



TRUST MANAGEMENT NETWORK

*Charlotte 101*

*Yavonda Schaefer*

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Gain valuable insight & knowledge of Charlotte to bring to your company

# CFO – INQUIRY

FIS CHARLOTTE

Reports | Daily Processing | Security Processing | Pr

Dashboard | **Account** | Activity | Assets | Autom

- Account Balances ▶
- Account Events
- Account Interfaces
- Account Master List
- Account Synoptic
- Account User Defined Fields
- Consolidated Accounts
- Item Master List
- Name & Address Master List ▶
- Name & Address User Defined Fields
- Overdraft and Large Balances ▶
- Pension Master List
- Pension Master Payee List
- Relationship Report ▶
- Tickler
- Trust Master List**

FIS CHARLOTTE

Reports | Daily Processing | Security Processing | Process Manag

Dashboard | Account | **Activity** | Assets | Automatic File Search

- Pending Activity Detail ▶
- Pending Activity Summary
- Pending Consolidated Checks
- Pending Disbursement Transactions ▶
- Pending Fees
- Pending Income Maps
- Pending Items
- Summary and Statement of Transactions
- Transaction History** ▶

FIS CHARLOTTE

Reports | Daily Processing | Security Processing | Process Management

Dashboard | Account | Activity | **Assets** | Automatic File Search

- Asset Details ▶
- Asset Summary
- Bond Maturity Projections ▶
- Holders List
- Income Projections**
- Investment Reporting - IRMA ▶
- Investment Review ▶
- Reconstruct Account Holdings
- Reconstruct Security Holders
- Restricted Holdings
- Security Master List
- Security Position Listing
- Tax Lot Listing

# CFO – INQUIRY

FIS CHARLOTTE

Pop-up-Off ALERT Customize Site Map Refresh Print Exit Help About Last Login 09/30/2019 8:10 PM

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

### SITE MAP

[Expand](#) [Collapse](#)

- Reports
  - Dashboard
    - Dashboard Smith(FIS)
    - Officer Lira(LUCIA)
    - Dashboard Radford(yavonda)
    - J Admin Dashboard(yavonda)
    - Dashboard J Admin(yavonda)
    - Dashboard Sjulín(yavonda)
    - Dashboard demo(yavonda)
    - Dashboard demo(yavonda)
    - Dashboard demo(yavonda)
  - Account
    - Account Balances
      - Account Balances yavonda(YAVONDA)
      - Account Balances Daily Cash(yavonda)
      - Kelsey(yavonda)
      - Account Balances INV(yavonda)
      - Yavonda(YAVONDA)
    - Account Events
    - Account Interfaces
    - Account Master List
    - Account Synoptic
    - Account User Defined Fields
    - Consolidated Accounts
    - Item Master List
    - Name & Address Master List
- Daily Processing
  - Check Writing
    - 1099R Data
    - Balance Report
    - Check Register
    - Check Recon
    - Direct Deposit (ACH)
    - Release Checks
    - Release Credit Advices
    - Release Direct Deposit (ACH)
    - Release Payment Advices
    - Release Transaction Only
  - Custom Disbursement Configurations
    - Custom Checks
    - Custom Credit Advices
    - Custom Payment Advices
  - Fees
    - Added Charges
    - Fee Processing
    - Fee Schedules
  - Posting/Balancing
    - Balance Daily Input
    - Block/Unblock for Charlotte CFO Reports
    - Convert 3rd Party Input
    - Posting
    - Review Posting
  - Wright Investors
- Security Processing
  - Custody
    - BNY Mellon Connect
    - Confirm Data Updates & Exceptions Log
    - Custody Reports
    - Custody Communications
    - View Affirm Log
    - View Confirm Log
  - Mutual Fund Order Entry
    - MFOE Recap
    - Mutual Fund Restrictions Table
    - Mutual Fund Trade Restrictions Log
    - Retrieve SGN Reports
    - SGN Report Inquiry
  - Trading
    - ACMS Trades
    - Confirmed Trades List
    - CTF Orders List
  - Import Trade Orders
    - Import Trade Orders
    - Import Trade Orders Log
  - MFOE Orders List
  - Open Orders List
  - Pending Trades and Maturities List
    - By Account
    - By Trade ID
  - Trade Advice Template
- Process Management
  - Processing
    - Masters
      - Form
        - Account
        - Cross Reference
        - Item Master
        - Manual Event
        - Name Address
        - Pension Master
        - Security
        - Tickler
        - Trust Master
      - Model
        - Account
        - Cross Reference
        - Item Master
        - Manual Event
        - Name Address
        - Pension Master
        - Security
        - Tickler
        - Trust Master
    - Pending
      - Form
        - Pending Fee
        - Pending Item

# CFO – INQUIRY

Customize

## ACCOUNT BALANCES (PROJECTED)

Report Created: 9/30/2019 9:29:33 AM  
Previous Close Date: 9/27/2019

- Export to Excel
- Related Documents
- Quick Print

\*Indicates changed from beginning of day

Report Filters  
 Column to filter: [-None-] Filter type: [-None-]  
 [Apply Filter] [Remove Filter]

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	0.00	-4,790.95	0.00
	MERRY OWNER	20 00 9678 1					0.00	560,907.09	0.00
	EMMA SKYLLINGSTAD	14 00 0224 2					0.00	-124.95	0.00
	MATIAS R TR AGY	54 00 0001 0					996,140.10	997,225.67	0.00
	MORGAN SJULIN "A"*	50 00 0214 1					2,620,340.22	128,149,672.19	-1,000.00
	DR TEST AGENCY	51 00 0215 0					272,368.58	1,066,096.59	0.00
	NEWBRIDGE, LEX	50 00 0880 0					1,201,383.40	8,773,934.55	0.00
	DEBBIE SIMPSON AGY	50 00 1238 0					2,100,390.00	4,572,491.47	0.00
	DALLAS AREA FDN	65 00 4122 1					0.00	0.00	0.00
	JIM BURGER AGY	50 00 4520 3					433,234.29	433,234.29	0.00
	GEORGE BAKER IRA	69 00 4521 0					0.00	0.00	0.00
	CORY WHITLOCK IMA	30 00 7894 0					1,012,473.89	1,012,473.89	0.00
	BOB RETIRED IRA	69 00 9689 1					487,984.60	807,098.00	0.00
	AMELIA LIRA TRUST	20 00 1104 1					38,630.80	132,516.56	0.00

### CUSTOMIZE - ACCOUNT BALANCES ( SYSTEM DEFAULT )

Saved Report Options  
 Report Name: Account Balances [Save As]  
 Public  
 Private  
 [Save as Default] [Apply] [Cancel]

Account Selection  
 Include Blocked Accounts  
 Include Closed/Saved Accounts  
 Include Pseudo Accounts

Available Fields  
 Administrator Code  
 Administrator Name  
 Alpha Key  
 Cash Sweep Net  
 Collateral Deposit  
 Cost  
 Insured Deposit  
 Inventory Value  
 Investment Officer Code  
 Investment Officer Name  
 Last Activity Date  
 LBOD Income

Report Display Order:  
 Income Cash  
 Principal Cash  
 Net Cash  
 Cash Sweep Income  
 Cash Sweep Principal  
 Estimated Market Value  
 Pending Activity Net

[Add >] [Add All >>] [Remove] [Remove All] [Move up] [Move Down]

# CFO – INQUIRY

FIS CHARLOTTE Pop-up-Off **ALERT** Customize Site Map Refresh Print Exit Help About Last Login: 09/30/2019 9:29 AM

All Permitted Accounts

Reports | Daily Processing | Security Processing | Process Management | Tables | My Settings | System | Favorites

## ACCOUNT BALANCES (PROJECTED)

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Report Filters  
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Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	0.00	-4,790.95	0.00
	MERRY OWNER	20 00 9678 1 05	-3,792.59	0.00	-3,792.59	0.00	0.00	560,907.09	0.00
	EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0.00	-124.95	0.00	0.00	-124.95	0.00
	MATIAS R TR AGY	54 00 0001 0 02	0.00	0.00	0.00	1,085.57	996,140.10	997,225.67	0.00
	MORGAN SJULIN "A"*	50 00 0214 1 00	0.00	0.00	0.00	34,821,903.55	2,620,340.22	128,149,672.19	-1,000.00
	DR TEST AGENCY	51 00 0215 0 05	32,368.58	-32,368.58	0.00	0.00	272,368.58	1,066,096.59	0.00
	NEWBRIDGE, LEX	50 00 0880 0 01	0.00	0.00	0.00	0.00	1,201,383.40	8,773,934.55	0.00
	DEBBIE SIMPSON AGY	50 00 1238 0 01	0.00	0.00	0.00	1,994,370.80	2,100,390.00	4,572,491.47	0.00
	DALLAS AREA FDN	65 00 4122 1 01	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	JIM BURGER AGY	50 00 4520 3 02	432,869.29	-432,869.29	0.00	0.00	433,234.29	433,234.29	0.00
	GEORGE BAKER IRA	69 00 4521 0 04	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	CORY WHITLOCK IMA	30 00 7894 0 00	12,273.89	-12,273.89	0.00	0.00	1,012,473.89	1,012,473.89	0.00
	BOB RETIRED IRA	69 00 9689 1 00	0.00	0.00	0.00	0.00	487,984.60	807,098.00	0.00
	AMELIA LIRA TRUST	20 00 1104 1 01	3,732.78	-3,732.78	0.00	0.00	38,630.80	132,516.56	0.00

100%

Link to other reports  
by clicking on the  
Reports Icon

- Account Synoptic
- Pending Activity Summary
- Pending Activity Detail Pending ACMS**
- Pending Activity Detail Pending Fees
- Pending Activity Detail Pending Income Maps
- Pending Activity Detail Pending Items
- Pending Activity Detail Pending Pension Checks
- Pending Activity Detail Pending Trades
- Pending Activity Detail Pending Trust Checks
- Transaction History

# CFO – INQUIRY

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Report Filters

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**Apply Filter** **Remove Filter**

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	0.00	-4,790.95	0.00
	MERRY OWNER	20 00 9678 1 05	-3,792.59	0.00	-3,792.59	0.00	0.00	560,907.09	0.00
	EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0.00	-124.95	0.00	0.00	-124.95	0.00
	MATIAS R TR AGY							997,225.67	0.00
	MORGAN SJULIN "A"							128,149,672.19	-1,000.00
	DR TEST AGENCY							1,066,096.59	0.00
	NEWBRIDGE, LEX							8,773,934.55	0.00
	DEBBIE SIMPSON AGY							4,572,491.47	0.00
	DALLAS AREA FDN							0.00	0.00
	JIM BURGER AGY							433,234.29	0.00
	GEORGE BAKER IRA							0.00	0.00
	CORY WHITLOCK IMA							1,012,473.89	0.00
	BOB RETIRED IRA							807,098.00	0.00
	AMELIA LIRA TRUST							132,516.56	0.00

AccountBalances.xlsx - Excel

Yavonda K. Baynard

File Home New Tab Insert Page Layout Formulas Data Review View Developer Add-ins Help PDF ACROBAT Tell me
Share Comments

Cut Copy Paste Format Painter
B I U
Align Center
Number
Conditional Formatting Styles

Clipboard Font Alignment
Autosum Sort & Find & Filter Select

Account Name

Account Name	Account Number	Income Cash	Principal Cash	Net Cash	Cash Sweep Income	Cash Sweep Principal	Estimate
1 MATIAS R TR AGY	54 00 0001 0 02	0	0	0	1005.57	0	996140.10
2 MORGAN SJULIN "A"	50 00 0214 1 00	0	0	0	34821903.65	0	2620340.22
4 DR TEST AGENCY	51 00 0215 0 05	32368.58	-32368.58	0	0	0	272368.58
5 EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0	-124.95	0	0	0.00
6 DALLAS AREA FDN CTF	02 00 0412 0 02	1882040.47	5653403.82	7536252.29	0	0	0.00
7 ETHAN O IRA	69 00 0528 1 03	1224.25	-12531.49	-11307.24	0	0	0.00
8 NEWBRIDGE LEX	50 00 0880 0 01	0	0	0	0	1201383.40	0.00
9 LC BAYNARD IRA	69 00 0902 1 01	-16854.97	50000	33145.03	0	0	0.00
10 YK BAYNARD AGY*	50 00 0917 3 00	-140167.27	4987800	4847632.73	0	0	0.00
11 AMELIA LIRA TRUST	20 00 1104 1 01	3732.78	-3732.78	0	0	0	38630.80
12 MISC SUSPENSE	80 00 1111 0 01	-4217	-573.95	-4790.95	0	0	0.00
13 ABC COMPANYY	50 00 1234 1 00	40891.25	194479.29	235070.54	0	0	0.00
14 DEBBIE SIMPSON IRA*	14 00 1235 0 04	4744036.77	-6964711.83	-2220675.06	0	0	5000000.00
15 DEBBIE SIMPSON AGY	50 00 1238 0 01	0	0	0	1994370.80	0	2100390.00
16 AWAVES	50 10 2785 1 01	6141.85	-6141.85	0	0	0	506641.85
17 DALLAS AREA FDN - A	65 00 4129 0 01	916.61	5000	5914.61	0	0	0.00
18 DALLAS AREA FDN B	65 00 4129 0 01	114.33	15000	15114.33	0	0	0.00
19 DALLAS AREA FDN C	65 00 412C 0 01	1257.54	20000	21257.54	0	0	0.00
20 DALLAS AREA FDN	65 00 4122 1 01	0	0	0	0	0	0.00
21 JIM BURGER AGY	50 00 4520 3 02	432869.29	-432869.29	0	0	0	433234.29
22 GEORGE BAKER IRA	69 00 4521 0 04	0	0	0	0	0	0.00
23 CORY WHITLOCK IMA	30 00 7894 0 00	12273.89	-12273.89	0	0	0	1012473.89
24 CORY WHITLOCK IRA*	69 00 7895 0 00	0	-13000	-13000	0	0	0.00

