trade", "Validate", and "Submit".

TR No.	Account	Action	Quantity	Security	Price	T	Special	Lot Instr	Do	Estim	Bid	Ask P	Hsg Co	Dlr	Price TL	Order
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