Importing Client Transaction Data from TD AMERITRADE VEO

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This document explains how to import client transaction data from TD AMERITRADE VEO.

Overview

Before importing client data for the first time, you need to do the following:

- Export transactions, security information and account information from VEO
- Decide whether to use Morningstar's price for securities, or TD AMERITRADE's
- Initialize the positions for your clients' holdings from VEO, and
- Set up and apply a Portfolio Accounting System setting for imported data.

What is the process for importing transactions?

Going forward, you will need only to export client data, then import it into Office Edition. You will not need to create a Portfolio Accounting System setting each time you want to import, and you will not need to initialize the positions after the first import.

The purpose of initializing positions in Office Edition is to establish a baseline of holdings for your clients before you import data. That way, if the initial import should call for a client to sell out of a security, it will not come into Office Edition as a negative holding.

Why do I need to initialize positions?

For instance, say a client owns 100 shares of Microsoft on June 1st, and sells all 100 shares on June 2nd, for a transaction of -100 shares. If you simply imported that sell data from June 2nd, without first initializing the ownership of the 100 shares on June 1st, in Office Edition it would look like the client had a position of -100 shares of Microsoft, when really he has no shares.

It is strongly recommended that you export from your custodian on a daily basis, either manually or through your custodian's automated export tools. This ensures that fixed income prices or other prices not supplied by Morningstar will be imported, that all transactions are captured, and that reconciliation is easier and less time-consuming.

How often should I be exporting and importing data?

Exporting Data from TD AMERITRADE VEO

This section explains what data is needed to export from TD AMERITRADE VEO. Please contact TD AMERITRADE at 800-431-3500 if you need assistance exporting from their system.

Overview

You must export data from VEO in TD Waterhouse format. You will need the following files:

File types needed

File Name	File Type
TDYYMMDD.TRD	Client/Account
TDYYMMDD.POS	Position
TDYYMMDD.PRI	Price
TDYYMMDD.SEC	Security
TDYYMMDD.TRN	Transaction

☞ YY = year; MM = month; DD = day.

If you are using PortfolioCenter, your files will be in the following format:

File Name	File Type
ADYYMMDD.BCC	Client/Account
ADYYMMDD.POS	Position
ADYYMMDD.BAP	Price
ADYYMMDD.BAC	Security
ADYYMMDD.BAK	Transaction

☞ YY = year; MM = month; DD = day.

To download files from TD AMERITRADE VEO, do the following:

1. Log in to TD AMERITRADE VEO.
2. From the menu, select **Tools...File Downloads...File Downloads**.

Select Tools...File Downloads...File Downloads
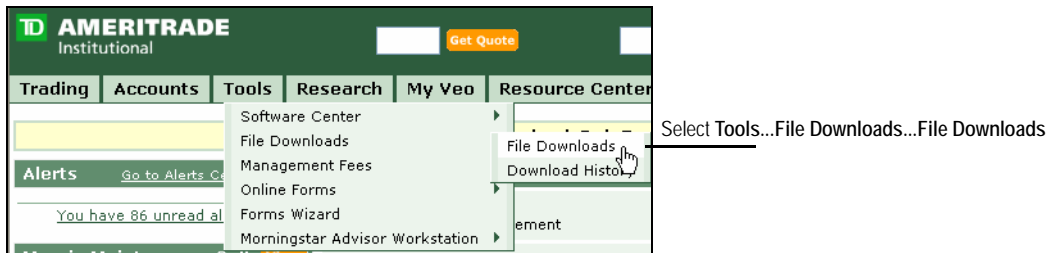
3. The File Downloads page opens. Under **Date Range**, in the **From** and **to** boxes, enter **start** and **end dates**.

Select the Date Range

☞ It is recommended that you go as far back as possible to get the most data.

4. If there is more than one advisor on your account, click the **Advisor** drop-down and select the advisor code whose files you want to download. All Advisors is selected by default.

Select the Advisor

5. From the **File Type** drop-down, select **TD Waterhouse**.
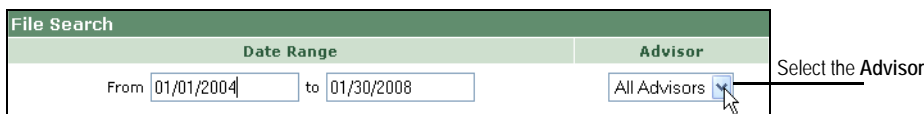
From the File Type drop-down, select TD Waterhouse
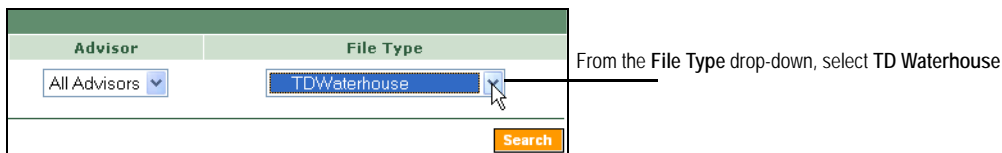
6. Click **Search**. Files appear in the File List area.
7. To select all files, click the **checked box** icon at the top of the file list.

To select all files, click the checked box icon

8. Click **Download selected files**.
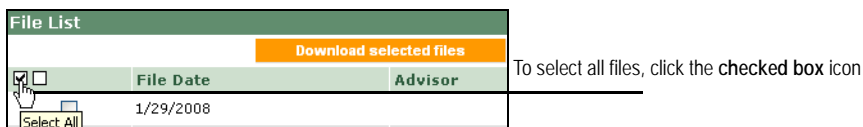
Click **Download selected files**

9. The Browse for Folder dialog opens. Navigate to the folder where you want to save the files and click **OK**.

Select a destination folder and click **OK**.
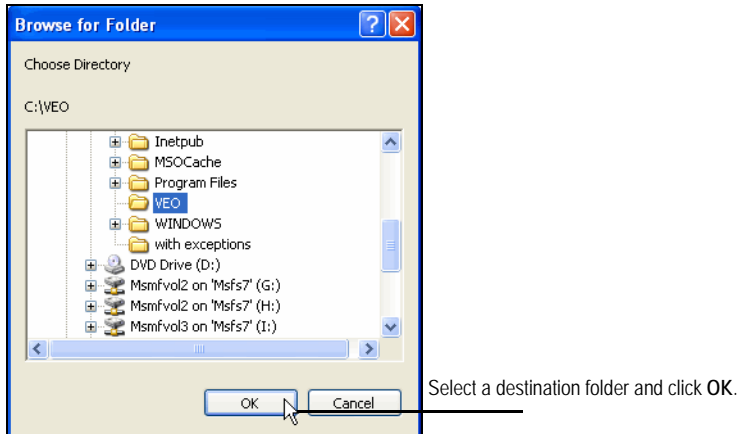
10. The File Download dialog appears, showing the status of the download. When the dialog closes, the download is complete.

TD AMERITRADE VEO exports files to your computer in .EXE format. Before importing into Office Edition, you must open these .EXE files in order to obtain the necessary file types. To get the properly formatted files, do the following:

Preparing TD AMERITRADE VEO files for importing

1. Open the folder you selected when you when you exported from VEO.
2. Select all the .EXE files and click **<ENTER>** or right-click and select **Open**.
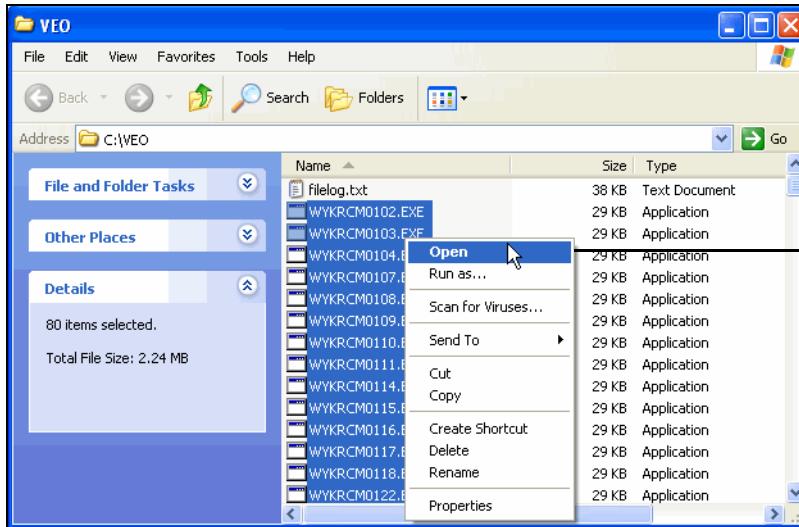
Select all .EXE files and click <ENTER> or right-click and select **Open**

☞ You do not need to open the filelog.txt file.

