

How to Change Your 13F & ADV Reportable Settings



It's almost Halloween! Time to be on the lookout for ghosts, goblins and of course, the spookiest of them all... regulatory filings!

But never fear, in our ongoing effort to take the scare out of year-end compliance preparation, we've worked hard to build out our compliance toolkit. In August, we featured an additional capability to our Compass app, designed to help you create a testing regimen that can automatically run the right reports, when you need them, saving you the time it takes to complete a manual review.

And most recently, we featured our latest addition to the Orion compliance toolkit - a regulatory filing dashboard that allows you to capture all of your Form ADV and 13f regulatory reporting numbers with one click!

But what do you do if you need to **exclude** items from your 13F and or form ADV reporting? In this week's Tech Tip we show you how easy it is to change your 13F and ADV settings at either the account level or en masse, saving you time and fright!

Let's jump in...

Change Your Settings at the Account Level...

1. Go to Orion Connect, open the "Portfolio Audit App"
2. Next, go to "Accounts" and select "Edit Account"
3. On the lower right side of the screen, you will see two checkboxes, one next to "ADV Reportable" and another next to "13F Reportable".

4. Simply, uncheck one or both boxes and hit “Save”.

Your account is now excluded from ADV and 13F reporting!

Update Settings en Masse

Save time by updating settings for a group of accounts within Orion Connect...

1. Go to Orion Connect, open the “Portfolio Audit App”
2. Next, go to “Accounts” as you did at the individual account level described above, but this time, right click to edit
3. Then make sure the following fields are marked as follows:
 - Field Category = “Portfolio”
 - Field to Update = “13F Reportable and/or ADV Reportable”
 - New Field Value = Unchecked Box (Turns Off)
4. Then go to “Add Change” and click “Save”

This time of year doesn’t have to be scary for compliance teams. Follow these simple steps to make your year-end regulatory filings runs smoothly so you can spend more time on what really matters: enhancing client relationships and building a better business.

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