# CFO – INQUIRY

## ACCOUNT BALANCES (PROJECTED)

Report Created: 9/30/2019 9:29:33 AM  
Previous Close Date: 9/27/2019

\*Indicates changed from beginning of day

- Export to Excel
- Related Documents
- Quick Print

Report Filters  
 Column to filter:  Filter type:

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111						0.00	-4,790.95
	MERRY OWNER	20 00 9678						0.00	560,907.09
	EMMA SKYLLINGSTAD	14 00 0224						0.00	-124.95
	MATIAS R TR AGY	54 00 0001						0.00	-140.10
	MORGAN SJULIN "A"*	50 00 0214						0.00	997,225.67
	DR TEST AGENCY	51 00 0215						0.00	340.22
	NEWBRIDGE, LEX	50 00 0880						0.00	128,149,672.19
	DEBBIE SIMPSON AGY	50 00 1238						0.00	-1,000.00
	DALLAS AREA FDN	65 00 4122						0.00	368.58
	JIM BURGER AGY	50 00 4520						0.00	1,066,096.59
	GEORGE BAKER IRA	69 00 4521						0.00	383.40
	CORY WHITLOCK IMA	30 00 7894						0.00	390.00
	BOB RETIRED IRA	69 00 9688						0.00	0.00
	AMELIA LIRA TRUST	20 00 1104						0.00	8,773,934.55
								0.00	0.00
								0.00	473.89
								0.00	1,012,473.89
								0.00	984.60
								0.00	807,098.00
								0.00	630.80
								0.00	132,516.56

Account Balances Report Date: September 30, 2019 7:10 PM  
Previous Close Date: September 27, 2019

\* Indicates changed from beginning of day

Account Name	Account Number	Income Cash	Principal Cash	Net Cash	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net
MATIAS R TR AGY	54 00 0001 0 02	0.00	0.00	0.00	1,085.57	996,142.10	997,225.67	0.00
MORGAN SJULIN "A"	50 00 0214 1 00	0.00	0.00	0.00	34,821,963.55	2,620,340.22	128,149,672.19	-1,000.00
DR TEST AGENCY	51 00 0215 0 04	32,368.58	-32,368.58	0.00	0.00	272,368.58	1,006,096.59	0.00
EMMA SKYLLINGSTAD	14 00 0224 0 04	-124.95	0.00	-124.95	0.00	0.00	-124.95	0.00
DALLAS AREA FDN CTF	02 00 0412 0 02	1,882,848.47	5,863,403.82	7,536,252.29	0.00	0.00	0,251,022.29	0.00
ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
NEWBRIDGE, LEX	50 00 0880 0 01	0.00	0.00	0.00	1,201,383.40	8,773,934.55	0.00	0.00
LC BAYNARD IRA	69 00 0602 1 01	-18,854.97	50,000.00	33,145.03	0.00	0.00	33,165.43	0.00
YK BAYNARD AGY*	50 00 9617 3 00	-140,167.27	4,987,652.73	4,847,652.73	0.00	0.00	4,847,652.73	-500.00
AMELIA LIRA TRUST	20 00 1104 1 01	3,732.78	-3,732.78	0.00	0.00	38,630.80	132,516.56	0.00
MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.65	-4,790.65	0.00	0.00	-4,790.65	0.00
ABC COMPANY	50 00 1334 1 00	40,891.25	194,179.20	235,070.54	0.00	0.00	5,591,981.12	0.00
DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
DEBBIE SIMPSON AGY	50 00 1238 0 01	0.00	0.00	0.00	1,994,370.80	2,100,390.00	4,572,491.47	0.00
AWAVES	50 10 2785 1 01	6,141.85	-6,141.85	0.00	0.00	506,841.85	506,841.85	0.00
DALLAS AREA FDN - A	65 00 4124 0 01	914.61	5,000.00	5,914.61	0.00	0.00	3,025,684.14	0.00
DALLAS AREA FDN B	65 00 4126 0 01	114.33	15,000.00	15,114.33	0.00	0.00	392,585.52	0.00
DALLAS AREA FDN C	65 00 4120 0 01	1,257.54	20,000.00	21,257.54	0.00	0.00	4,173,440.64	0.00
DALLAS AREA FDN	65 00 4122 1 01	0.00	0.00	0.00	0.00	0.00	0.00	0.00
JIM BURGER AGY	50 00 4520 3 02	432,889.29	0.00	432,889.29	0.00	433,234.29	433,234.29	0.00
GEORGE BAKER IRA	69 00 4521 0 04	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CORY WHITLOCK IMA	30 00 7894 0 00	12,273.89	-12,273.89	0.00	0.00	1,012,473.89	1,012,473.89	0.00
CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
G. BANK FOUNDATION	51 00 9832 1 00	32.24	0.00	32.24	0.00	0.00	446.64	0.00
JOHN ACCOUNTHOLDER*	50 00 9654 1 00	0.00	0.00	0.00	1,356,467.08	2,830,340.06	0.00	0.00
MERRY OWNER	20 00 9678 1 05	-3,702.59	0.00	-3,702.59	0.00	0.00	560,907.09	0.00

# CFO – INQUIRY

FIS CHARLOTTE

Pop-up-Off ALERT Customize Site Map Refresh Print Exit Help About Last Login: 09/30/2019 9:29 AM

All Permitted Accounts

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

## ACCOUNT BALANCES (PROJECTED)

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Report Filters

Column to filter: [-None-] Filter type: [-None-]

Apply Filter Remove Filter

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	0.00	-4,790.95	0.00
	MERRY OWNER	20 00 9678 1 05	-3,792.59	0.00	-3,792.59	0.00	0.00	560,907.09	0.00
	EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0.00	-124.95	0.00	0.00	-124.95	0.00
	MATIAS R TR AGY	54 00 0001 0 02	0.00	0.00	0.00	1,085.57	996,140.10	997,225.67	0.00
	MORGAN SJULIN "A"*	50 00 0214 1 00	0.00	0.00	0.00	34,821,903.55	2,620,340.22	128,149,672.19	-1,000.00
	DR TEST AGENCY	51 00 0215 0 05	32,368.58	-32,368.58	0.00	0.00	272,368.58	1,066,096.59	0.00
	NEWBRIDGE, LEX	50 00 0880 0 01	0.00	0.00	0.00	0.00	1,201,383.40	8,773,934.55	0.00
	DEBBIE SIMPSON AGY	50 00 1238 0 01	0.00	0.00	0.00	1,994,370.80	2,100,390.00	4,572,491.47	0.00
	DALLAS AREA FDN	65 00 4122 1 01	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	JIM BURGER AGY	50 00 4520 3 02	432,869.29	-432,869.29	0.00	0.00	433,234.29	433,234.29	0.00
	GEORGE BAKER IRA	69 00 4521 0 04	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	CORY WHITLOCK IMA	30 00 7894 0 00	12,273.89	-12,273.89	0.00	0.00	1,012,473.89	1,012,473.89	0.00
	BOB RETIRED IRA	69 00 9689 1 00	0.00	0.00	0.00	0.00	487,984.60	807,098.00	0.00
	AMELIA LIRA TRUST	20 00 1104 1 01	3,732.78	-3,732.78	0.00	0.00	38,630.80	132,516.56	0.00

Can use Report Filters to quantify your report. For example, you only want to see accounts with a net negative cash balance>choose net cash as the Column to Filter and change your Filter Type to less than 0, then choose Apply Filter.



# CFO – INQUIRY

FIS CHARLOTTE Pop-up-Off ALERT Customize Site Map Refresh Print Exit Help About Last Login 09/30/2019 9:29 AM

All Permitted Accounts

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

## ACCOUNT BALANCES (PROJECTED)

Report Created: 9/30/2019 9:29:33 AM  
Previous Close Date: 9/27/2019

Export to Excel  
Related Documents  
Quick Print

Report Filters  
Column to filter: [-None-] Filter type: [-None-] Apply Filter Remove Filter

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash Sweep Principal	Estimated Market Value	Pending Activity Net ▲
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000,000.00	53,278,405.02	-107,501.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	0.00	-13,000.00	-500.00
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	0.00	10,317.26	0.00
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	0.00	-10,000.00	0.00
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	0.00	-4,790.95	0.00
	MERRY OWNER	20 00 9678 1 05	-3,792.59	0.00	-3,792.59	0.00	0.00	560,907.09	0.00
	EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0.00	-124.95	0.00	0.00	-124.95	0.00
	MATIAS R TR AGY	54 00 0001 0 02	0.00	0.00	0.00	1,085.57	996,140.10	997,225.67	0.00
	MORGAN SJULIN "A"*	50 00 0214 1 00	0.00	0.00	0.00	34,821,903.55	2,620,340.22	128,149,672.19	-1,000.00
	DR TEST AGENCY	51 00 0215 0 05	32,368.58	-32,368.58	0.00	0.00	272,368.58	1,066,096.59	0.00
	NEWBRIDGE, LEX	50 00 0880 0 01	0.00	0.00	0.00	0.00	1,201,383.40	8,773,934.55	0.00
	DEBBIE SIMPSON AGY	50 00 1238 0 01	0.00	0.00	0.00	1,994,370.80	2,100,390.00	4,572,491.47	0.00
	DALLAS AREA FDN	65 00 4122 1 01	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	JIM BURGER AGY	50 00 4520 3 02	432,869.29	-432,869.29	0.00	0.00	433,234.29	433,234.29	0.00
	GEORGE BAKER IRA	69 00 4521 0 04	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	CORY WHITLOCK IMA	30 00 7894 0 00	12,273.89	-12,273.89	0.00	0.00	1,012,473.89	1,012,473.89	0.00
	BOB RETIRED IRA	69 00 9689 1 00	0.00	0.00	0.00	0.00	487,984.60	807,098.00	0.00
	AMELIA LIRA TRUST	20 00 1104 1 01	3,732.78	-3,732.78	0.00	0.00	38,630.80	132,516.56	0.00

100%

Change to projected positions or beginning of day positions by going to My Settings>Personal Settings>Report Versions>Beginning of Day or Projected.

# CFO – INQUIRY

The screenshot displays the CFO Inquiry software interface. At the top, there is a navigation bar with options like 'Reports', 'Daily Processing', 'Security Processing', 'Process Management', 'Tables', 'My Settings', 'System', and 'Favorites'. A dropdown menu is set to 'All Permitted Accounts'. Below this, the main heading is 'ACCOUNT BALANCES (PROJECTED)'. On the left, there are links for 'Export to Excel', 'Related Documents', and 'Quick Print'. Below these are 'Report Filters' with dropdowns for 'Column to filter' and 'Filter type', both currently set to '-None-'. The main area contains a table of account balances. On the right, there is a 'Filter Type Selection' panel with radio buttons for 'Accounts', 'Securities', and 'Name & Address'. Below this is an 'Account Selection' panel with an 'Enter Single Account' field and an 'Add' button. There are also sections for 'Select From Saved Account List' (with a dropdown set to '--All Permitted Accounts--' and a 'Select Group' button) and 'Select From Saved Filter List' (with a dropdown set to '\*\*\* No Filter Applied \*\*\*' and a 'Select Filter' button). At the bottom of the filter panels are 'Add to Selected', 'Apply', 'Remove', and 'Remove All' buttons. A 'Selected List' panel at the bottom right shows a list of account numbers: 000001, 000214, 000215, 000224, 000412, 000528, 000880, 000902, 000917, and 001104.