3. You might see a warning regarding the number of files you are opening. Click **OK**.
4. Several windows will open as the files are expanded. They should close automatically, but you might need to close these windows.

Before initializing in Office Edition, you must have a complete client/account file with the extension .TRD containing all your clients' names and addresses. TRD files are included in the standard file download from VEO, but these files might not contain all of your clients' names. If you initialize without a complete TRD file, account numbers will be used in the place of missing client names.

Obtaining a complete TRD file

To determine whether you have a complete client/account file, open the TRD file(s) from your download folder using Notepad. If you do not see all your clients' names listed, you need to request a complete TRD file from TD AMERITRADE customer service. Call 800-431-3500 and select option 3.

Using the Set Country List feature

This section explains how the process of security identification works during importing, and how to set default parameters to speed the import process.

Overview

When importing securities into Advisor Workstation Office Edition, the import process attempts to automatically map your imported securities to Morningstar-tracked securities, allowing you to take advantage of Morningstar's extensive research capabilities. A number of system rules are involved in the security-matching process. Some rules are configurable, and others are not.

How does Advisor Workstation Office Edition recognize a security from the import source?

Morningstar-tracked securities are stored in different security type universes (US Mutual Fund, US ETF, US Stock, International Stock, etc.). If security type information is provided by your import source, the process attempts to match that security to a Morningstar security in the corresponding universe.

For example, if your import source categorizes your imported security as an Exchange-Traded Fund, the process will look only in Morningstar's ETF universe for a potential match. If a security is found, the process creates the mapping. If no match is found, or if your import source does not provide a security type, the process will search across all Morningstar universes.

Morningstar tracks securities globally. In many cases, the same security is traded on many exchanges throughout the world. Therefore, you will occasionally receive a "Multiple Securities Found" message in the Securities blotter. When you encounter this error, you can double-click on the error icon, which launches a security selection screen. This screen displays the results of the security-matching search. Here, you can select the security that best fits your needs.

What if multiple matches are found for a security?

Due to your securities trading all over the world, receiving this "Multiple Securities Found" error over and over again can become a nuisance. Therefore, you can configure your security matching process by manually selecting the countries where your securities may be trading.

By default, all US users have "USA" included in their Country List. For most US users, this means that you'll simply select "USA" from this list. If you intend to import securities traded on exchanges outside the US, you can add other countries to your Country List.

To select the US on your Country List, do the following:

1. On the universal toolbar, click **Import**. The Import window opens.

2. From the **File** menu, select **Set Country List.** The Set Country List dialog box appears.

Select **File**...**Set Country List**

Selecting the US in your Country List
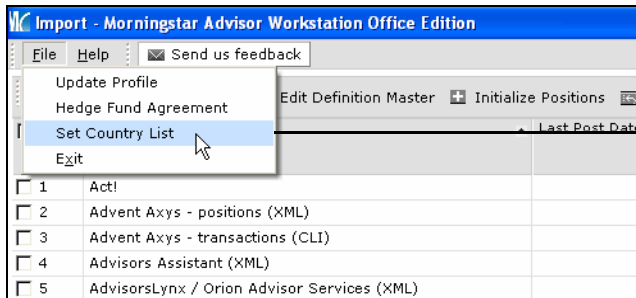
3. Check the **box** next to USA.

Check the **box** next to USA

4. Click **Save + Close** to save your changes.

To add other countries to your Country List, do the following:

1. On the universal toolbar, click **Import**. The Import window opens.

2. From the **File** menu, select **Set Country List.** The Set Country List dialog box appears.
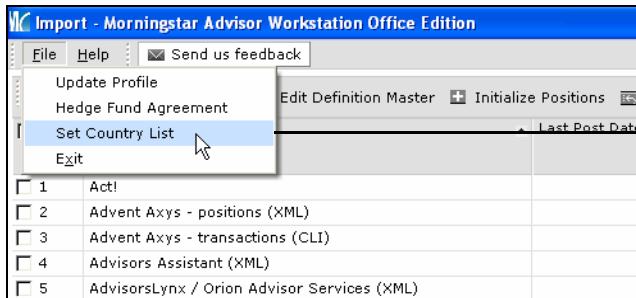
Select **File...Set Country List**

3. Click **Add/Remove Country**. The Select Countries dialog box appears.
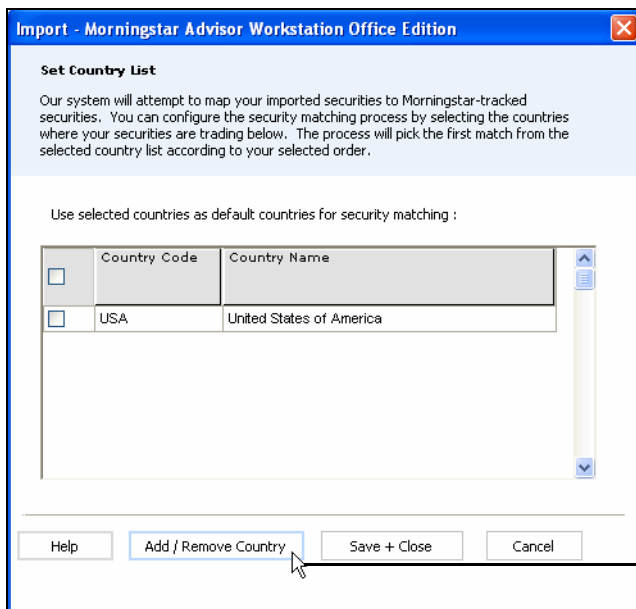
Click **Add/Remove Country**

4. Click to highlight the **name** of the country you want to add to the list, then click **Add**.

Click the **name** of the country
you want to add, then click **Add**

Use the up and down arrows
to reorder your list

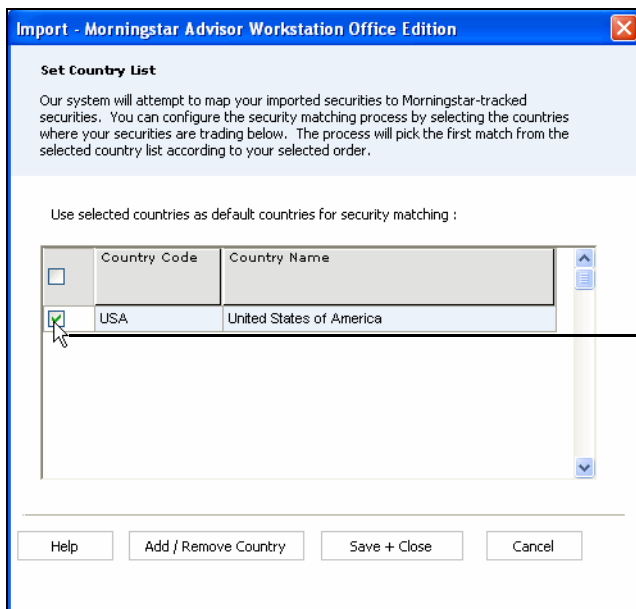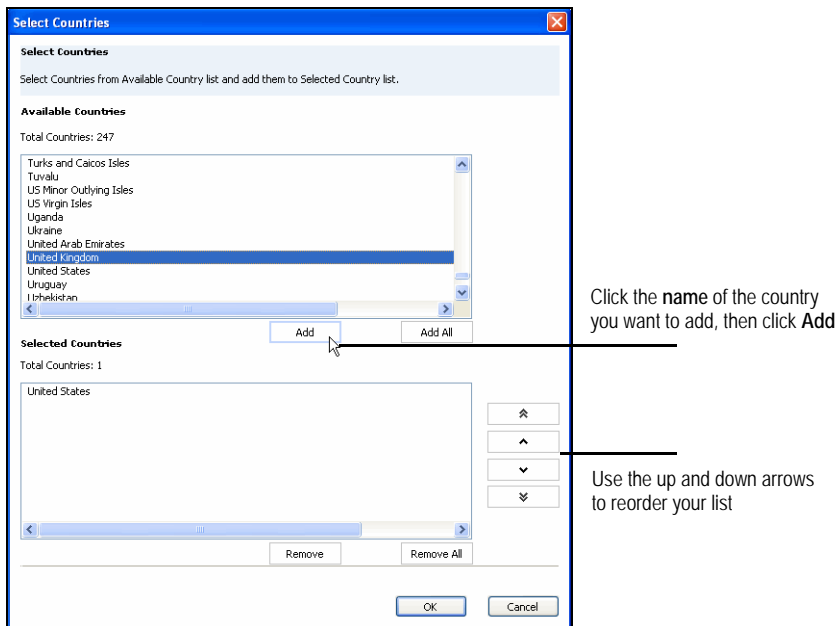☞ You can select multiple countries at once by holding down the <CTRL> key as you click on
country names.

