

**GETTING
STARTED**

NEW ACCOUNTS CENTER

CUSTOMIZATION | INTEGRATION | SCALE



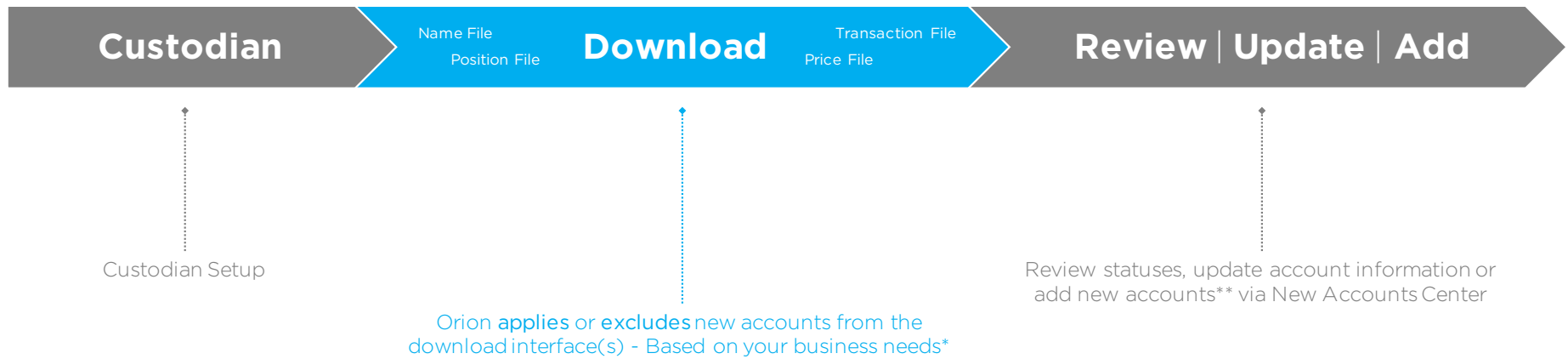


Process Overview*

Advisor's Responsibility

Orion's Responsibility

Timeline represents a typical new accounts process.



*Contact your ASA to discuss options related to your firm's download process and Best Practices.

**Use the Add Accounts Wizard to setup an account that has been Excluded. This process will remove the account from exclusion and apply it to the system.



New Accounts Center

Getting around.

Standard Views Quick Stats Main Data Screen Add Accounts Wizard

The screenshot shows the ORION New Accounts Center interface. At the top, there are four callout boxes: 'Standard Views' pointing to the left sidebar, 'Quick Stats' pointing to the summary cards, 'Main Data Screen' pointing to the table, and 'Add Accounts Wizard' pointing to the right sidebar. The interface includes a search bar, navigation tabs for ACCOUNT STATUS, ACCOUNT AUDIT, CUSTOM STATUS, and OFAC REVIEW, summary cards for pending accounts and new money available, and a table of account details. A right sidebar contains an 'Add Accounts' button, a date filter, and a filter grid.

Account ID	Status Icon	Account Status	Active	Name	Account Type	Account Number	Created Date
1275	✓	Normal Downloading	✓	Jimmy and Nancy Fallon, J...	Joint	SAMPLE-208_01	02/26/2016
1276	✓	Normal Downloading	✓	Jimmy and Nancy Fallon, J...	Joint	SAMPLE-208_02	02/26/2016
1278	✓	Normal Downloading	✓	Martin, Dean and Elizabeth...	Individual		03/03/2016
1280	⚠	Pending	✓	Del Schwab, IRA	Individual Retirement Account	Schwab-501_01	03/04/2016
1281	⚠	Pending	✓	Del Schwab, IRA	Individual Retirement Account	Schwab-501_02	03/04/2016
1282	⚠	Pending	✓	Del Schwab, IRA	Individual Retirement Account	Schwab-501_03	03/04/2016

Optional Custom Status Views* + Exclusion List & OFAC Review Custom Views & Groupings

*Contact your ASA to customize statuses to fit your workflows.



New Accounts Center

Functionality.

Standard Views

Views created based on standard new account audits and best practices. Results will appear in blue and need to be addressed before reporting on or trading an account. Click on a View to filter the Main Data Screen.

Quick Stats & Date Slider

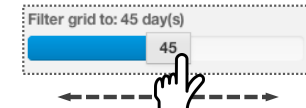
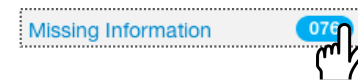
Three items that matter most! See your number of Accounts Pending and New Accounts, as well as, New Money Available. Adjust the slider filter to change the number of accounts in the Main Data Screen based on Created Date.

Main Data Screen

Provides all the important data to audit, review or update based on your selected View.

- 1 Select one line or multiple lines (hold Shift Key) to Edit
- 2 Right-click and select Edit Households, Registrations or Accounts
- 3 The Editor Screen will appear, make your changes and Save.

Your changes will now appear on the Main Data Screen. Under Actions you can Export to Excel if needed.



Home > New Accounts Center

Account ...	Status Icon	Account Status	Active	Name
487		Pending		Smith, Adam, 401K
490		Pending		Marty McFly, ROLL
488		Pending		Smith, Adam, 401K

- Edit Household
- Edit Registration
- Edit Account
- View

Smith, Adam, 401(K) (487)
July 10, 2014

\$0.00
Account Value

[Run Report](#)

Account

- General
- Notes And Documents
- Systematic
- Model Assignment

Billing

- General
- Recurring Adjustments
- Payees
- Credit Card
- General Account

General

Registration	295 - Smith, Adam, 401K	Active	<input checked="" type="checkbox"/>
Account Number		Managed	<input checked="" type="checkbox"/>
Fund Family	TD Ameritrade	Sweep Account	<input checked="" type="checkbox"/>
Management Style	Aggressive	Custodian	TD Ameritrade
Sub Advisor		Share Class	0



New Accounts Center

Functionality.