Reports	Account Name	Account Number	Income Cash	Principal Cash	Net Cash ▲	Cash Sweep Income	Cash S Pri
	DEBBIE SIMPSON IRA*	14 00 1235 0 04	4,744,036.77	-6,964,711.83	-2,220,675.06	0.00	5,000.00
	CORY WHITLOCK IRA*	69 00 7895 0 00	0.00	-13,000.00	-13,000.00	0.00	
	ETHAN O IRA	69 00 0528 1 03	1,224.25	-12,531.49	-11,307.24	0.00	
	IRA TAX W/H A/C	80 00 9902 0 01	0.00	-10,000.00	-10,000.00	0.00	
	MISC SUSPENSE	80 00 1111 0 01	-4,217.00	-573.95	-4,790.95	0.00	
	MERRY OWNER	20 00 9678 1 05	-3,792.59	0.00	-3,792.59	0.00	
	EMMA SKYLLINGSTAD	14 00 0224 2 04	-124.95	0.00	-124.95	0.00	
	MATIAS R TR AGY	54 00 0001 0 02	0.00	0.00	0.00	1,085.57	996.00
	MORGAN SJULIN "A"*	50 00 0214 1 00	0.00	0.00	0.00	34,821,903.55	2,620.00
	DR TEST AGENCY	51 00 0215 0 05	32,368.58	-32,368.58	0.00	0.00	272.00
	NEWBRIDGE, LEX	50 00 0880 0 01	0.00	0.00	0.00	0.00	1,201.00
	DEBBIE SIMPSON AGY	50 00 1238 0 01	0.00	0.00	0.00	1,994,370.80	2,100.00
	DALLAS AREA FDN	65 00 4122 1 01	0.00	0.00	0.00	0.00	
	JIM BURGER AGY	50 00 4520 3 02	432,869.29	-432,869.29	0.00	0.00	433.00
	GEORGE BAKER IRA	69 00 4521 0 04	0.00	0.00	0.00	0.00	
	CORY WHITLOCK IMA	30 00 7894 0 00	12,273.89	-12,273.89	0.00	0.00	1,012.00
	BOB RETIRED IRA	69 00 9689 1 00	0.00	0.00	0.00	0.00	487.00
	AMELIA LIRA TRUST	20 00 1104 1 01	3,732.78	-3,732.78	0.00	0.00	38.00

Filtering is a way to choose what accounts are on your report. You can filter using a saved Account List, a saved Filter List or by picking individual accounts.

1. Remove All
2. Choose a group, a filter or pick each account and add to selected.
3. Click Apply.

# CFO – INQUIRY

## Creating Account Lists/Filters

### My Settings>List Manager>Account Selection

The screenshot shows the 'Account Selection' interface. At the top, there are two dropdown menus: 'Account List' with the value '\*\*\*NEW Account List\*\*\*' and 'Apply Filter' with the value '\*\*\* No Filter Applied \*\*\*'. To the right of the 'Apply Filter' dropdown is a blue button labeled 'Filters...'. Below these is a 'Find' text input field with a blue 'Find' button to its right. Underneath is the text 'Available Permitted Accounts: 0' followed by a blue 'Select' button. A large empty rectangular box represents the list of available accounts. Below this box, it says 'Current Account Selections: 29' with a blue 'Remove' button and a blue 'Remove All' button. A scrollable list of 29 account entries is shown, each with an account number and name. The entries are: 000001 MATIAS MATIAS R TR AGY, 000214 SJULINMORG MORGAN SJULIN "A", 000215 NT DR TEST AGENCY, 000224 EMMA SKYLLINGSTAD, 000412 DAF DALLAS AREA FON CTF, 000528 ETHANOIRA ETHAN O IRA, 000880 NEWBRIDGEL NEWBRIDGE, LEX, and 000902 BAYNARDLC LC BAYNARD IRA. At the bottom, there is a 'Save As' text input field containing 'New Account List', and three buttons: 'Delete', 'Save New List', and 'Apply'.

Account List: \*\*\*NEW Account List\*\*\*

Apply Filter: \*\*\* No Filter Applied \*\*\* Filters...

Find: Find

Available Permitted Accounts: 0 Select

Current Account Selections: 29 Remove Remove All

000001 MATIAS MATIAS R TR AGY  
000214 SJULINMORG MORGAN SJULIN "A"  
000215 NT DR TEST AGENCY  
000224 EMMA SKYLLINGSTAD  
000412 DAF DALLAS AREA FON CTF  
000528 ETHANOIRA ETHAN O IRA  
000880 NEWBRIDGEL NEWBRIDGE, LEX  
000902 BAYNARDLC LC BAYNARD IRA

Save As: New Account List

Delete Save New List Apply

An Account List is useful when you have a specific group of accounts, for which you frequently run reports. Account Lists are set up by entering individual account #'s.

An Account Filter is an account group that is defined by specific coding in the account master (Branch, A/C Type, Administrative Officer, Investment Officer, Discretion)

# CFO – INQUIRY

Account List

Apply Filter

Find

Available Permitted Accounts: 0

Current Account Selections: 29

000001	MATIAS MATIAS R TR AGY
000214	SJULINMORG MORGAN SJULIN "A"
000215	NT DR TEST AGENCY
000224	EMMA SKYLLINGSTAD
000412	DAF DALLAS AREA FON CTF
000528	ETHANOIRA ETHAN O IRA
000880	NEWBRIDGEL NEWBRIDGE, LEX
000902	BAYNARDLC LC BAYNARD IRA

Save As

To create an **Account List**, first you will click remove all. Then either click on the account you want to add and click select, or type in the account # in the find box and click find and then select. Once all accounts have been chosen, type a unique name in the Save As Box and click Save New List. If you want to use the list immediately, click Apply.

# CFO – INQUIRY

The screenshot shows the 'Account Filter' creation process in the CFO Inquiry system. It is divided into two main sections: 'Account List' and 'Account Filters'.

**Account List Section:**

- Account List:** A dropdown menu showing '\*\*\*NEW Account List\*\*\*'.
- Apply Filter:** A dropdown menu showing '\*\*\* No Filter Applied \*\*\*' and a 'Filters...' button.
- Find:** A search input field with a 'Find' button.
- Available Permitted Accounts:** A section showing '0' available accounts with a 'Select' button.
- Current Account Selections:** A list of 29 accounts, including: 000001 MATIAS MATIAS R TR AGY, 000214 SJULINMORG MORGAN SJULI, 000215 NT DR TEST AGENCY, 000224 EMMA SKYLLINGSTAD, 000412 DAF DALLAS AREA FON CTF, 000528 ETHANOIRA ETHAN O IRA, 000880 NEWBRIDGEL NEWBRIDGE, L, and 000902 BAYNARDLC LC BAYNARD IRA.
- Save As:** A text field containing 'New Account List'.
- Buttons:** 'Delete' and 'Save New List'.

**Account Filters Section:**

- Account Filters:** A dropdown menu showing '\*\*\* Create New Filter \*\*\*'.
- Branches:** A tabbed interface with 'Branches' selected. Other tabs include 'Account Types', 'Administrative Officers', 'Investment Officers', and 'Discretions'.
- Find:** A search input field with a 'Find' button.
- Available Choices:** A section showing '0' available choices with a 'Select' button.
- Current Selections:** A list of 102 selections, including: 00 - NORTH CAROLINA, 01 - AUSTIN, 02 - NEW YORK, 03 -, 04 -, 05 -, 06 -, and 07 -.
- Buttons:** 'Remove' and 'Remove All'.
- Save As:** A text field containing 'New Account Filter'.
- Buttons:** 'Delete', 'Save', and 'Close'.

To create an **Account Filter**, click on Filters, which will launch the Account Filters menu.

Click on the type of filter you want to establish, then click Remove All. Click on your desired choice(s) and click select. Type a unique name in the Save As Box and click Save.

# CFO – INQUIRY

## Running a Consolidated Report

**FIS CHARLOTTE** 54 00 0001 0 02-MATIAS R TR AGY Pop-up-Off ALERT Customize Site Map Refresh Print Exit Help About Last Login 09/30/2019 7:38 PM

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

### ASSET DETAILS (PROJECTED)

Acct Name: Consolidated Accounts **29 Accounts Included...**

Report Created: 9/30/2019 7:38:03 PM  
Previous Close Date: 9/27/2019  
\* Indicates changed from beginning of day

Export to Excel Related Documents Quick Print

Report Filters  
Column to filter: -None- Filter type: -None-

Apply Filter Remove Filter

Page 1 of 2 1 2 Go To Page: 1 1 Go

Reports	Security Name	Shares/Par	Average Unit Cost	Cost	Unit Market	Market Value	Portfolio % @ Market	Est Annual Income	Yield at Market	Unrealized G/L	Re De
	<b>Cash</b>										
	Income Cash *			6,993,549.07		6,993,549.07	3.04				
	Principal Cash *			3,437,179.45		3,437,179.45	1.49				
	<b>Total Cash</b>			<b>10,430,728.52</b>		<b>10,430,728.52</b>	<b>4.53</b>				
	<b>CASH EQUIVALENTS</b>										
	AIM MONEY MARKET	100,000.0000	1.00	100,000.00	0	100,000.00	0.04	0.00	0.00	0.00	
	AIM PREMIER	181,250.0000	1.00	181,250.00	0	181,250.00	0.08	0.00	0.00	0.00	
	AIM TREAS C.M. IC	68,752.9600	1.00	68,752.96	0	68,752.96	0.03	1,894.14	2.76	0.00	
	AIM TREAS C.M. PC	246,164.3500	0.82	201,225.79	0	201,225.79	0.09	6,781.83	2.76	0.00	
	FED PRIME OBLIG SS	11,506,862.1700	1.39	16,026,054.81	0	16,026,054.81	6.96	0.00	0.00	0.00	
	FED PRIME OBLIGATION	38,817,359.9200	1.00	38,817,359.92	0	38,817,359.92	16.85	0.00	0.00	0.00	
	<b>Total CASH EQUIVALENTS</b>			<b>55,394,643.48</b>		<b>55,394,643.48</b>	<b>24.04</b>	<b>8,675.97</b>		<b>0.00</b>	
	<b>FIXED INCOME SECURITIES</b>										
	PATTON NOTE	1.0000	460,000.00	460,000.00	477,730.67	477,730.67	0.21	0.10	0.00	17,730.67	
	US TNOTE 8%	1,050,000.0000	81.00	850,001.00	104.5	1,097,250.00	0.48	84,000.00	7.66	247,249.00	
	WAL-MART 4.375%	20,000.0000	106.60	21,321.00	100	20,000.00	0.01	875.00	4.38	-1,321.00	
	<b>Total FIXED INCOME SECURITIES</b>			<b>1,331,322.00</b>		<b>1,594,980.67</b>	<b>0.69</b>	<b>84,875.10</b>		<b>263,658.67</b>	
	<b>ALTERNATIVES</b>										
	DALLAS AREA FUND	0.0000	0.00	0.00	0.000000	0.00	0.00	0.00	0.00	0.00	

Choose customize, and click on Display Selected Accounts in a Consolidated Account.

Consolidated Reporting

Display Selected Accounts Individually

Display Selected Accounts in a Consolidated Report

# CFO – Saved Reports

**CUSTOMIZE - TRANSACTION HISTORY**

Saved Report Options

Report Name

Public  
 Private

Content

Available Fields:

- Transaction Source Code
- Suppressed Ind
- Cumulative Amortized Bond Premium
- Amortized Acquisition Premium
- Accrued Mkt Discount
- Deferred Market Discount
- Accrued OID
- Purchase Condition
- Adjusted Basis Date
- Amortize Bond Premium Taxable Debt
- Mkt Disc Comp Method
- Recognition of Mkt Disc

Selected Fields:

- Description Block
- Posting Date
- CUSIP Number
- Shares/Par Change
- Income Cash
- Principal Cash
- Investment Cost Basis
- Inventory

\*\*When you save a customized report don't forget to give it a unique name.