5. To change the order of your country list, click the **up** and **down** arrows.

☞ The security matching process will pick the first match from the selected country list
according to your selected order. This creates a user-defined country filter and will cut down
on the number 'Multiple Securities Found' errors you receive.

6. Click **OK**. You are returned to the Set Country List dialog box.
7. Check the **box(es)** next to the name(s) of the country or countries you added.

Check the **box** next
to the country name
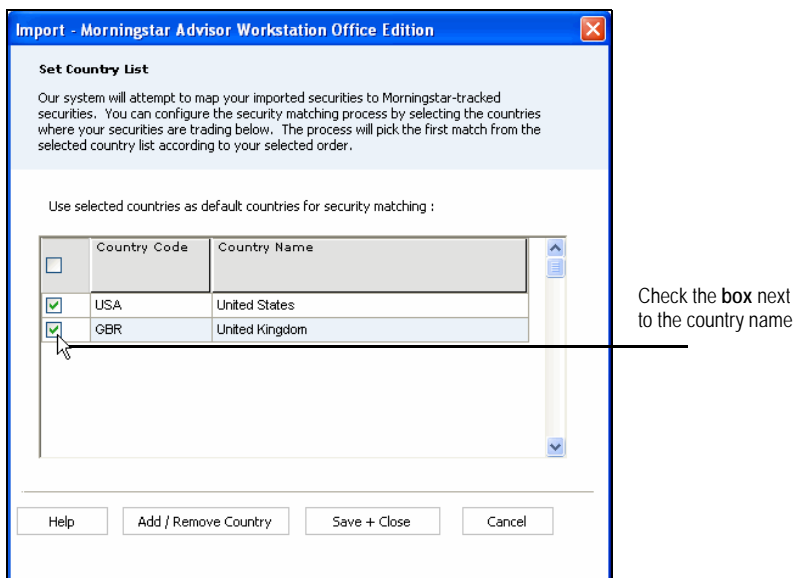
8. Click **Save+Close** to save your changes.

Selecting a Price Source for Imported Transactions

This section shows you how to choose whether to use Morningstar's or TD AMERITRADE's prices during both initialization and with all subsequent imports. You need to set this selection only once, but you must do it before you initialize a client's positions, or you will end up using the default setting (Use Morningstar Price).

☞ If Morningstar does not track a security, Office Edition will use the imported price. Morningstar does not track fixed-income securities, options, closely held securities, CDs or UITs.

Also, note that this is a global setting, and will apply to all new clients. If you plan to use Morningstar's prices, you can skip this section and go page 11.

Overview

To select a price source for imported transactions, do the following:

1. From the **Tools** menu, select **Settings**…**Set Default Account Settings**. A dialog box appears.

How to select a price source for imported transactions
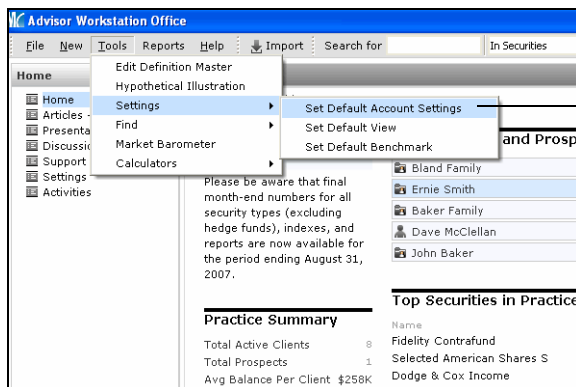
Select this option
to choose the price source
for securities when importing.

2. To use TD AMERITRADE's prices, uncheck the box marked **Use Morningstar Price**. If this box remains checked, the Morningstar price for securities will be used when importing client positions.
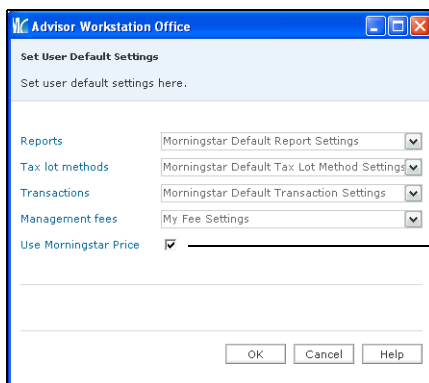
Uncheck this box
to use TD AMERITRADE's
price for securities
when importing.

3. Click **OK** to save the setting.

Initializing a Client's Positions in Office Edition

If you are importing for the first time, you most likely need to initialize your data. The only time you do not initialize is when you have the complete history of your firm saved in a format (delimited) that can be imported into Advisor Workstation.

Overview

Unless you have just started your practice, though, you will begin with the positions, transactions, accounts, and prices as of a recent date. Additionally, initialization automatically creates a user-defined security for cash, to handle the transactions of buying and selling that take place as a result of the import process.

> ☞ Note: Initialization is done only once. This process establishes a position against which the transactions will be able to post. This position will be the ending market value as of the initialization date.

After you initialize, your data will appear on a series of import blotters showing you the accounts, positions, transactions, prices, and securities for your clients. You will need to review the data on the blotters for errors before posting to your practice.

Blotters are accounting spreadsheets where information is listed for your confirmation before importing. When viewing the blotters, you can search for and correct errors before posting the data to your practice. Office Edition has the following six import blotters:

What are blotters?

- Accounts
- Positions
- Transactions
- Prices
- Securities, and
- Reconciliation.

During initialization, you need to review only the Transactions and Securities blotters for specific items. These are discussed below.

When the import blotters first appear, and when you toggle from one blotter to another, it is important to wait until the blotters have completely loaded before clicking in them. When the status bar at the bottom of the screen disappears and the toolbar icons are no longer grayed out, the blotter is loaded.

Navigating and saving in the blotters

After making changes to a blotter, be sure to save your work by clicking the **Save** icon at the top of the blotter window. If you do not save your work in one blotter and you navigate to another blotter, your changes will be lost.

To initialize positions, do the following:

1. From the toolbar at the top of the Office Edition window, click **Import**. The Import window appears.
2. Check the **box** next to TD Waterhouse.
3. On the Action Shortcuts toolbar, click **Initialize Positions**.
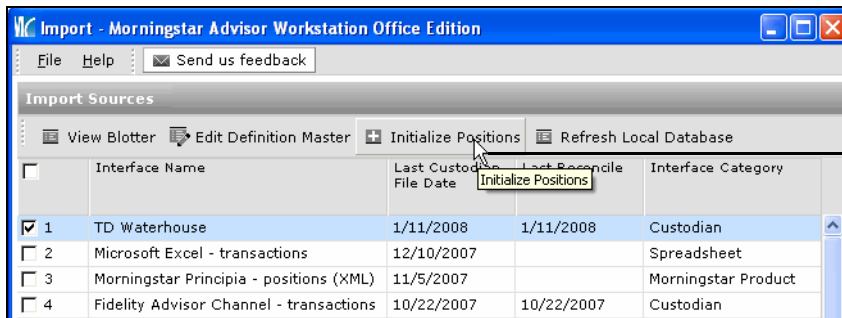
On the **Action Shortcuts** toolbar, click **Initialize Positions**

4. The Import dialog appears. From the File Name field, select the **folder** on your computer where you have saved the files you exported from TD AMERITRADE VEO.
5. Select the **date** to begin.

     ☞ Note: You can also click Get earliest date if your files are complete from that date forward.
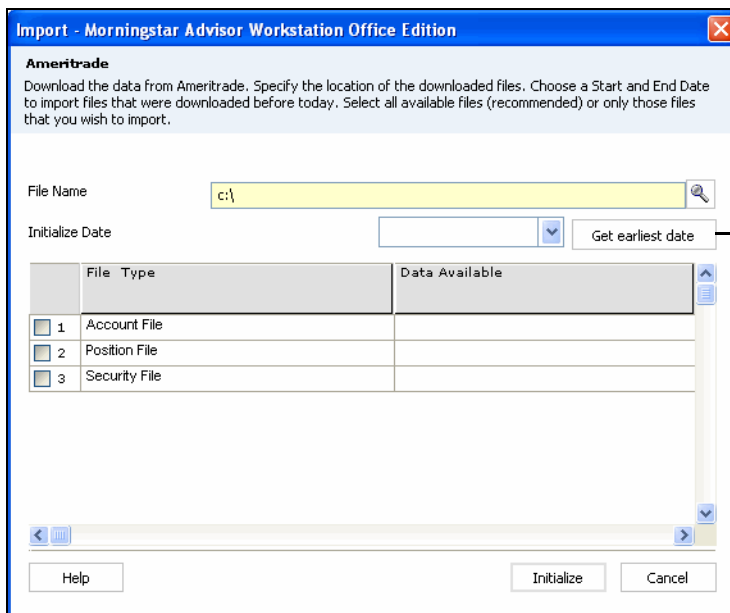
Click here to use the earliest date available.

