Tech Tip Tuesday: Archive Reports, File 13F Reports, and Restore Canceled Accounts

We want to provide our clients with the resources needed to get the most out of the Orion Connect platform. To do this, our subject matter experts have highlighted some best practices to help solve everyday issues and continue growing your business quickly and at scale.

See how to better use these four intuitive tools in this Tech Tip Tuesday post:

Tip 1: *Automatically Save Reports with the Archive Tool*

The Archive tool within the Compass app in Orion Connect is designed to give you additional oversight when it comes to reports presented and delivered to your clients.

*But did you know....*This tool provides a PDF report delivery option that includes a Meta Data XML file which displays report data, such as report details and account information. You can use this file to enhance your reporting review process for compliance purposes!

The process will capture each report generated from the Orion system for the day, and each night a zip file (including the reports and the XML file) will be sent to an SFTP (Secure File Transfer Protocol) destination of your choosing.

How Do I Access This Feature?

All advisors with access to the Compass app will have access to Archive. And if you're an LPL advisor, using this functionality is actually required.

To set up Archive, go to the Compass app, choose Compliance Corner on the left-side menu, and select Archive. From there, click the Add button, select Custom or LPL (if applicable), and then Accept the Disclaimer.

The following fields then need to be filled out:

1. Configuration Name and Description: Custom for you to identify your Archive setups
2. Username, Password, and SFTP URL: These are the credentials to the SFTP site of your choosing. The connection can then be tested by clicking the "Test" button. **The site must be a true SFTP site. An FTP or FTPS site will not work.** Please work with your IT contacts if you need help setting up an SFTP.

After the credentials have been entered and tested, you can choose for all reports to be sent, or just those for certain reps by selecting names from the available list.

Tip 2: *Troubleshoot Form 13F Filing Errors*

A common error that advisors experience when filing a 13F Form Report is that the CUSIPs aren't recognizable by the Edgar filing system.

This error is the result of the CUSIP column in the output being converted from text to number. CUSIPs are alphanumeric security indicators that contain leading zeros. When the text in this column is converted to a numeric value, it ignores or drops the leading zeros. Some CUSIPs contain the letter 'e', which is read as an exponential notation when converted from text to number. Both of these situations create an unknown CUSIP and cause errors in the Edgar filing.

*But did you know….*You can avoid this problem by NOT converting the text field into a numeric value.

How Do I Access This Feature?

Download the 13F Form Report query from Compliance Corner inside the Compass app, and then convert the Excel output into XML using the SEC's conversions instructions, [which you can find in Orion Social](#). The navigation path is: Compass app > Compliance Corner > Filing > 13F Form Report.

Use the XML conversion instructions located in the Compliance Group's Resources tab in your Orion Social app.Tip 3: *Undo Canceled Accounts with the Restore Tool*

In business you need to be flexible. There may be an instance where you stop managing an account and then find your self re-managing it again or you simply may have cancelled in error.

*Did you know....*Orion's Portfolio Audit's Restore tool gives you the power to "uncancel" accounts that had been canceled (for a variety of reasons) and bring in any excluded data without having to contact Orion.

How Do I Access This Feature?

Open the Portfolio Audit app and then follow these steps: Select Accounts > Change *Show Active* to *Not Active* in your grid filters > Locate the canceled account > Right Click *Undo Cancel Account* > Select *With Restore*)Each of these features can help you save time and get your work completed faster when using the Orion platform. All of the functionality covered in Tech Tip Tuesday is available and ready to use right now in Orion Connect.

If you need more training or want to find more information about the apps and tools covered in this article, log into Orion Social to access our full knowledge base, and use the Ascent app for online, on-demand training resources

Not working with Orion yet? [Click here to get in touch with us.](#)

0349-OAS-6/19/2018