# CFO – Saved Reports

Reports | Daily Processing | Security Processing | Process Management | Tables | My Settings | System | Favorites

Dashboard | Account | Activity | Assets | Automatic File Search (AFS) | Fee Management Reporting | System Processing Reports

[Export to Excel](#)

Delete Selected Rows

Select All	Form ID	Type	Template Authority	Owner ID	Last Updated Date
<input type="checkbox"/>	24	Transaction History	Public	DSIMPSON	2015-11-25 12:30:04
<input type="checkbox"/>	22	Transaction History(FIS)	Public	DSIMPSON	2015-11-25 12:29:38
<input type="checkbox"/>	31	Transaction History Free Receives(YAVONDA)			2016-01-15 08:45:10
<input type="checkbox"/>	33	Daily Transaction History(yavonda)			2015-11-25 12:45:53
<input type="checkbox"/>	35	Daily Transaction History(yavonda)			2015-11-25 12:54:03
<input type="checkbox"/>	37	Daily Transaction History(yavonda)			2015-11-25 12:59:33
<input type="checkbox"/>	39	Latest Transaction History(YAVONDA)			2015-11-25 13:01:10
<input type="checkbox"/>	41	Daily Transaction History(yavonda)			2015-11-25 13:01:10
<input type="checkbox"/>	43	Transaction History(BARBEE)			2016-01-15 14:39:15
<input type="checkbox"/>		Latest Transactions Processing	Public	DSIMPSON	2015-11-25 13:08:48

My Settings | System | Favorites

Personal Settings | List Management

Change Password

Manage Saved Reports



# CFO – Saved Reports

**MANAGE SAVED REPORTS**

List All Reports  List My Reports

Select one or more reports to delete.

- Account Balances yavonda (YAVONDA)
- Relationships Statements (YAVONDA)
- Account Balances Daily Cash (yavonda)
- Dashboard Radford (yavonda)
- Relationships Statements (yavonda)
- Pending Activity Detail Free Recieves (yavonda)
- Asset Details CONSOLIDATED (yavonda)
- Transaction History Free Receives (YAVONDA)
- Daily Transaction History (yavonda)
- Daily Overdrafts and Large Balances (yavonda)
- Daily Transaction History (yavonda)
- Daily Transaction History (yavonda)
- Daily Overdraft and Large Balances (yavonda)
- Daily Pending Disbursements Report (yavonda)
- Daily Transaction History (yavonda)
- J Admin Dashboard (yavonda)
- Dashboard J Admin (yavonda)
- Asset Details Warren (yavonda)

**Delete Selected Reports**

Mark report(s) to delete, and then click  
Delete Selected Reports

# CFO – Saved Reports

PUBLIC/PRIVATE REPORTS						
<input type="checkbox"/> Delete <input type="checkbox"/> Reassign <input type="checkbox"/> Mark All <input type="checkbox"/> UnMark All <input type="checkbox"/> Expand <input type="checkbox"/> Collapse						
User Scope: <input type="text" value="Baynard, Yavonda"/> <input type="button" value="v"/>						
<input type="checkbox"/>	Report Name	Application	Report Type	Owner	Scope	Last Update
<input type="checkbox"/>	Accounts by Admin with Total Market Value	AFS	Accounts	Baynard, Yavonda	Public	
<input type="checkbox"/>	Conference - Mail Merge	AFS	Accounts	Baynard, Yavonda	Public	
<input type="checkbox"/>	YKB Saved Reports	AFS	Accounts	Baynard, Yavonda	Public	
<input type="checkbox"/>	Securities	AFS	Securities	Baynard, Yavonda	Public	
<input type="checkbox"/>	all transactions	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	cash deposits/distributions	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	Dividend History	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	security deposits/distributions	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	Transaction History	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	Transaction History for broadridge	AFS	Transaction History	Baynard, Yavonda	Public	
<input type="checkbox"/>	Account Balances Daily Cash	Inquiry	Account Balances	Baynard, Yavonda	Private	
<input type="checkbox"/>	Account Balances INV	Inquiry	Account Balances	Baynard, Yavonda	Private	
<input type="checkbox"/>	Account Balances yavonda	Inquiry	Account Balances	Baynard, Yavonda	Private	
<input type="checkbox"/>	Kelsey	Inquiry	Account Balances	Baynard, Yavonda	Private	
<input type="checkbox"/>	Yavonda	Inquiry	Account Balances	Baynard, Yavonda	Private	
<input type="checkbox"/>	Asset Details CONSOLIDATED	Inquiry	Asset Details Report	Baynard, Yavonda	Private	

- System
- Favorites
- Administration (Security)
- Account Groups
- Charlotte Setup
- Function Groups
- Global Preferences
- Holiday Schedule
- Login History
- Password Maintenance
- Public/Private Reports
- Table Maintenance Groups
- Transaction Posting Groups
- Users



Reports can be deleted or reassigned in Public/Private Reports

# CFO – INQUIRY

## Save as a Favorite

**FIS CHARLOTTE** Pop-up-Off **ALERT** Customize Site Map Refresh Print Exit Help About Last Login 09/30/2019 7:42 PM

54 00 0001 0 02-MATIAS R TR AGY

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

### TRANSACTION HISTORY (PROJECTED)

Acct Name: ROWENA MATIAS REVOCABLE TRUST AGENCY LONE STAR NATIONAL BANK AS AGENT FOR JACKIE VILLANUEVA AND NANCY GARZA DTD 5/1/18  
Acct No: [54 00 0001 0 02](#)  
[Export to Excel](#)  
[Related Documents](#)  
[Quick Print](#)

Report Created: 09/30/2019 7:42 PM  
Previous Close Date: 09/27/2019  
Report Type: Includes Projected Activity  
Reporting Period: 08/27/2019 to 09/30/2019

Edit	Reports	Description Block	Posting Date	CUSIP #	Shares/Par Change	Income Cash	Principal Cash	Investment Cost Basis	Inventory
------	---------	-------------------	--------------	---------	-------------------	-------------	----------------	-----------------------	-----------

[Remove from Favorite Activities](#) [Rename](#)

- [Mainframe Processing Reports](#)
- [Asset Details](#)
- [Create New AFS Report](#)
- [New AFS Report](#)
- [Open AFS Reports](#)
- [Overdrafts and Large Balances](#)

# CFO – PREFERENCES

**PREFERENCES**

**Apply** **Cancel**

---

**REPORTS OPTIONS**

**Account Selection Sort:**

- Sort sub-accounts with main accounts
- Do not sort sub-accounts with main accounts

**Account Selection:**

- Account Number
- Account Name
- Account Number and Name

**Account Status Filter:**

- Active
- Blocked
- Closed/Saved

**Holders List Security Selection:**

- CUSIP
- Security Short Name
- Ticker

**Holders List Security Selection Sort:**

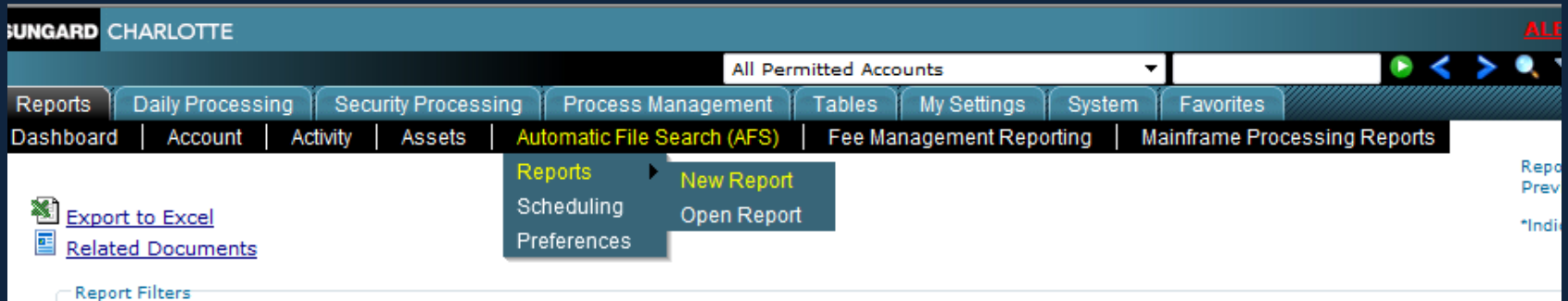
- Sort by CUSIP
- Sort by Security Short Name
- Sort by Ticker

Each user should set their own preferences. (my settings>personal settings>preferences) This is also where you choose what report should launch when you sign on.

# CFO – AFS

- Data extracted may be viewed on the screen, exported to Excel or exported to a PDF file.
- Reports may be scheduled to run during the overnight process and emailed to one or more recipients.

# CFO –AFS



To get started, go to Reports > **Automatic File Search** > Reports > New Report

# CFO – AFS



*Helpful hint – add this screen to your favorites & rename it to New AFS report.*

**NEW REPORT REQUEST DEFINITION**

Template Type

- Accounts
- Securities
- Latest Transactions Processing
- Transaction History
- Tax Lot Holdings Detail
- Tax Lot Holdings Summary
- Names & Addresses
- Pending Activity
- As Of Reports

Ok

Once you've selected New Report, the new report request definition screen will launch. You have 9 templates to choose from.

# CFO –AFS

## Getting Started

9 templates

- **Accounts**  
Reports on Account Synoptic fields
- **Securities**  
Reports on Master Security fields
- **Latest Transactions Processing**  
Reports on transactions posted during last processing
- **Transaction History**  
Reports on full transaction history file.
- **Tax Lot Holdings Detail**  
Reports on individual tax lots within accounts
- **Tax Lot Holdings Summary**  
Reports on holdings within accounts
- **Names & Addresses**  
Reports on fields contained in central Name & Address file
- **Pending Activity**  
Reports on Pending Trades, Pending Items, Pending Fees, Pending Trust and Pension Disbursements, Pending Consolidated Disbursement Payee Checks & Pending Consolidated Disbursement Payer Account information.
- **As of Reports**  
Account - Reports on total value of Accounts as of a date in the past  
Holders – Reports on accounts that held a Security as of a date in the past



# CFO – AFS

ALERT

All Permitted Accounts

Process Management Tables My Settings System Favorites

## REPORT DEFINITION:ACCOUNTS

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

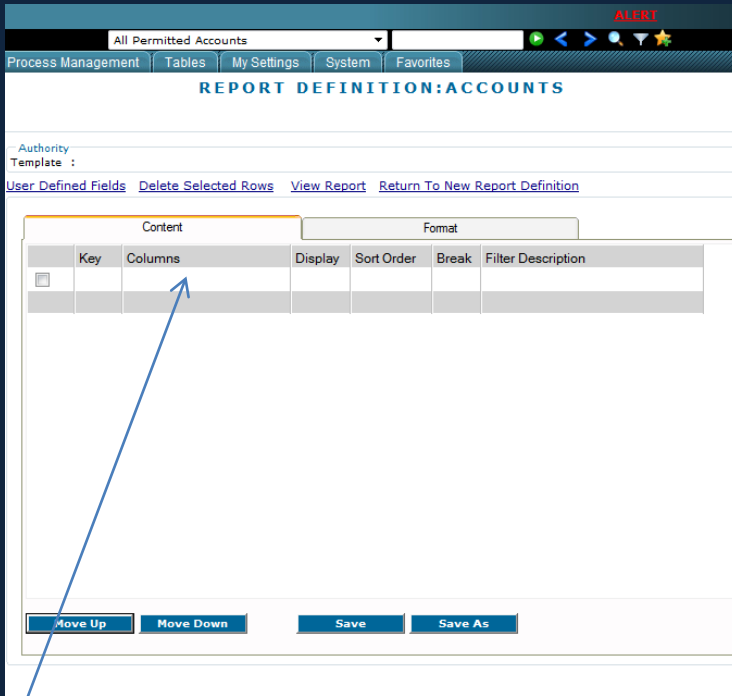
Content Format

Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>					

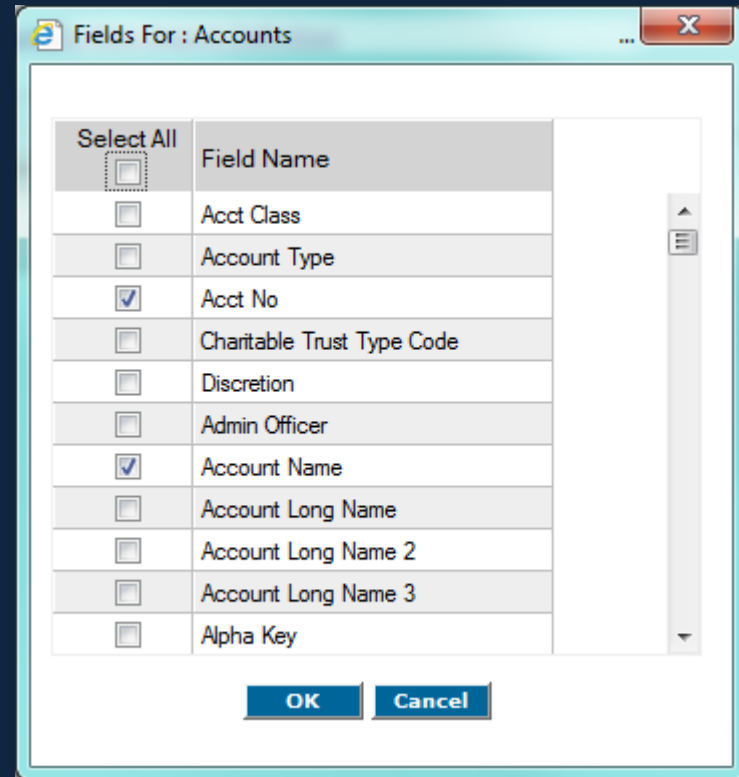
Move Up Move Down Save Save As

Content – List of fields available for selection to include in your report.  
Format – Gives you various options for formatting the finished report.