6. Click **Initialize**. You are taken to the import blotters, which are divided into the following categories:
   - Accounts
   - Positions
   - Transactions
   - Prices
   - Securities, and
   - Reconciliation.

   ☞ When initializing, only the Accounts, Transactions, Prices and Securities blotters will be populated. The Reconciliations blotter might have data at this point, but you can ignore it.

When the import blotters appear, the Transactions blotter should be selected by default. For some custodians, recently traded but not yet settled securities appear as failed transactions after initialization.

Do the following to check for and correct errors on this screen:

1. Wait for the blotter to load. When the status bar goes away and the toolbar is no longer grayed out, the blotter is loaded.
2. Double-click the **Status** column header to check for errors.

   ☞ You might need to double-click the header again to re-sort and display errors at the top of the list.

3. If you see a red error symbol in this field, scroll to the right and review the **Error Message** field. When an error message states "Not enough shares to post against," confirm these transactions are in fact sales by consulting TD AMERITRADE's records or client statements.
4. Check the **box** next to the transaction(s).
5. Click the **Delete** icon on the toolbar.

Reviewing the Transactions blotter for errors

To confirm that a cash position will be entered in the system for all subsequent import transactions, do the following:

1. Select **Securities** from the left side of the Import screen.
2. Wait for the blotter to load. When the status bar goes away and the toolbar is no longer grayed out, the blotter is loaded.
3. Sort by Security Type by double-clicking the **Security Type** column header.
4. Look for a Security Type of **Cash** and a Security Name of **CASH**. If this is not present, skip the "Creating a New Portfolio Accounting System Setting" section on page 17. You will need to complete that step in the process after you have done your first import, at which point the CASH position should be properly entered.

Reviewing the Securities blotter for a cash position

Some security types might not have mapped properly. For example, options or VA's might be mapped to Other, or CDs might be mapped to Cash.

To resolve mapping issues, do the following:

1. On the Securities blotter, click in the **Security Type** field for an item that is mapped incorrectly.
2. Select the correct **security type** from the drop-down list that appears. That mapping will now be used for that security in all accounts where it is used.
3. Click **Save**. Your changes are saved.

> ☞ VA's will not be mapped during import. In addition to changing the security type from Other to VA, you must manually map them by clicking the magnifying glass in the Morningstar Mapped Holding column in the Securities blotter.

Reviewing the Securities blotter for holdings with the wrong security type

To ensure that all of the securities have mapped to the correct holdings in Office Edition, do the following:

1. Select **Securities** from the left side of the Import screen.
2. Wait for the blotter to load. When the status bar goes away and the toolbar is no longer grayed out, the blotter is loaded.
3. Double-click the **Status** column header. If you see a red triangle here, the system is telling you that a security from TD AMERITRADE VEO is being mapped to two securities in Office Edition. You must decide which security to use.

   ☞ You might need to double-click the header again to re-sort and display errors at the top of the list.

4. Double-click the **red triangle**. A new window appears.
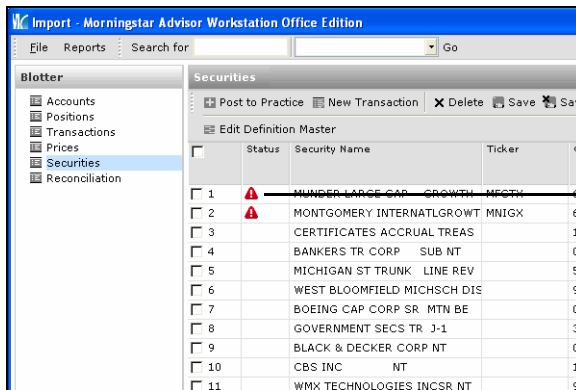
Double-click this icon to correct the mapping for this security.

5. Check the **box** to the left of the item to which you want to map the security. If the proper match is not listed, click **Save As User Defined**. The holding will be saved as a user-defined security.
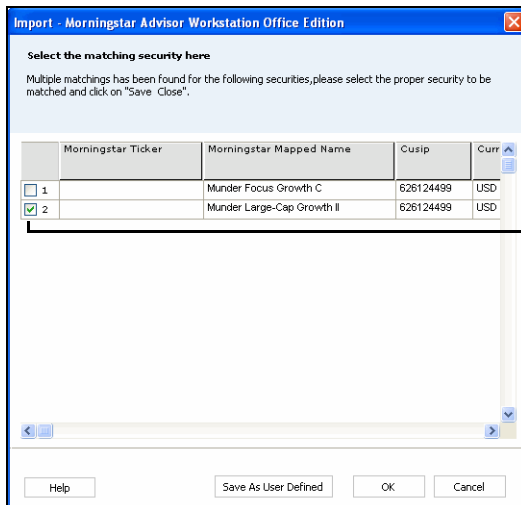
Check the box to the left of the item to which you want to map the security

6. Click **OK**. The new window closes, and the red triangle no longer appears on the Securities blotter.
7. Click **Save**.

Reviewing the Securities blotter for double-mapped securities

After you have reviewed the blotters and corrected the necessary items, do the following:

Posting initialized positions to your practice

1. From any of the blotters (except Reconciliation), click the **Post to Practice** button. This posts the information from all blotters and creates the clients and transactions. The process could take several minutes.

   ☞ You do not need to check the box next to an item's name to have it post; all items will post automatically when you click Post to Practice.
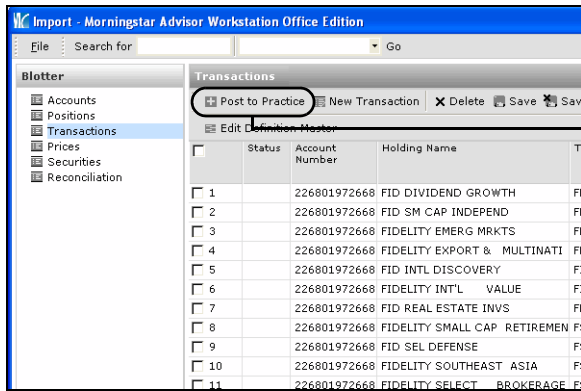
After making corrections, click Post to Practice

2. A confirmation message appears, informing you that the import data was successfully posted to your client accounts. Click **OK**.

   ☞ You might instead see a message that reads "The data in the following blotter(s) haven't posted completely: (name of blotter)". When you click **OK**, unposted data appear in the blotters. Check the blotter referenced in the message and check for errors.

3. Go to the **Practice** tab in the main Office Edition window, and confirm that the client and account data is now present.

Creating a New Portfolio Accounting System Setting

After initializing, but before you import client data, you need to create a new Portfolio Accounting System setting called Import. This allows for any manual transactions you might post to an imported account to not automatically update dividends and stock splits.

Overview

> ☞ If you have transaction accounts that you do not import, you can set the appropriate system setting for handling dividend, splits, etc., at the account level. Contact Morningstar's support desk with any questions.

You cannot perform this step if a CASH position was not created as part of the initialization process. If a CASH position was not created, this might be because the accounts had no unsettled cash on the date of initialization. You will have to return to this section after your next import from TD AMERITRADE VEO.

To create a new Portfolio Accounting System setting, do the following:

How to create a new Portfolio Accounting System setting

1. From the **Home** tab in Office Edition, select the **Settings** page.
2. Under the Portfolio Accounting System Settings area, click once on **Reports, Tax Lot Methods, Transactions, Management Fees**. The Settings pop-up window appears.

