

# Retaining Historical Client Information

## Data that will transfer:

- › Transactional History
- › Positional Records
- › Asset Price History
- › Open Accounts
- › Fixed Income History
- › Extended Insurance Data
- › Historical Rate of Return Performance

## Data that will not transfer:

- › Closed Accounts (only available in the Merge Process if former broker-dealer approves)
- › Manual Accounts (only available in the Merge Process if former broker-dealer approves)
- › Suppressed Accounts
- › Tax Lot/Cost Basis History Manually entered
- › Advisor- or Investor-Created Portfolios
- › Custom created or Assigned Benchmarks/Indexes
- › Model Portfolios
- › Batch Jobs
- › Report Packages
- › Investor Access
- › Advisor Performance
- › Advisor Default Report
- › Advisor-Level Logos
- › Advisor Information Page Details

One of the benefits of working with Albridge Wealth Reporting is retaining historical client information even if you change broker-dealers, or pursue an independent route.<sup>1</sup> This allows you to continue to present historical progress and benchmark information. It also means that you can count on Albridge Wealth Reporting to illustrate the long-term value of the advice you share with each client.

## In order to retain access to your historical client data, there are a few steps you should be sure you take well ahead of any transition:

1. Run the Albridge Wealth Reporting Advisor report “Client Holdings.” This will list clients and their account numbers to give you a full record of what is currently tracked in Albridge Wealth Reporting.
2. Make sure any account transfer paperwork is complete, and submitted as soon as possible to the new broker-dealer for processing.
3. Make sure the receiving accounts have the positions included, before submitting a history merge request.
4. Submit the history request through your new broker-dealer back office, with old and new account number mapping.
5. **Next step:** Your new broker-dealer can open a case with Albridge Customer Support with the history merge spreadsheet attached.

**Please remember to remove all dashes ( ) from account numbers and Social Security Number (SSN). All accounts must be exact (correct number of leading 0's)**

Advisor SSN#	Client Old SSN#	Client Old Account#	Client New SSN#	Client New Account#

## Transition best practices:

- › Consider client’s online access in preparing to transition. Create a spreadsheet containing the SSNs of the clients who have online access and then call or email Albridge Customer Support to have their access reset to “New” status. The clients will have to register under the new firm.
- › Take a screenshot of the Map Agent ID screen to record the rep number associations

<sup>1</sup> With consent to such historical data by the former broker-dealer.

### Important to note:

- › Timing can be up to six weeks from initial submission
- › There is a cost involved only if the history merge is successful; contact your broker-dealer for the cost involved
- › Merges must be an exact match, one-to-one (not combining or splitting accounts)

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QRG-ALB-AWR-8-17



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