# CFO – AFS



Double click under Columns to get list of fields to include on report.



# CFO – AFS

**REPORT DEFINITION:ACCOUNTS**

Authority  
emplate :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content      Format

	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Acct No	Yes	Ascending		Any
<input checked="" type="checkbox"/>		Admin Officer	Yes			Any
<input type="checkbox"/>		Account Name	Yes			Any
<input type="checkbox"/>		Total Account Market Value	Yes			Any

To change the order of your columns mark the field you want to move and click move up or move down

# CFO – AFS

## REPORT DEFINITION:ACCOUNTS

Authority  
Template :  
[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content		Format				
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Admin Officer	Yes	Ascending	Yes	Any
<input type="checkbox"/>		Total Account Market Value	Yes	Descending		Any
<input type="checkbox"/>	🔑	Acct No	Yes			Any
<input type="checkbox"/>		Account Name	Yes			Any

Click View report to see the report

To subtotal, click under the column heading break. (yes = subtotal)

To change how the columns are sorted, click under sort order. Your choices are ascending or descending.

Move Up

Move Down

Save

Save As

# CFO – AFS

## ACCOUNTS

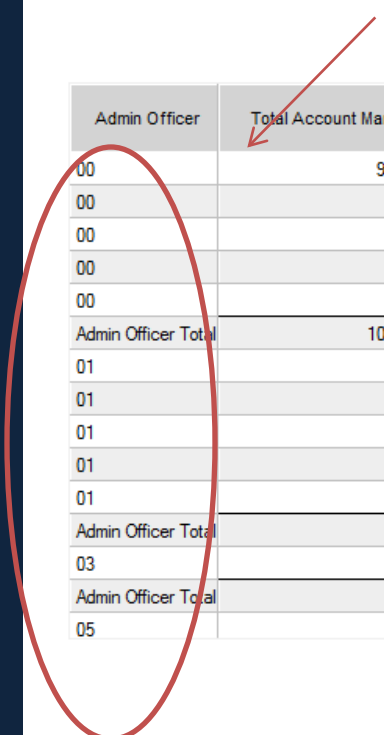
[Export to Excel](#)

[Export to PDF](#)

Click and drag columns to desired width.

[Return To Open AFS Reports](#)

[Return To Report Definition](#)



Admin Officer	Total Account Market Value	Acct No	Account Name
00	92,820,644.84	000214	MORGAN SJULIN
00	5,506,710.77	001234	TEST BRANCH
00	1,835,578.03	009654	JOHN ACCOUNTHOLDER
00	293,219.00	009689	BOB RETIRED IRA
00	-687.56	009632	G. BANK FOUNDATION
Admin Officer Total	100,455,465.08		
01	122,566.85	001104	AMELIA LIRA TRUST
01	500.00	102785	AWAVES
01	0.00	009902	IRA TAX W/H A/C
01	-2,333.24	001111	MISC SUSPENSE
01	-3,457.58	000880	NEWBRIDGE, LEX
Admin Officer Total	117,276.03		
03	27,293.51	000528	ETHAN O IRA
Admin Officer Total	27,293.51		
05	581,338.69	009678	MERRY OWNER

Notice the Admin officer is showing the code. You can show the name by filtering.

# CFO – AFS

Authority  
Template :

[Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content		Format			
Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>	Admin Officer	Yes	Ascending	Yes	Any
<input type="checkbox"/>	Total Account Market Value	Yes	Descending		Any
<input type="checkbox"/>	Acct No	Yes			Any
<input type="checkbox"/>	Account Name	Yes			Any

To show the description rather than the code, double click under filter

Admin Officer -- Webpage Dialog

Admin Officer	Admin Officer Desc
<input type="checkbox"/> 00	J. ADMIN
<input type="checkbox"/> 01	BATES
<input type="checkbox"/> 02	SMITH
<input type="checkbox"/> 03	RADFORD
<input type="checkbox"/> 04	SJULIN
<input type="checkbox"/> 05	LIRA
<input type="checkbox"/> 06	S ECKER
<input type="checkbox"/> 07	
<input type="checkbox"/> 08	
<input type="checkbox"/> 09	
<input type="checkbox"/> 0A	
<input type="checkbox"/> 0B	
<input type="checkbox"/> 0C	

Include Options

- All
- Any
- None
- Specific
- Exclude

Sort Options

- Admin Officer
- Admin Officer Desc

Display Options

- Show Code
- Show Description

Ok Cancel

Choose Show Description

# CFO –AFS

essing | Process Management | Tables | My Settings | System | Favorites

## REPORT DEFINITION:ACCOUNTS

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) | [Delete Selected Rows](#) | [View Report](#) | [Return To New Report Definition](#)

Content | Format

Set Up | Heading | Footer | Columns | Break Totals

Orientation

Portrait

Landscape

Options

Suppress Detail Lines

Save | Save As

If you suppress detail lines, you will only see your subtotal lines & grand total lines

# CFO –AFS

## Formatting the report

- Suppressed Detail Lines

Admin Officer Desc	Total Account Market Value
J. ADMIN	100,455,465.08
	100,455,465.08
BATES	117,276.03
	117,276.03
RADFORD	27,293.51
	27,293.51
LIRA	581,338.69
	581,338.69
	101,181,373.31



# CFO – AFS

Process Management | Tables | My Settings | System | Favorites

## REPORT DEFINITION: ACCOUNTS

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) | [Delete Selected Rows](#) | [View Report](#) | [Return To New Report Definition](#)

Content | Format

Set Up | **Heading** | Footer | Columns | Break Totals

Text

Accounts with Total Market Value by Administrator

Left  
 Right  
 Center

**Save** | **Save As**

# CFO – AFS

## Accounts with Total Market Value by Administrator

<u>Admin Officer Desc</u>	<u>Total Account Market Value</u>
BATES	117,276.03
J. ADMIN	100,455,465.08
LIRA	581,338.69
RADFORD	27,293.51
Grand Total: (4)	101,181,373.31

# CFO –AFS

## Formatting the report

**REPORT DEFINITION:ACCOUNTS**

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content      Format

Set Up    Heading    Footer    Columns    Break Totals

Text

Attach to Monthly Trust Committee Package

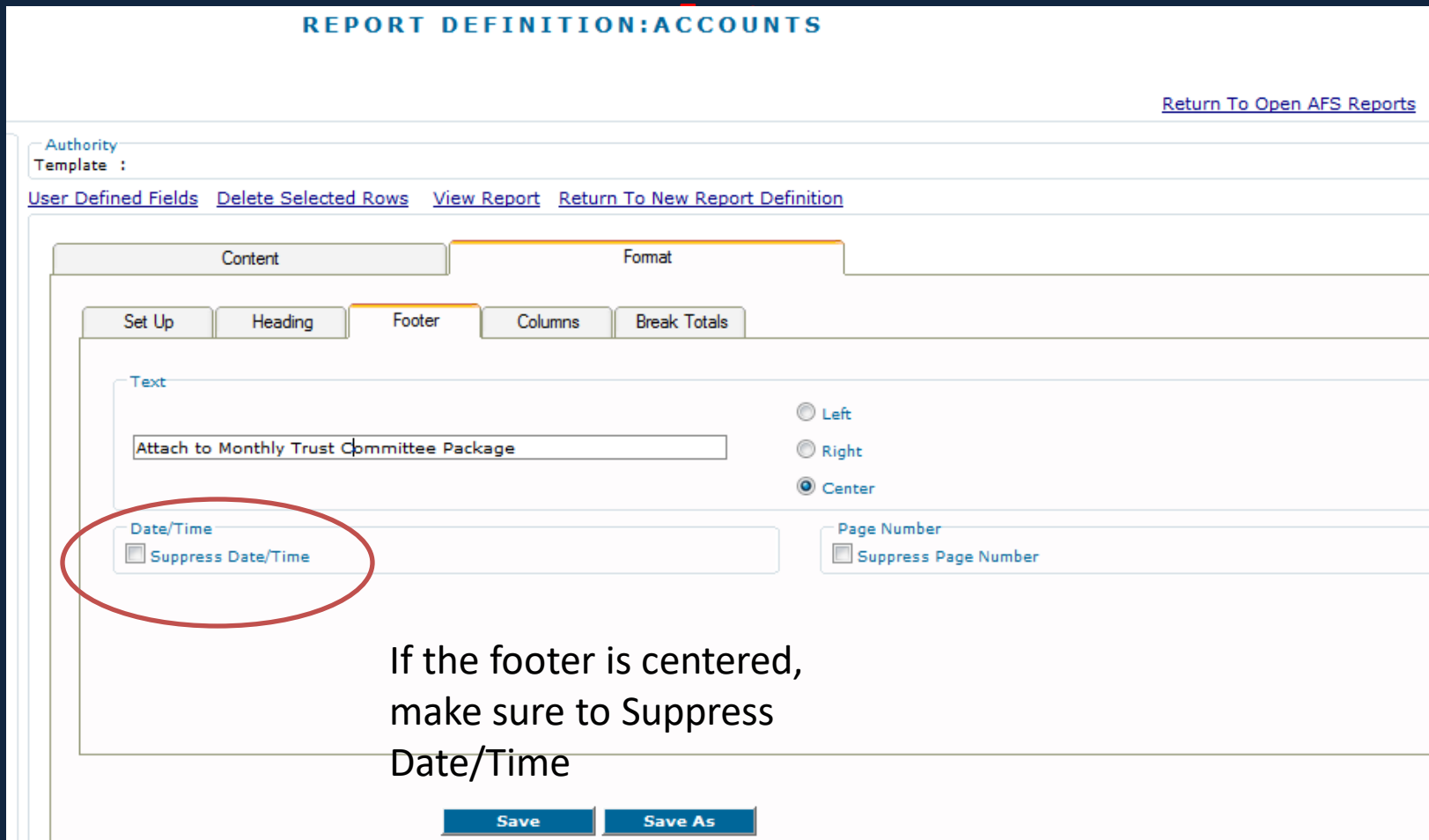
Left  
 Right  
 Center

Date/Time  
 Suppress Date/Time

Page Number  
 Suppress Page Number

If the footer is centered,  
make sure to Suppress  
Date/Time

Save    Save As



# CFO – AFS

## Footer

Accounts with Total Market Value by Administrator

<u>Admin Officer Desc</u>	<u>Total Account Market Value</u>
BATES	117,276.03
J. ADMIN	100,465,465.08
LIRA	581,338.69
RADFORD	27,293.51
Grand Total: (4)	101,181,373.31

# CFO –AFS

## Formatting the report

### Columns

Process Management Tables My Settings System Favorites

**REPORT DEFINITION:ACCOUNTS**

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content **Format**

Set Up Heading Footer **Columns** Break Totals

Column Heading Text

Original :   
Admin Officer Desc  
Total Account Market Value  
Acct No

New :


Left  
 Right  
 Center

Column Options

Display Column  
 Display Total  
 Page Break  
 Control Break

**Save** **Save As**

Can change name of each column heading.

 *Helpful Hint: When running reports by administrator, it can be helpful to enter a page break.*

# CFO – AFS

## Columns

Accounts with Total Market Value by Administrator

Trust Officer	Total Account Market Value
BATES	117,276.03
J. ADMIN	100,455,465.08
LIRA	581,338.09
RADFORD	27,293.51
Grand Total: (4)	101,181,373.31

Changed column heading to Trust Officer

TRUST MANAGEMENT NETWORK DEMO      Attach to Monthly Trust Committee Package      Page 1

# CFO – Inquiry & AFS

## Break Totals

Process Management | Tables | My Settings | System | Favorites

Processing | Authorization | Forms Designer | DEFINITION:ACCOUNTS

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) | [Delete Selected Rows](#) | [View Report](#) | [Return To New Report Definition](#)

Content | Format

Set Up | Heading | Footer | Columns | Break Totals

Total Line

Text:

New:

Options

Suppress Item Count

Suppress Total Line

# CFO – AFS

## Break Totals

Accounts with Total Market Value by Administrator

Trust Officer	Total Account Market Value
BATES	117,276.03
J. ADMIN	100,455,465.08
LIRA	581,338.89
RADFORD	27,293.51
Total Department Market Value (4)	101,181,373.31

↑  
Changed grand total to Total  
Department Market Value.