Click once on this option from the Settings page.
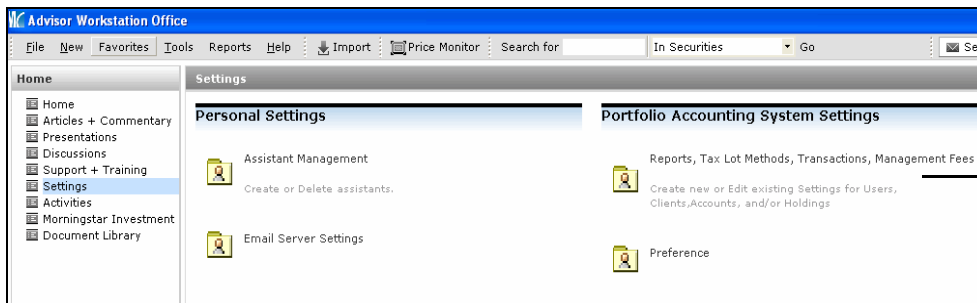
3. From the toolbar, click **New Setting**…**New Transactions Setting**.

Select this option.

4. In the Setting Name field, type **Import**.

> ☞ You can name the setting anything you want, but it is recommended to name it Import so it is clear this setting should occur only for accounts you are importing.
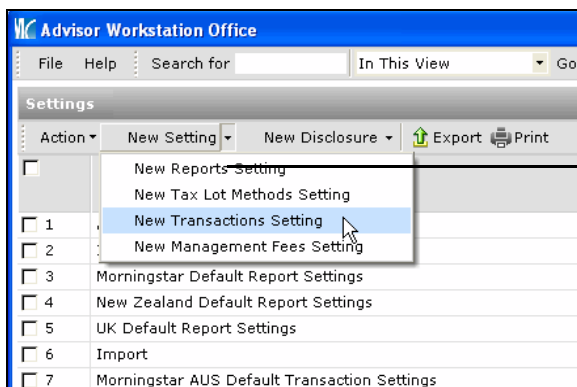

Type **Import**
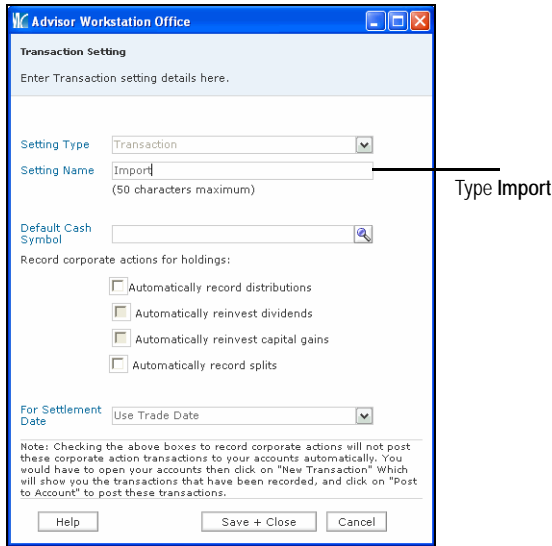
5. In the Default Cash Symbol field, click the **magnifying glass** icon. The Add Default Cash Symbol dialog opens.
6. Click the **Within** drop-down and select **User Defined Cash**.

Click the **Within** drop-down and select **User Defined Cash**.
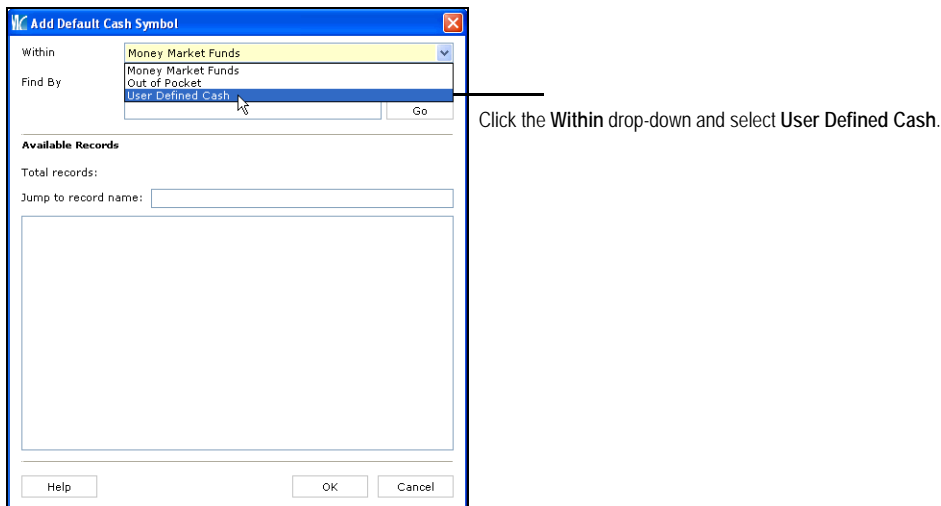
7. Click **Go**.
8. In the Available Records box, select **CASH**.
9. Click **OK**. You are returned to the Transaction Setting window. Do not select any check boxes on the dialog box.
10. Click **Save + Close**.
11. Click **OK** when the save confirmation message appears.
12. Close the Settings window.

To apply the import transaction setting you created, do the following:

How to apply the new transaction setting

1. From the toolbar at the top of the Office Edition window, click **Tools** and select **Settings...Set Default Account Settings.** The Set User Default Settings window
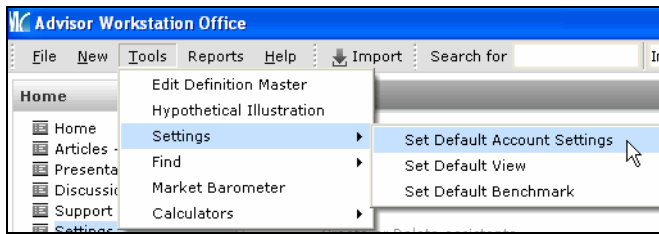
From the **Tools** menu, select **Settings...Set Default Account Settings**

appears.
2. Click the **Transactions** drop-down menu and select **Import**.
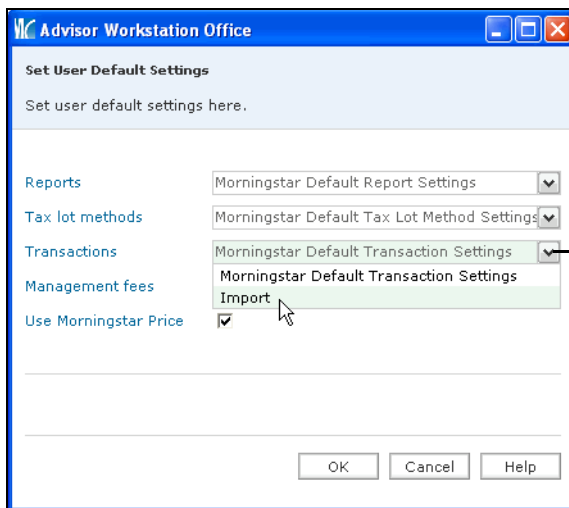
Click the **Transactions** drop-down menu and select **Import**

3. Click **OK**.
4. Click **OK** when the confirmation message appears.

Ongoing Importing from TD AMERITRADE VEO

This section explains how to import data from TD AMERITRADE VEO after the initialization has been done and the Portfolio Accounting System setting has been created and applied.

Overview

> ☞ Remember, if a CASH position was not created as part of the initialization process, you will have to return to the "Creating a New Portfolio Accounting System Setting" on page 17 after your next import.

To import data from TD AMERITRADE VEO, do the following:

Importing from TD AMERITRADE VEO

1. From the toolbar at the top of the Office Edition window, click **Import**. The Import window appears.
2. Double-click **TD AMERITRADE**. The Import dialog opens.
3. Select the **folder** on your computer where you saved the files you exported from TD AMERITRADE VEO.
4. If this is your first import after initialization, in the Start Date field, enter the **date** after initialization.

   > ☞ For example, if you initialized as of January 15, 2007, your start date should be 01/16/2007.

5. If this is not your first import after initializing, in the Start Date field, enter the **date** after your last end date.

   > ☞ Keep track of the date ranges for your imports so you do not enter the same date more than once. If your start date is the same as or earlier than your last end date, this will create double entries and the accounts will be out of balance.

6. Select an **End Date**. It is recommended that you not import more than a week's worth of transactions at a time.
7. Click **OK**. The information will now appear on the import blotters.

After the files are imported to the blotters, you need to review each blotter to ensure all of the data posts correctly.