Editing Multiples

"These ten accounts should have the same Fee Schedule and Management Style..." - Great, update all ten at once!

- 1 Select multiple line items (hold Shift Key + select) to Edit.
- 2 Right-click and select Edit Accounts.
- 3 The Edit Multiples Screen will appear. Select a field to update & enter a field value.
- 4 Click Add Change. Repeat steps 3 and 4 as needed. A list of field & value changes will appear for Review.
- 5 Click Save to apply multiple edits to the selected accounts. *But hold on there Turbo!*
- 6 For you *quick-draw* users, we have added an additional Confirm Action as multiple updates are set to occur. Click Yes if you are feeling good about your selections.

[Home](#) > New Accounts Center

Account ...	Status Icon	Account Status ▾	Active	Name	Account Type
487	⚠	Pending		Smith, Adam, 401K	401(K)
490	⚠	Pending		Marty McFly, ROLL	IRA Rollover
488	⚠	Pending	✓	Smith, Adam, 401K	401(K)

Edit Accounts (3 Selected) SAVE CANCEL

🔍 **A word about editing multiple...**
All selected rows from the previous grid will be updated.
The account fields will be updated to the 'new value' set below.
Please note: **This update CANNOT BE UNDONE in mass.**

Field category: Billing ▾

Field to update: Fee Schedule ▾

Enter new field value:

Add Change

Category	Field	New Value
✕ Portfolio	Management Style	Aggressive
✕ Billing	Fee Schedule	Flat1.50

Confirm Action

Are you sure you want to process the updates?

Yes **No**



New Accounts Center

Manually add new accounts.

Add Accounts

Choose to add an account via a **Wizard** or add multiple accounts via a **Template***

The **Wizard** format allows you to step through each level that needs to be created in the Orion system i.e. Household, Registration and Account. If you choose to have Orion exclude new accounts from the download interface, you can manually add them as needed. Or manually create an account to *stage* the account BEFORE* it downloads to Orion from the Custodian.

The **Template** format allows you to populate a spreadsheet and upload the new account information. This is the recommended method to add accounts *en masse*.

- 1 Click **Add Accounts** and choose a **Method**.
- 2 Select **Add Account Manually** and enter information for each **Portfolio List** level. Choose to add an account to a **New Household** or an **Existing Household**.
- 3 Select **Import Accounts** to upload information from a spreadsheet. This method usually is reserved for adding many, many accounts at once.

1 Add Accounts

Add Account Manually

Import Accounts

2

1 Household/Registration 2 Account/Billing 3 Review Input 4 Paperwork

Account Type Individual Representative 12 - Bertucci, Todd

Use Existing Household YES Use Existing Registration NO

Household 46: Smith, John and Jane

Household First Name John and Jane Registration First Name John and Jane

Household Last Name Smith Registration Last Name Smith

Household Name Smith, John and Jane Registration Name Smith, John and Jane

Address 1 17605 Wright St City Omaha

Address 2 State NE

Back Next

Upload Accounts

We believe that adding accounts should be easy. Simply upload the CSV or Excel file containing your accounts and client information and we'll make sure all the information is populated and clean.

If you need a place to start, feel free to download the file template below.

3

Download File Template

Select File to Import

...or just drop the file here

*Contact your ASA to discuss Best Practices.



New Accounts Center

Views and Settings.

Customizing Views

Add customized Filters, Columns and Groupings to create a New View. Once you have made your selections, select the Save button to save as a New View. Choose to make your new view Private or Global.

Filters

Find specific outliers or sets of data using filters. Click Add (Double-click item to Remove a filter).

Columns

Customize your column choice and layout. Select or de-select columns+ re-order them by dragging & dropping.

Settings

Control the items that populate in the Missing Information column. Identify and update the things that matter to you!

Custom View

Save multiple views to manage your data!



New Accounts Center

Groupings.

Groupings

Customize how your data is presented on the Main Data Screen.

- ① Select from available grouping and filter options
- ② Click Add (Double-click on item to Remove a grouping).

You will now be able to Collapse or Expand your groupings on the Main Data Screen.

Home > New Accounts Center

Account ID	Status Icon	Account Status	Active	Name	Account Type
504	⚠	Pending	✓	test, BUS	Business
Household ID: 151 (1 items)					
494	⚠	Pending	✓	Jason Bourne, ROTH	Roth
Household ID: 131 (1 items)					
467	✓	Normal Downloading	✓	Benchmark Account, IND	Individual
Household ID: 146 (2 items)					
493	⚠	Pending	✓	Marty McFly Family Trust, ...	Trust
490	⚠	Pending	✓	Marty McFly, ROLL	IRA Rollover
Household ID: 152 (2 items)					
495	⚠	Pending	✓	Jason Bourne, ROTH	Roth
492	⚠	Pending	✓	Jason Bourne, ROTH	Roth

Actions ▾

Groupings

Group by: Account ID

Order by: item count (asc)

Collapsed: Yes No

Column Aggregators

Current Value: None

Start Value: None

Business Line: None

Cycle Month: None

Visible when collapsed:

Add Done

Household ID (count asc)

1

2



Best Practices

Managing New Accounts Successfully

- Process Know your Orion new account download settings **ACTION** consult with your Account Manager about options!
- Keep up Depending on new account volume, review new accounts at least Weekly **ACTION** set that Date Slider!
- Workflows Share your workflow with Orion to create custom Statuses **ACTION** have a plan of attack!
- Personalize Take advantage of custom Views, Columns and Groupings **ACTION** save a View!
- Default Settings Take advantage of these to manage your review process **ACTION** these control the Missing Information column!