# CFO –AFS Exporting

Reports | Daily Processing | Security Processing | Process Management | Tables | My Settings | System | Favorites

Dashboard | Account | Activity | Assets | Automatic File Search (AFS) | Fee Management Reporting | Mainframe Processing Reports

### ACCOUNTS WITH TOTAL MARKET VALUE BY ADMINISTRATOR

[Export to Excel](#)  
[Export to PDF](#)

[Return To Open AFS Reports](#)  
[Return To Report Definition](#)

Trust Officer	Total Account Market Value
BATES	117,276.03
J. ADMIN	100,455,465.0
LIRA	581,338.69
RADFORD	27,293.51
Total Department Market Value (4)	101,181,373.3

Can Export to Excel or PDF

# CFO – AFS

The screenshot shows the Microsoft Excel interface with the following data in the spreadsheet:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	Trust Officer	Total Account Market Value													
2	BATES	117,276.03													
3	J. ADMIN	100,455,465.08													
4	LIRA	581,338.69													
5	RADFORD	27,293.51													
6	Total Department Market Value (4)	101,181,373.31													
7															
8															
9															
10															
11															
12															
13															
14															
15															
16															
17															
18															
19															
20															
21															
22															
23															
24															
25															
26															
27															
28															
29															

# CFO – AFS

## Accounts with Total Market Value by Administrator

<u>Trust Officer</u>	<u>Total Account Market Value</u>
BATES	117,276.03
J. ADMIN	100,455,465.08
LIRA	581,338.89
RADFORD	27,293.51
Total Department Market Value (4)	101,181,373.31

# CFO –AFS

## Save

Process Management | Tables | My Settings | System | Favorites  
Processing | Authorization | Forms Designer

### REPORT DEFINITION: ACCOUNTS

[Return To Open AFS Reports](#)

Authority  
Template :

[User Defined Fields](#) | [Delete Selected Rows](#) | [View Report](#) | [Return To New Report Definition](#)

Content		Format				
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Admin Officer	No		No	Any
<input type="checkbox"/>		Admin Officer Desc	Yes	Ascending	Yes	Any
<input type="checkbox"/>		Total Account Market Value	Yes	Descending	No	Any
<input type="checkbox"/>	🔑	Acct No	Yes	Ascending	No	Any
<input type="checkbox"/>		Account Name	Yes		No	Any

[Move Up](#) | [Move Down](#) | [Save](#) | [Save As](#)

Save will save the report with your current heading, Save As will give you a chance to name the report something different.

# CFO –AFS

## Schedule Email

SUNGARD CHARLOTTE ALERT Customize Site Map Refresh Exit Help

Reports Daily Processing Security Processing Process Management Tables My Settings System Favorites

Processing Authorization Forms Designer **REPORT**

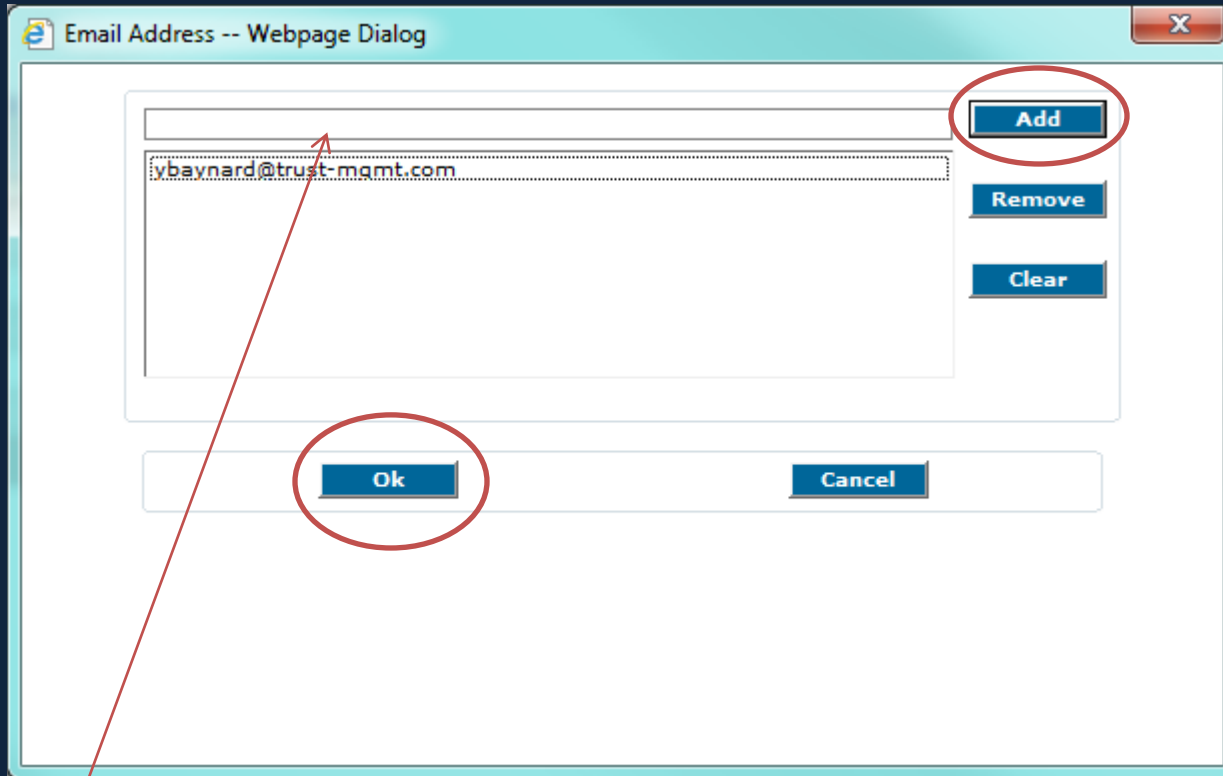
[Export to Excel](#)

[Delete](#) [Report Definition](#) [View Report](#) [Frequency](#)

Select One	Form ID	Title	Type	Template Authority	Owner ID	Last Updated Date	Last Run Date	Scheduled Output	Output Ready	Frequency	Output Location
<input type="checkbox"/>	16	Accounts with Total Market Value by Officer	Accounts	Public	YAVONDA	2013-02-05 17:27:15			n		
<input type="checkbox"/>	14	daily account report testing	Accounts	Public	YAVONDA	2013-01-24 15:36:09	2013-02-05 01:52:32	Email		Daily	ybaynard@t
<input type="checkbox"/>	11	Financial Ratings 1	Securities	Public	YAVONDA	2012-05-09 11:36:54	2013-01-19 11:51:25	Email			ybaynard@t
<input type="checkbox"/>	8	Last Year-End Market Values	Accounts	Public	YAVONDA	2010-11-06 11:23:23	2013-02-05 01:52:20	Email		Daily	ybaynard@t
<input type="checkbox"/>	5	Unrealized Gain/Loss report	Accounts	Public	YAVONDA	2012-02-08 12:40:33	2013-02-05 01:52:09	Email		Daily	ybaynard@t
<input type="checkbox"/>	13	Yavonda's Financial Ratings	Securities	Public	YAVONDA	2012-02-08 12:49:31	2013-02-05 01:52:27	Email		Daily	ybaynard@t

Right click on scheduled output and choose Email as PDF

# CFO –AFS



Enter email address and click Add.  
When finished entering all email addresses, click OK.



*Helpful Hint - Have your IT department set up a group email address to easily send to multiple recipients.*

# CFO –AFS

## Schedule Email

AFS REPORT

[Export to Excel](#)

Mark report & click frequency

Select One	Form ID	Title	Type	Template Authority	Owner ID	Last Updated Date	Last Run Date	Scheduled Output	Output Ready	Frequency	Output Location
<input checked="" type="checkbox"/>	16	Accounts with Total Market Value by Officer	Accounts	Public	YAVONDA	2013-02-05 17:27:15		Email as PDF	0		ybaynard@t
<input type="checkbox"/>	14	daily account report testing	Accounts	Public	YAVONDA	2013-01-24 15:36:09	2013-02-05 01:52:32	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	11	Financial Ratings 1	Securities	Public	YAVONDA	2012-05-09 11:36:54	2013-01-19 11:51:25	Email as PDF	0		ybaynard@t
<input type="checkbox"/>	8	Last Year-End Market Values	Accounts	Public	YAVONDA	2010-11-06 11:23:23	2013-02-05 01:52:20	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	5	Unrealized Gain/Loss report	Accounts	Public	YAVONDA	2012-02-08 12:40:33	2013-02-05 01:52:09	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	13	Yavonda's Financial Ratings	Securities	Public	YAVONDA	2012-02-08 12:49:31	2013-02-05 01:52:27	Email as PDF	1	Daily	ybaynard@t

AFS Frequency Options -- Webpage Dialog

**Recurrence Pattern**

Daily  
 **Weekly**  
 Monthly  
 Yearly  
 First Day, Monthly  
 Last Day, Monthly  
 Specific Date  
 None

Every  week(s) on:  
 Monday  Tuesday  Wednesday  
 Thursday  Friday

**Range of Recurrence**

Start:    
 No end date  
 End after:  occurrences  
 End by:

**Holiday Indicator**

Before Holiday/Weekend  After Holiday/Weekend

Choose recurrence, start & end dates, and choose if the report should run before holiday/weekend or after.

# CFO –AFS

- **User Defined Fields**

- Allows you to create formulas in your AFS report

- A separate column will be added to the report with the title assigned by you.
- Select from the list of available fields
- Select from the list of available functions
  - + Addition
  - \* Multiplication
  - - Subtraction
  - / Division
  - () Resolve this formula first if multiple functions



# CFO –AFS

## User Defined Fields

[Return To Open AFS Reports](#)


Authority

Template : PUBLIC

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content

Format

	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Admin Officer	No			Any
<input type="checkbox"/>		Admin Officer Desc	Yes	Ascending	Yes	Any
<input type="checkbox"/>		Acct No	Yes	Ascending		Any
<input type="checkbox"/>		Account Name	Yes			Any
<input type="checkbox"/>		Total Account Market Value	Yes	Descending		Any
<input type="checkbox"/>		Total Holdings Cost	Yes			Any

# CFO –AFS

## User Defined Fields

The screenshot displays the 'Select Fields' dialog box for defining a user-defined field. The dialog is titled 'USER DEFINED FIELD' and contains a list of fields on the left, a formula editor on the right, and a 'Formula Title' dialog box in the foreground.

**Select Fields Dialog:**

- Fields list: Last Y/E Acct Mkt Value Total, Income Cash, Principal Cash, Total Cash, **Total Holdings Cost**, Total Holdings Inventory, Total Assets Market Value, Total Account Market Value, Cash Equiv Cost, Fixed Income Cost, Com Trst Cost, Mutual Fnds Cost, Equities Cost, Misc Assets Cost.
- Operators: +, \*, -, /, (, )
- Buttons: Select Field, Validate, Finish

**Formula Editor:**

[Total Assets Market Value] - [Total Holdings Cost]

**Formula Title Dialog:**

Formula Title

Enter Formula Name: Total Unrealized Gain

Buttons: Ok, Cancel

# CFO –AFS

## User Defined Fields

Accounts with Total Market Value by Officer

Admin Officer Desc	Acct No	Account Name	Total Account Market Value	Total Holdings Cost	Total Unrealized Gains
BATES	000880	NEWBRIDGE, LEX	-3,457.58	0.00	-3,457.58
BATES	001104	AMELIA LIRA TRUST	122,566.85	89,033.01	33,533.84
BATES	001111	MISC SUSPENSE	-2,333.24	0.00	-2,333.24
BATES	009902	IRA TAX W/H A/C	0.00	0.00	0.00
BATES	102785	AWAVES	500.00	0.00	500.00
Trust Officer Total (5)			117,276.03	89,033.01	28,243.02
J. ADMIN	000214	MORGAN SJULIN	92,820,644.84	1,932,592.24	88,052.60
J. ADMIN	001234	TEST BRANCH	5,506,710.77	54,664.58	452,046.19
J. ADMIN	009632	G. BANK FOUNDATION	-887.56	414.40	-1,101.96
J. ADMIN	009654	JOHN ACCOUNTHOLDE	1,835,578.03	1,390,858.68	444,719.35
J. ADMIN	009689	BOB RETIRED IRA	293,219.00	275,294.40	17,924.60
Trust Officer Total (5)			100,455,465.08	3,653,824.30	801,640.78
LIRA	009678	MERRY OWNER	581,338.89	575,495.40	5,843.29
Trust Officer Total (1)			581,338.89	575,495.40	5,843.29
RADFORD	000528	ETHAN O IRA	27,293.51	19,580.00	7,713.51
Trust Officer Total (1)			27,293.51	19,580.00	7,713.51
			101,181,373.31	4,337,932.71	843,440.60

# CFO – AFS

Key



The Key column allows you to link to a Master File (Account Master, Security Master, Name & Address Master).