Reviewing the import blotters

All blotters now have information, except for Accounts, which has information only when a new account is being created. If you see any accounts you previously imported, it is possible those accounts were copied, or the account numbers were changed. These accounts might need to be re-mapped in order to ensure the transactions post with the correct account. Please contact our Support Desk with any questions concerning mapping clients.
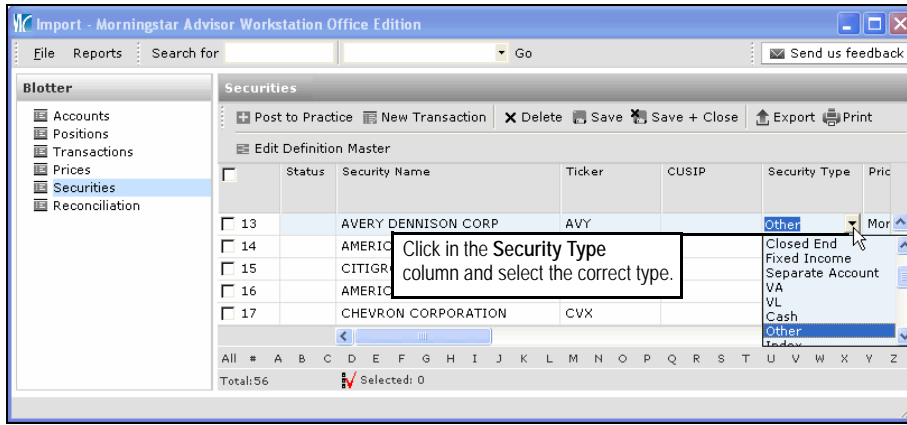
Review the Securities blotter to ensure all security types are correct. Change any security types (Other) to the appropriate type, if applicable. To change a security type, do the following:

Reviewing the Securities blotter

1. Click in the **Security Type** column. A drop-down menu appears.

2. Click the on the appropriate type. The selected type populates the cell.
3. Click **Save**.

Review the Transactions blotter to see if any transactions were rejected. Double-click the **Status** column header to determine if any transactions were rejected. You might need to double-click the header again to re-sort the column and display error messages at the top of the list.

Reviewing the Transactions blotter

Transaction types and amounts can be edited on the blotter, but some fields cannot be edited. These transactions might need to be deleted and manually entered from the Account screen under the Practice tab. A transaction could be rejected because:

• The custodian did not properly code the transaction
• Advisor Workstation does not recognize the code being sent from the custodian, or
• The transaction code from the custodian requires manual intervention (a transaction that might impact cost basis, etc.).

☞ Note: Be sure to save the edits you make prior to posting the transactions. Without saving, the changes will not be processed.

Handling Reconciliations after Importing

In this section, you will learn how to use the Reconciliation blotter to resolve transactions that are out of balance.

Overview

Once the import blotters are loaded, click **Reconciliation** on the left side of the Import screen. The Reconciliation blotter opens.

Reviewing the Reconciliation blotter

☞ Reconciling the positions you are importing could take several minutes, depending upon the number of transactions and positions in your practice.

All positions are displayed on the Reconciliation blotter. All out of balance (OOB) positions are at the top, sorted by largest first, and highlighted either in red or blue.

Items in red indicate that the custodian recognizes a position, but Office Edition recognizes a different position (either no position or just different).

Items in blue indicate that Office Edition recognizes a position, but the custodian does not. This occurs with some custodians with cash.

To edit a posted transaction in the Reconciliation blotter, do the following:

Editing posted transactions in the Reconciliation blotter

1. Right-click the specific exception and select **View Transaction**.
2. A new window opens, displaying both posted transactions (transactions previously posted) and pending transactions (those transactions that are in the transaction blotter, but not posted to the accounts).

    ☞ You can also log on to TD AMERITRADE VEO and compare their record of transactions to Office Edition's to find discrepancies between the two systems.

3. You can edit posted transactions from the Reconciliation blotter, but not pending transactions (See "Editing pending transactions in the Reconciliation blotter" below). To edit a posted transaction, right-click the exception and select **View Transaction**.

Right-click an **exception** and click View Transaction

4. Posted transactions open in a new window. Right-click the transaction and select **Edit**.

Right-click the **transaction** and click **Edit**
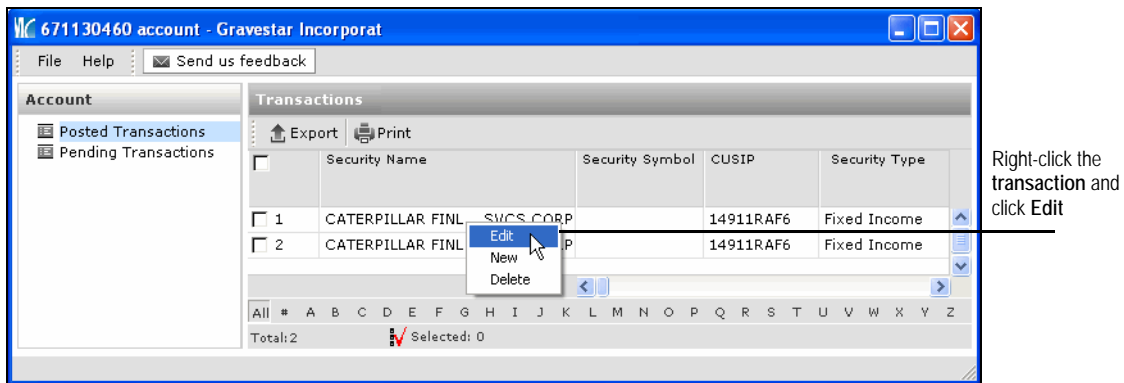
5. The transaction opens in a new window. Make your changes and click **Save and Close**.
6. You are returned to the Transactions window. Close it by clicking the red close icon or selecting **Close** from the File menu.
7. You are returned to the import blotters. Click **Reconciliation** again to refresh the blotter and display your changes.
8. When importing a date range, you are also able to select past dates to which to reconcile by clicking **Reconcile Historical Date**. This allows you to better determine when the OOB occurred and why.

    ☞ Note: You can reconcile historical dates only as far back as the date range you imported. For example, if you imported from 03/01/2007– 03/31/2007 during a session, you can view the Reconciliation blotter only between those dates.

9. After all issues have been reconciled, click on any of the other **blotters**.
10. Click **Post to Practice**.
11. A dialog appears, confirming that the data has been posted. Click **OK**.

    ☞ You might receive an error message stating that data has not posted. Click OK and you are taken to the Transactions blotter. Scroll to the right to the Error Message column to review the cause of the error.

You can only edit pending transactions in the Transactions blotter. To edit a pending transaction, do the following:

1. Click **Transactions** on the left-hand side of the Import screen. The Transactions blotter opens.
2. Edit the **transaction type**, **transaction date**, **amount**, **number of shares**, and/or **price**.
3. Once you have made your edits, on the Action Shortcuts toolbar, click **Save**.
4. Click **Reconciliation** to re-open the Reconciliation blotter and view the results of your edits.

**Editing pending transactions in the Transactions blotter**

You might need to add a transaction to bring your accounts into balance. To add a transaction from the Reconciliation blotter, do the following:

Adding transactions from the Reconciliation blotter

1. Right-click an exception and select **View Transaction**.
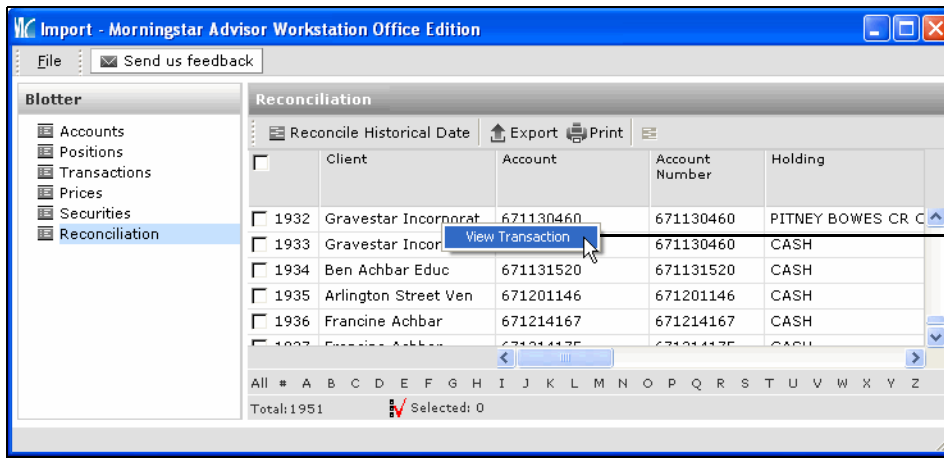
Right-click an **exception** and click View Transaction

2. A new window opens, displaying both posted transactions (transactions previously posted) and pending transactions (those transactions that are in the transaction blotter, but not posted to the accounts).
3. Right-click a transaction and click **New**.