Process Management | Tables | My Settings | System | Favorites

## REPORT DEFINITION: TAX LOT HOLDINGS SUMMARY

Authority Template :

[User Defined Fields](#) | [Delete Selected Rows](#) | [View Report](#) | [Return To New Report Definition](#)

Content		Format			
Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>	Acct No	Yes	Ascending		Any
<input type="checkbox"/>	Account Name	Yes			Any
<input type="checkbox"/>	CUSIP No	Yes	Ascending		Specific:00105510
<input type="checkbox"/>	Security Name	Yes			Any
<input type="checkbox"/>	Total Shares/Par	Yes			Any
<input type="checkbox"/>	Total Market Value	Yes			Any

Fields For : Acct No

Select All	Field Name
<input type="checkbox"/>	Acct Class
<input type="checkbox"/>	Account Type
<input type="checkbox"/>	Charitable Trust Type Code
<input checked="" type="checkbox"/>	Discretion
<input type="checkbox"/>	Admin Officer
<input type="checkbox"/>	Account Long Name
<input type="checkbox"/>	Account Long Name 2
<input type="checkbox"/>	Account Long Name 3
<input type="checkbox"/>	Alpha Key
<input type="checkbox"/>	Branch
<input checked="" type="checkbox"/>	Invest Officer

OK Cancel

This example is a tax lot holdings report. By double clicking on the key, discretion and investment officer will now be included in the report.

Move Up | Move Down | Save | Save As

# CFO – AFS

## Key



### REPORT DEFINITION:ACCOUNTS

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content			Format			
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>	Key	Acct No	Yes	Ascending		Any
<input checked="" type="checkbox"/>	Key	Proxy Owner N&A Rec No	Yes	Ascending		Any

When choosing to report on Specific Relationship Information, and the key you are adding has a green check mark next to it , you can **right click** on the key and, if you put a check mark in the box , the system will check for just accounts that are Not Coded for the specific field.

### REPORT DEFINITION:ACCOUNTS

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

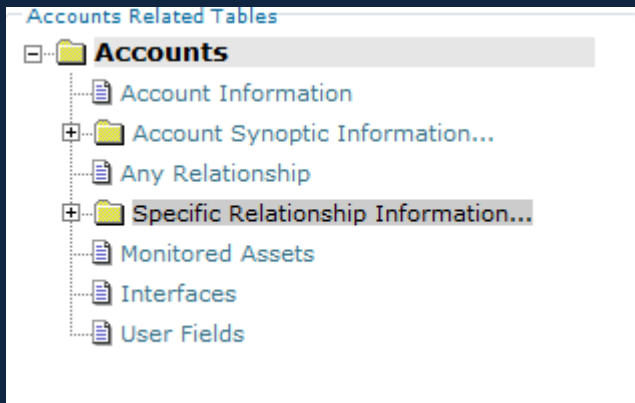
Content			Format			
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>	Key	Acct No	Yes	Ascending		Any
<input type="checkbox"/>	Key	Proxy Owner N&A Rec No	Yes	Ascending		Any
<input checked="" type="checkbox"/>		Not Coded For				

This template could be used to see if there are any accounts not coded for proxy service.

# CFO –AFS

## Related Tables

- Using Related tables allows you to combine data from several tables when creating reports.



Each of the nine templates has its own related tables.

# CFO –AFS

## Related Tables

The screenshot displays the CFO-afs interface with the 'REPORT DEFINITION: ACCOUNTS' window. The left-hand pane shows a tree view of 'Accounts Related Tables', with 'Report Package Recipient(s)' highlighted and a red arrow pointing to it. The main window shows a table with columns 'Key' and 'Columns'. A dialog box titled 'Fields For : Report Package Recipient(s)' is open, listing various fields for selection. The dialog box has a 'Select All' checkbox and a list of fields with checkboxes. The fields listed are:

Select All	Field Name
<input checked="" type="checkbox"/>	Acct No
<input checked="" type="checkbox"/>	Rpt Pkg Recip N&A Rec No
<input type="checkbox"/>	Rpt Pkg Recip Last Rpt Date
<input type="checkbox"/>	Rpt Pkg Recip Rptg Freq
<input type="checkbox"/>	Rpt Pkg Recip Intm Rpt Pkg
<input type="checkbox"/>	Rpt Pkg Recip Itm File Copy
<input type="checkbox"/>	Rpt Pkg Recip Rptg Y/E
<input type="checkbox"/>	Rpt Pkg Recip Y/E Rpt Pkg
<input type="checkbox"/>	Rpt Pkg Recip Y/E File Copy
<input type="checkbox"/>	Rpt Pkg Recip # of Cop
<input type="checkbox"/>	Rpt Pkg Int Delivery Method

At the bottom of the dialog box are 'OK' and 'Cancel' buttons. Below the dialog box, the main window has buttons for 'Move Up', 'Move Down', 'Save', and 'Save As'.

Sample – you want to run an accounts report AND you want to pull in statement cross-reference information.



# CFO –AFS

## Related Tables

**REPORT DEFINITION:ACCOUNTS**

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content		Format				
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Acct No	Yes	Ascending		Any
<input type="checkbox"/>		Account Name	Yes			Any
<input type="checkbox"/>		Sch #	Yes			Specific:01
<input type="checkbox"/>		Rpt Pkg Recip N&A Rec No	Yes	Ascending		Any

Perhaps you want to send a fee increase letter to all accounts on a particular fee schedule. This report has a filter on the fee schedule and brings in the name & address # associated on the client statement. Double click on the key next to N&A Rec no, and pull in all of the Name & Address fields.



# CFO - AFS

## Related Tables

### REPORT DEFINITION:ACCOUNTS

Authority  
Template :

[User Defined Fields](#) [Delete Selected Rows](#) [View Report](#) [Return To New Report Definition](#)

Content			Format			
	Key	Columns	Display	Sort Order	Break	Filter Description
<input type="checkbox"/>		Acct No	Yes	Ascending		Any
<input type="checkbox"/>		Account Name	Yes			Any
<input type="checkbox"/>		Sch #	Yes			Specific:01
<input type="checkbox"/>		Rpt Pkg Recip N&A Rec No	Yes	Ascending		Any
<input type="checkbox"/>		Rpt Pkg Recip Addressee Type	Yes			Specific:IB,IP,PB
<input type="checkbox"/>		Rpt Pkg Recip Name Line 1	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip Name Line 2	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip First Address Lin	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip Second Address	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip Third Address Li	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip City	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip Postal Code	Yes			Any
<input type="checkbox"/>		Rpt Pkg Recip Zip Code	Yes			Any

You could further filter on the addressee type and only bring in income & principal beneficiaries.

Move Up

Move Down

Save

Save As

# CFO –AFS

## Related Tables

Accounts [Protected View] - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View PDF

Protected View This file originated from an Internet location and might be unsafe. Click for more details. Enable Editing

	A	B	C	D	E	F	G	
	Acct No	Account Name	Sch #	Rpt Pkg Recip N&A Rec No	Rpt Pkg Recip Addressee Type	Rpt Pkg Recip Name Line 1	Rpt Pkg Recip Name Line 2	Rpt Pkg Recip f
1								
2	000214	MORGAN SJULIN	FF	00156	PB	AMBER WAVES		123 ELM STREET
3	000214	MORGAN SJULIN	FF	00214	IP	MORGAN SJULIN		
4	Grand Total: (2)							
5								
6								
7								
8								
9								
10								

Export the report to easily create a mail merge for your fee increase letters.

# CFO – AFS

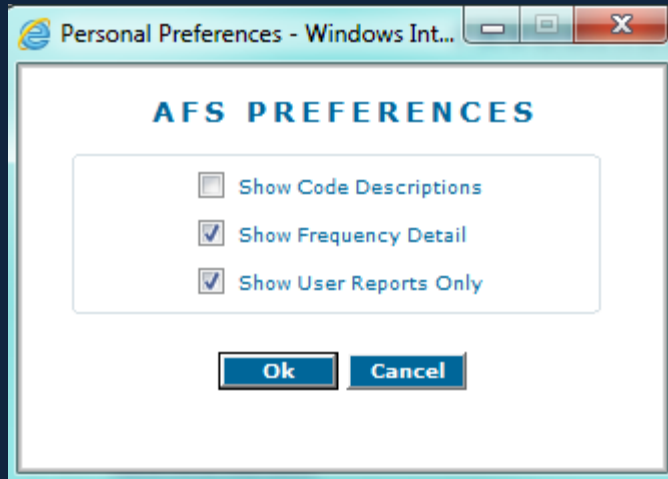
## Preferences

The screenshot shows the SUNGARD CHARLOTTE interface. The top navigation bar includes 'SUNGARD CHARLOTTE' and a menu with items: Reports, Daily Processing, Security Processing, Process Management, Tables, My Settings, System, and Favorites. Below this is a secondary menu with 'Dashboard', 'Account', 'Activity', 'Assets', 'Automatic File Search (AFS)', 'Fee Management Reporting', and 'Mainframe Processing Reports'. The 'Automatic File Search (AFS)' menu item is highlighted, and a dropdown menu is open showing 'Reports', 'Scheduling', and 'Preferences'. The 'Preferences' option is highlighted in yellow. To the right of the dropdown, there are links for 'Remove from Favorite Activities' and 'Rename'. Below these links, there is a section titled 'FAVORITES' with two items: 'Asset Details Warren' and 'Daily Transaction History', each with an unchecked checkbox.

To change your AFS preferences: Reports > Automatic File Search > Preferences

# CFO – Inquiry & AFS

## Preferences



**Show Code Descriptions** For fields selected in the template, this option will cause the code description to be displayed automatically instead of the code.

### **Show Frequency Detail**

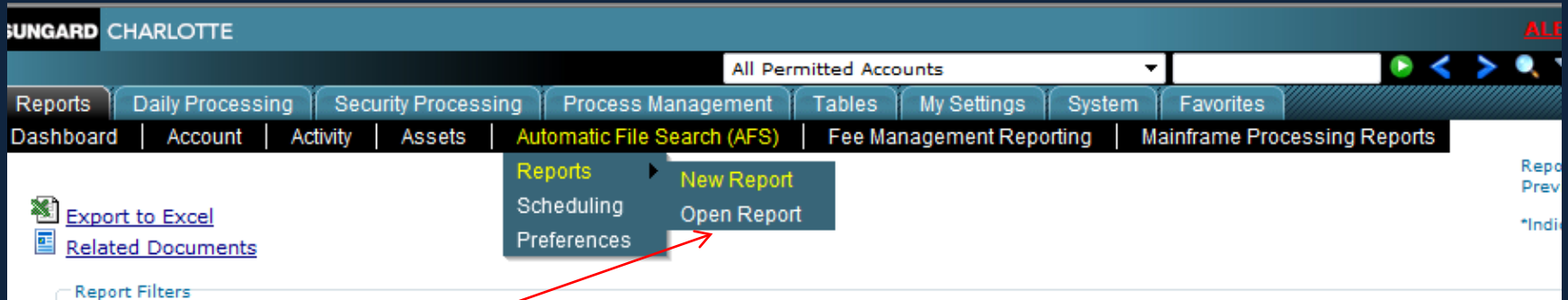
This is a display option for available reports on your available reports display.

### **Show User Reports Only**

If you wish to see only the reports you have created in the available reports display, select this option.

# CFO – Inquiry & AFS

Opening an already created report & customizing the display



To open a report, go to Reports > Automatic File Search > Reports > Open Report

# CFO – AFS

Opening an already created report & customizing the display

The screenshot shows the SUNGARD CFO – AFS interface. The top navigation bar includes 'SUNGARD CHARLOTTE', 'ALERT', 'Customize', 'Site Map', 'Refresh', and 'Exit Help'. The 'Customize' link is circled in red. Below the navigation bar, there are tabs for 'Reports', 'Daily Processing', 'Security Processing', 'Process Management', 'Tables', 'My Settings', 'System', and 'Favorites'. The 'Security Processing' tab is active, showing sub-tabs for 'Mutual Fund Order Entry', 'Trading', and 'Portfolio Realignment (PRS)'. The main content area displays a table of reports with columns: Select One, Form ID, Title, Type, Template Authority, Owner ID, Last Updated Date, Last Run Date, Scheduled Output, Output Ready, Frequency, and Output Location. The first row is highlighted in orange.