Right-click a **transaction** and click New.
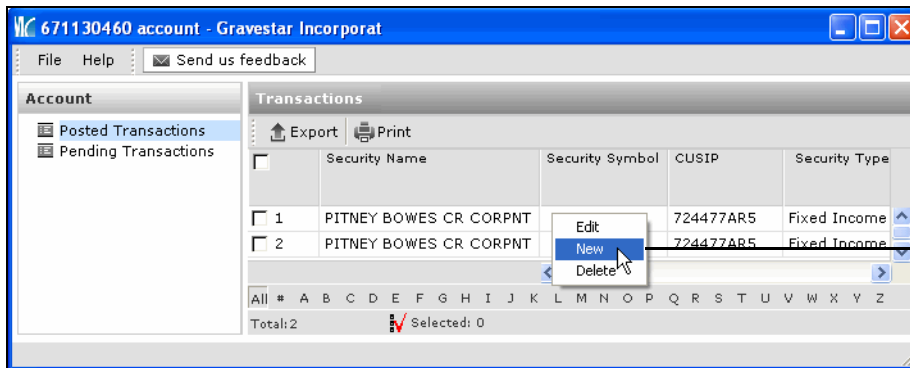
4. The Transaction Wizard opens with the **Security Name**, **Client Name** and **Account Name** fields populated.

5. To change the security, in the Security Name field, click the **magnifying glass** icon.

In the **Security Name** field, click the **magnifying glass** icon.
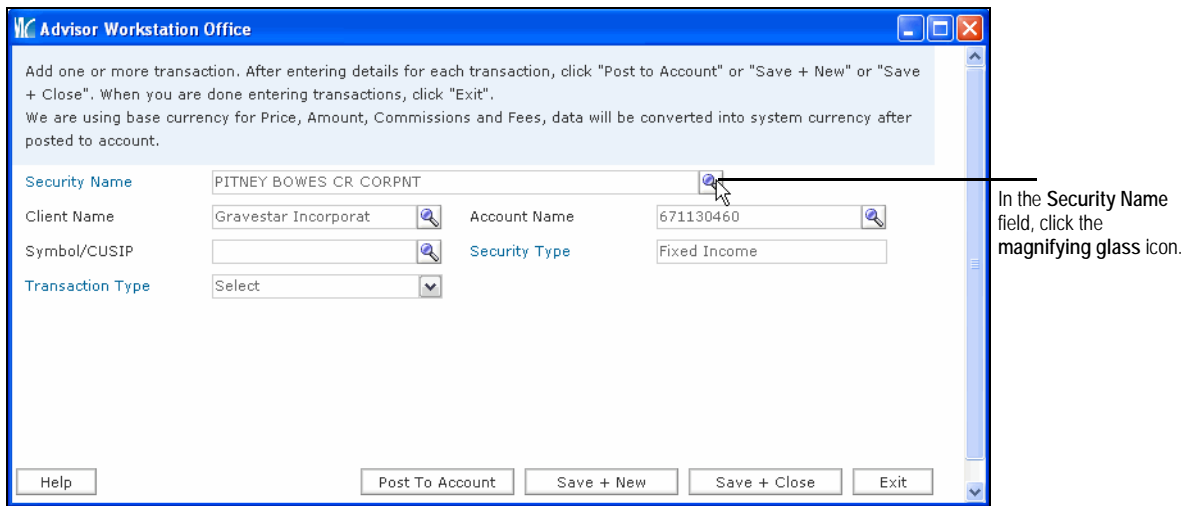
6. The Add Security dialog opens. Locate the security and click **OK**.
7. Click the **Transaction Type** drop-down and select the **transaction** you want to add.


Select the transaction type
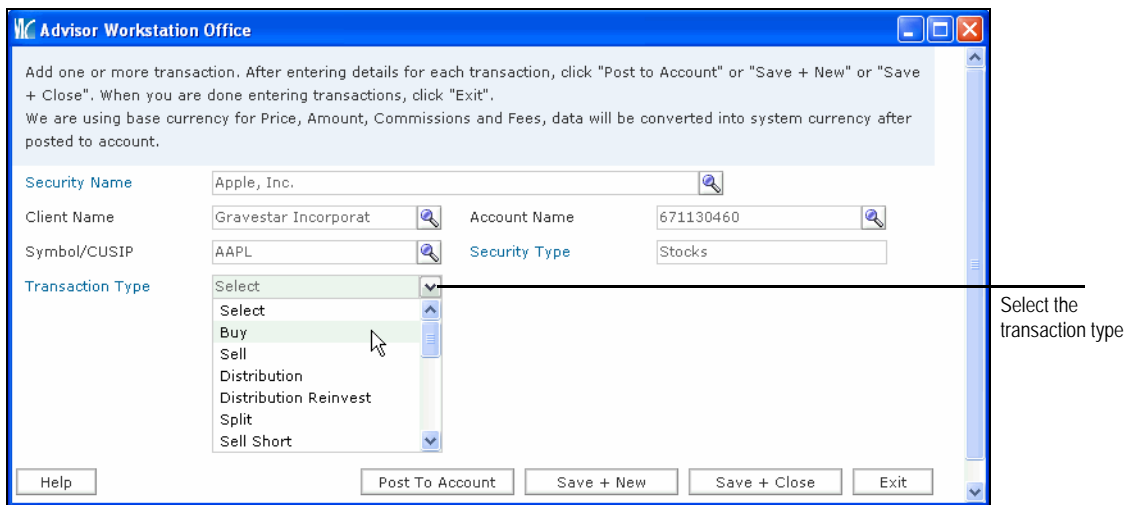
8. More data fields appear. The fields vary, depending on the transaction type selected. Fill in the blue fields.
9. Click **Save+Close** to save the transaction and return to the Transactions blotter or **Save+New** to save the transaction and add a new transaction.

You might encounter duplicate transactions in the Transactions blotter. To delete a transaction from the Transactions blotter, do the following:

Deleting transactions from the Transactions blotter

1. Check the **box** to the left of the transaction.
2. On the Action Shortcuts toolbar, click **Delete**.

On the Action Shortcuts toolbar, click Delete
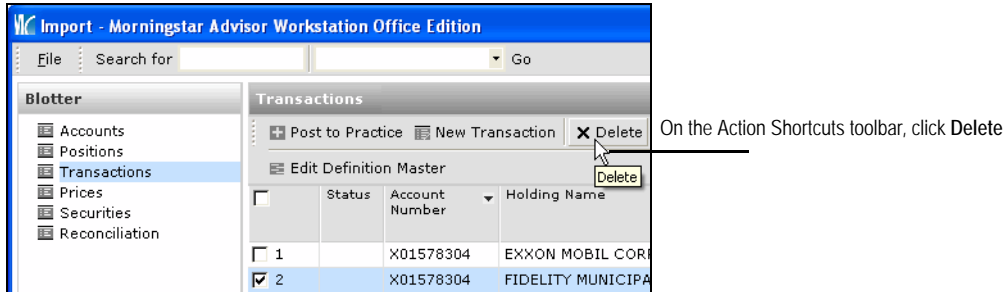
3. A dialog appears, asking you to confirm that you want to delete the transaction. Click **OK**. The transaction is removed from the blotter.

Troubleshooting Import Issues

You might encounter a variety of issues when importing data. This section walks you through five common scenarios:

Overview

- Dealing with a client's cash position during the import process
- Resolving issues related to an institution's proprietary ticker symbol for a security
- Correcting errors that occur as a result of a date being skipped during importing
- Manually entering transaction types, and
- Handling investment name changes.

Office Edition is a trade date system. Due to this, we use cash as an offset to every transaction that is generated by the custodian. This is to ensure the market value is correct on trade date. Office Edition credits cash to an account on the trade date for each sale, and debits cash to an account for each buy.

Working with cash positions when importing

Office Edition also credits cash first for any deposits from a client into an account, as well as from cash interest and dividend payments. Fees are always taken from cash.

Do not delete cash transactions or cash holdings. This will cause an out of balance situation in your account, and will impact performance measurement.

Some custodians market a certain class of mutual fund that is unique to their firm. In other words, XYZ mutual fund might allow Schwab to market a fund that is specific to their investors, which might have the load waived.

Troubleshooting issues with a unique share class

This type of security is imported with a different, user-defined ticker. No user-defined ticker can appear on a Quicktake report. Therefore, these securities need to be mapped to a security recognized by Office Edition. You can do this when importing the securities from the custodian. Do the following:
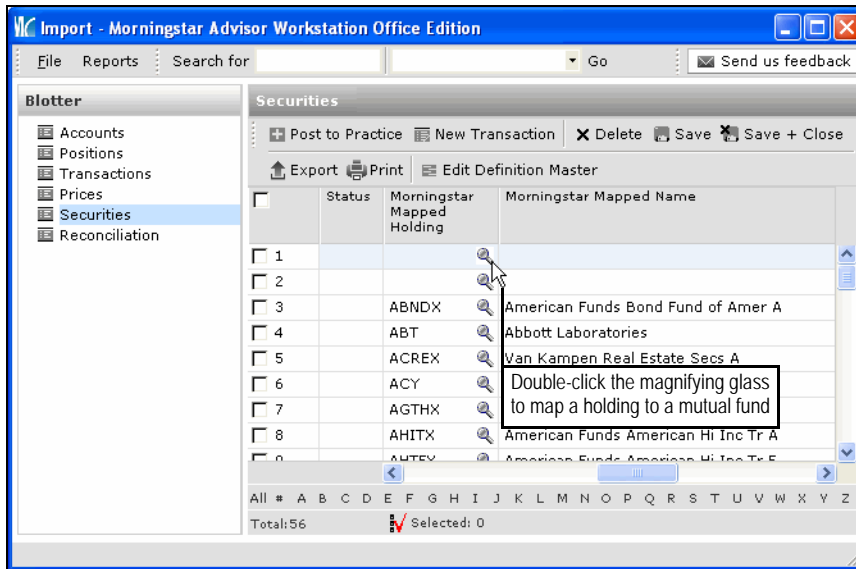
1. Click on the **Securities** blotter.
2. Scroll to the **Morningstar Mapped Holding** column.

3. Double-click the **magnifying glass** icon.

4. The Find Securities dialog opens. Click the **Within** drop-down and select **Open End Funds**.
5. Locate the **fund** whose performance you want to map to your user-defined security.
6. Highlight the desired **fund** and click **OK**. The Find Securities dialog closes and the Morningstar Mapped Holding and Morningstar Mapped Name columns are populated.
7. Click the **Save** icon at the top of the blotter window to save your mapping.

Skipping a date when importing causes your accounts to be out of balance. For example, if you import from 03/01/2007 to 03/03/2007, and then from 03/08/2007 to 03/10/2007, you will be out of balance for all of the days you skipped.

Troubleshooting a skipped file date

To determine if you have skipped a date, do the following:

1. Click on the **Reconciliation** blotter.
2. Right-click an exception and select **View Transaction**.
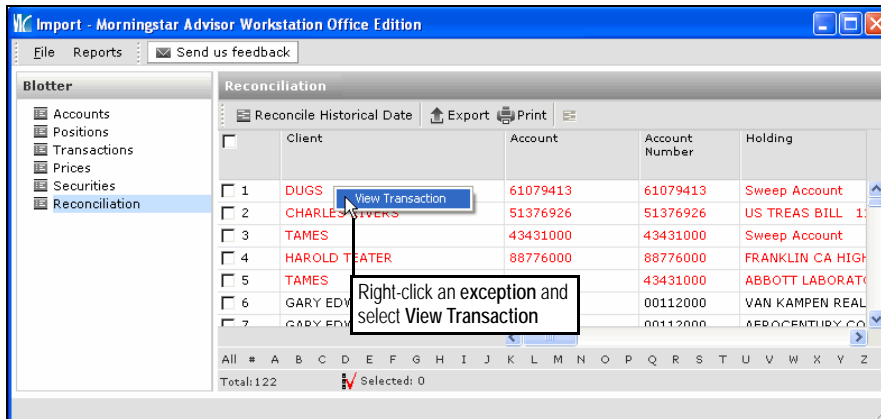
3. Check the posted transactions against the custodian's records. If you find transactions that have posted according to your custodian, but have not posted or are pending in Office Edition, you might have skipped a date.
4. Follow the steps for ongoing importing (see **Importing from TD AMERITRADE VEO** on page 20) and enter the skipped date as both the start date and the end date.

Some transaction types received from TD AMERITRADE VEO might not be recognized in Office Edition. Therefore, you might need to process certain transactions to balance your positions.

A note on transaction types

Transaction exceptions might also be due to corporate actions (spin-offs, stock mergers, reverse stock splits, etc.) that must be manually entered. For a complete list of transaction types available in the Transactions blotter, see the "Transaction Types" topic in Office Edition Help.

When a name change occurs on a Morningstar-tracked security, Morningstar updates the ticker and/or CUSIP number, usually within a week. Once the update is done, you do not need to manually update the ticker and/or CUSIP.

How investment name changes are handled for user-defined securities

However, when a name change occurs on a user-defined security, you must edit the CUSIP and/or ticker. To change the name of a user-defined security, do the following:

1. From the main Office Edition screen, click the **Tools** menu and select **Edit Definition Master**. The Definition Master opens.
2. In the left-hand column, click **Securities**.
3. Click in the **Symbol** and/or **CUSIP** column(s) and enter the new information.

Enter new name information in the **Symbol** and/or **CUSIP** column(s)
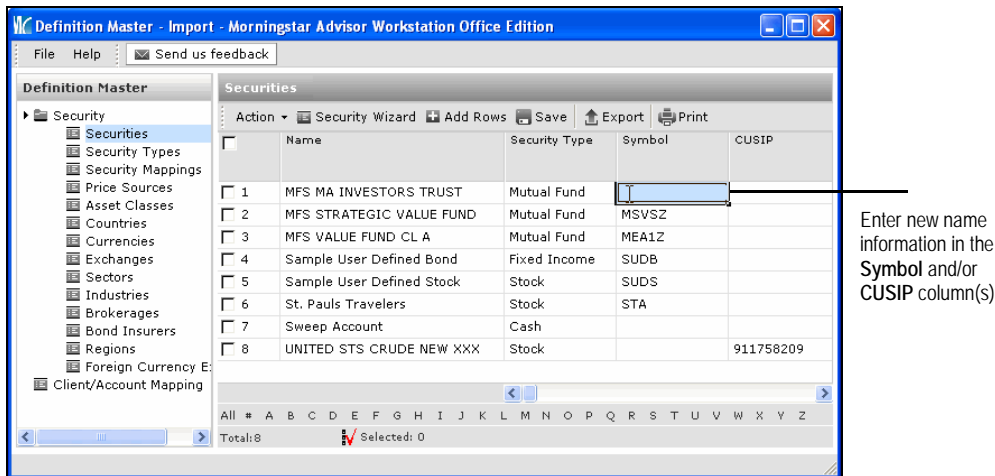
4. Click **Save**. You can now close the Definition Master.

When the name of a user-defined security changes to the name of a security followed by Morningstar, you can map the security in the Definition Master. To map to the Morningstar-tracked security, do the following:

1. From the main Office Edition screen, click the **Tools** menu and select **Edit Definition Master**. The Definition Master opens.
2. In the left-hand column, click **Security Mappings**.
3. Scroll to the right and click in the **Use As Substitute** column next to the security and select **Yes**.

In the Use As Substitute column, select Yes.
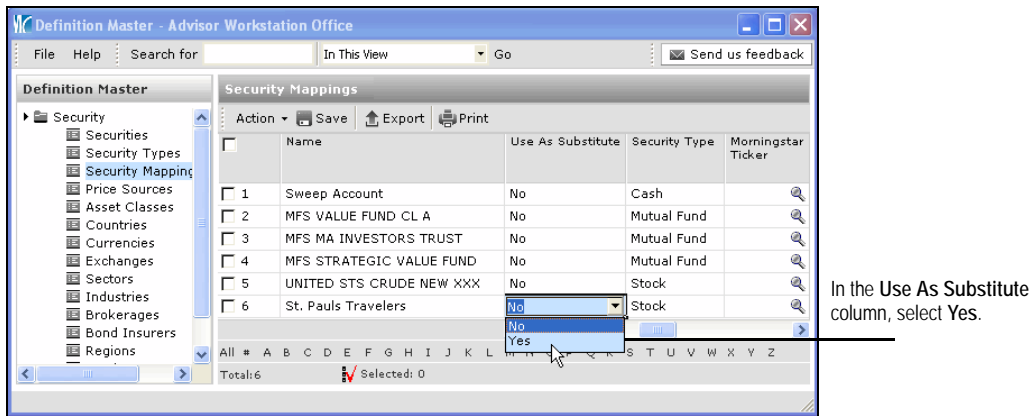
4. Click on the **magnifying glass** icon in the **Morningstar Ticker** column. The Find Securities dialog box opens.
5. Locate and select the Morningstar security.
6. Click **OK**.
7. Click **Save**. You can now close the Definition Master.