Select One	Form ID	Title	Type	Template Authority	Owner ID	Last Updated Date	Last Run Date	Scheduled Output	Output Ready	Frequency	Output Location
<input type="checkbox"/>	16	Accounts with Total Market Value by Officer	Accounts	Public	YAVONDA	2013-02-05 17:27:15	2013-02-05 17:56:57	Email as PDF	0	Weekly	ybaynard@t
<input type="checkbox"/>	14	daily account report testing	Accounts	Public	YAVONDA	2013-01-24 15:36:09	2013-02-06 23:34:00	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	11	Financial Ratings 1	Securities	Public	YAVONDA	2012-05-09 11:36:54	2013-01-19 11:51:25	Email as PDF	0		ybaynard@t
<input type="checkbox"/>	8	Last Year-End Market Values	Accounts	Public	YAVONDA	2010-11-06 11:23:23	2013-02-06 23:33:46	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	5	Unrealized Gain/Loss report	Accounts	Public	YAVONDA	2012-02-08 12:40:33	2013-02-06 23:33:31	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	13	Yavonda's Financial Ratings	Securities	Public	YAVONDA	2012-02-08 12:49:31	2013-02-06 23:33:53	Email as PDF	1	Daily	ybaynard@t
<input type="checkbox"/>	9	Yavonda's Test Report	Accounts	Public	YAVONDA	2013-02-05 23:51:11			0		

Customize the Report, to narrow down the list of reports to choose from.

# CFO –AFS

Opening an already created report & customizing the display

**CUSTOMIZE - AFS REPORT**

**Report Type**

All

Fixed Templates

Specific Type

Accounts

Latest Transactions Processing

Tax Lot Holdings Detail

Names & Addresses

As Of Reports

Securities

Transaction History

Tax Lot Holdings Summary

Pending Activity

**Output Type**

None

ASCII File

Printed

PDF

Excel

Email as PDF

**Authority**

Public

Private

**Apply** **Cancel**

If you are looking for a report that is a specific template type, mark that type, etc.

# CFO – AFS

Use AFS and Excel together and become more efficient

- Using AFS to combine 2 AFS reports.
- Using AFS to transfer some securities from one account to another. (Beyond what the 46 can do)
- Use Excel to do more complex formula's



# Charlotte – Other tidbits?

- ACMS – What is the difference between combined cash & separate cash?
- I need to change a field on the Account Master, what could go wrong?
- Need an interface with an outside company but Charlotte doesn't have one, now what?
- Annual Report of Trust Assets & Schedule RC-T
- Fee reminders
- Statement reminders



TRUST MANAGEMENT NETWORK

*ACMS*

*Combined or Separate?*

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# ACMS

- There are 2 ways to set up ACMS.
  - Use one cusip for both I & P (Combined Cash)
    - Example Invesco Premier US Govt Portfolio
      - Cusip 00142W843 used for all sweep
  - Use 2 cusips – one for P and one for I (Separate Cash)
    - Example Invesco Premier US Govt Portfolio
      - Cusip 00142W843 used for Principal Cash
      - Cusip 00142W84I used for Income Cash
- Both ways can work if you make sure your overdraft code is ok and you understand how to read your cash sheet.

# ACMS – Combined Cash

DATE	Description	Income Cash Change	Principal Cash Change	Income Cash Balance	Principal Cash Balance	ACMS Balance
	<b>BEGINNING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
1/5/2016	DEPOSIT TO NEW ACCOUNT		100,000.00	0.00		
1/5/2016	PURCHASE ACMS		-100,000.00	0.00	0.00	100,000.00
1/15/2016	DIVIDEND	125.50				
1/15/2016	DIVIDEND	18.00				
1/15/2016	INTEREST	750.00				
1/15/2016	PURCHASE ACMS		-893.50	893.50	-893.50	100,893.50
1/20/2016	FEE SPLIT 50/50	-41.67	-41.66		-935.16	
1/20/2016	SELL ACMS		83.33	851.83	-851.83	100,810.17
2/10/2016	INTEREST	45.00				
2/10/2016	DIVIDEND	24.00				
2/10/2016	DIVIDEND	250.00				
2/10/2016	PURCHASE ACMS		-319.00	1,170.83	-1,170.83	101,129.17
2/15/2016	DIVIDEND	1,500.00				
2/15/2016	INTEREST	450.00				
2/15/2016	PURCHASE ACMS		-1,950.00	3,120.83	-3,120.83	103,079.17
	ENDING BALANCE	0.00	0.00	3,120.83	-3,120.83	103,079.17
				<b>Income Cash =</b>	<b>\$3,120.83</b>	
				<b>Principal Cash =</b>	<b>-\$3,120.83</b>	
				<b>Combined Cusip =</b>	<b>103,079.17</b>	

Notice your cash sheet would show a positive in income and a negative in principal. So if I client calls and asks what he currently has in income you can look at the income column and see that. If they want to know what they have in principal, you would take the ACMS number minus the income cash balance (99958.34). To keep track of income cash you simply need to make sure you don't have automatic offset of overdrafts marked.

# ACMS – Combined Cash – Overdraft Code

Only turn on "Automatic Offset" if you want the system to transfer cash between income and principal cash to "zero out" cash each day:

Account - Account[Edit]

000215 - DR TEST AGENCY

General Gen'l Cont Statements Fees Fees Cont' Fee Excluded Securities Investment Port Model Taxes ACMS Totals

Account No: 000215 Account Type: 51 CORP AGEN

Short Name: DR TEST AGENCY Alpha Key: NT

Long Name: DR TEST AGENCY

Branch: 01 AUSTIN Invest Income?:

Administrator: 05 LIRA Principal Invasion?:

Investment Officer: 00 ABC INVEST Overdrafts: Automatic Offset

Charitable Trust Type: No of Beneficiaries: 0

Business Dev Officer:

Attach Document

If you need to do net income distributions or keep Principal and Income separate **DO NOT TURN ON AUTOMATIC OFFSET.**

# ACMS – Combined Cash – Overdraft Code

DATE	Description	Income Cash Change	Principal Cash Change	Income Cash Balance	Principal Cash Balance	ACMS Balance	
	<b>BEGINNING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
1/5/2016	DEPOSIT TO NEW ACCOUNT		100,000.00	0.00			
1/5/2016	PURCHASE ACMS		-100,000.00	0.00	0.00	100,000.00	
1/15/2016	DIVIDEND	125.50					
1/15/2016	DIVIDEND	18.00					
1/15/2016	INTEREST	750.00					
1/15/2016	PURCHASE ACMS		-893.50	893.50	-893.50	100,893.50	
1/20/2016	FEE SPLIT 50/50	-41.67	-41.66		-935.16		
1/20/2016	SELL ACMS		83.33	851.83	-851.83	100,810.17	
1/25/2016	DISTRIBUTION TO PAY ATTORNEY FEE FROM INCOME	-1,000.00					
1/25/2016	SELL ACMS		1,000.00	-148.17	148.17	99,810.17	*Account swept out of principal ACMS to cover distribution out of income cash, causing the account to not truly go into an overdraft condition.
2/10/2016	INTEREST	45.00					
2/10/2016	DIVIDEND	24.00					
2/10/2016	DIVIDEND	250.00					
2/10/2016	PURCHASE ACMS		-319.00	170.83	-170.83	100,129.17	
2/15/2016	DIVIDEND	1,500.00					
2/15/2016	INTEREST	450.00					
2/15/2016	PURCHASE ACMS		-1,950.00	2,120.83	-2,120.83	102,079.17	
2/20/2016	NET INCOME DISTRIBUTION	-2,120.83					
2/20/2016	SELL ACMS		2,120.83	0.00	0.00	99,958.34	
	ENDING BALANCE	0.00	0.00	0.00	0.00	99,958.34	
		ACCOUNT IS NOT IN OVERDRAFT					

# ACMS – Separate Cash

DATE	Description	Income Cash Change	Principal Cash Change	Income Cash Balance	Principal Cash Balance	ACMS Balance -INCOME CUSIP	ACMS Balance - Principal Cusip
	<b>BEGINNING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
1/5/2016	DEPOSIT TO NEW ACCOUNT		100,000.00				
1/5/2016	<b>PURCHASE ACMS</b>		<b>-100,000.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>100,000.00</b>
1/15/2016	DIVIDEND	125.50					
1/15/2016	DIVIDEND	18.00					
1/15/2016	INTEREST	750.00					
1/15/2016	<b>PURCHASE ACMS</b>	<b>-893.50</b>				<b>893.50</b>	
1/20/2016	FEE SPLIT 50/50	-41.67	-41.66		0.00		
1/20/2016	<b>SELL ACMS</b>	<b>41.67</b>	<b>41.66</b>			<b>851.83</b>	<b>99,958.34</b>
2/10/2016	INTEREST	45.00					
2/10/2016	DIVIDEND	24.00					
2/10/2016	DIVIDEND	250.00					
2/10/2016	<b>PURCHASE ACMS</b>	<b>-319.00</b>				<b>1170.83</b>	<b>99,958.34</b>
2/15/2016	DIVIDEND	1,500.00					
2/15/2016	INTEREST	450.00					
2/15/2016	<b>PURCHASE ACMS</b>	<b>-1,950.00</b>				<b>3120.83</b>	<b>99,958.34</b>
	<b>ENDING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>99,958.34</b>	<b>3120.83</b>	<b>99,958.34</b>
						<b>Income Cash =</b>	<b>\$0.00</b>
						<b>Principal Cash =</b>	<b>\$0.00</b>
						<b>Income Cusip =</b>	<b>3120.83</b>
						<b>Principal Cusip =</b>	<b>99958.34</b>

Automatic offset should not be used with Separate Cash

# ACMS – Separate Cash - Overdrafts

Description	Income Cash Change	Principal Cash Change	Income Cash Balance	Principal Cash Balance	ACMS Balance -INCOME CUSIP	ACMS Balance - Principal Cusip	
<b>BEGINNING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		
DEPOSIT TO NEW ACCOUNT		100,000.00					
PURCHASE ACMS		-100,000.00	0.00	0.00	0.00	100,000.00	
DIVIDEND	125.50						
DIVIDEND	18.00						
INTEREST	750.00						
PURCHASE ACMS	-893.50				893.50		
FEE SPLIT 50/50	-41.67	-41.66		0.00			
SELL ACMS	41.67	41.66			851.83	99,958.34	
DISTRIBUTION TO PAY ATTORNEY FEE FROM INCOME	-1,000.00						
SELL ACMS	851.83		-148.17	0.00	0.00	99,958.34	*This account would be truly overdrawn on 1/25/16 in income cash which could cause issues with getting out all distributions for the trust department that day.
INTEREST	45.00						
DIVIDEND	24.00						
DIVIDEND	250.00						
PURCHASE ACMS	-170.83		0.00	0.00	170.83	99,958.34	
DIVIDEND	1,500.00						
INTEREST	450.00						
PURCHASE ACMS	-1,950.00				2120.83	99,958.34	
NET INCOME DISTRIBUTION	-2,120.83						
SELL ACMS	2,120.83				0.00	99,958.34	
<b>ENDING BALANCE</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>99,958.34</b>	<b>0.00</b>	<b>99,958.34</b>	

**YOUR ACCOUNT IS IN OVERDRAFT!**





TRUST MANAGEMENT NETWORK

*Account Master Changes*  
*What really happens?*

---

# Account Master Changes – ACMS option

- An account was set up with “separate” cash, but then changed to “combined” cash.
  - 1. Change Account Master
    - Changing the account master will not create a sell from the Income cusip.
  - 2. Verify that the overdraft code is NOT set to auto offset if the account type requires a separation of income & principal.
  - 3. Post redemption to the income cusip and a purchase into the combined cusip.
  - 4. Scrap all of the above and call your CSA!!!!

# Account Master Changes – Discretion Code

- An account was set up with “consult” discretion, but then changed to “none.”
  - 1. Change Account Master
    - The discretion code for each security is established when the security is purchased or deposited. If you change the account master the existing securities do NOT change.
  - 2. Post 020/04
    - To change the existing securities in an account, you must post an 020/04.

# Account Master Changes – Discretion Code

GENERAL		INVESTMENTS	
Account Number	50 00 0214 3 00	Investment Discretion	NONE
Short Name	MORGAN SJULIN "A"	Investment Objective	GROWTH DIV
Long Name	MORGAN SJULIN TRUST ACCOUNT 'A'	Performance	Not Used
Account Status	Active	Last Review Date	
Branch	01 - AUSTIN	Review Cycle Month	August
Alpha Key	SJULINMORG	Review Frequency	Annual
Account Type	NOT USED	Trade Restriction Default	None
Capacity		Number of Restricted Holdings	56
Administrator	J. O'ADMIN	Voting Authority	Sole
Investment Officer	ABC INVEST	OBO/NOBO	OBO
Business Development Officer		Proxy Owner Name & Address	
Invest Income	Yes	Trade Advices	0
Principal Invasion	Yes	Investment Powers	FULL POWERS
Overdrafts	No Special Handling	Own Institution Time Deposits	No
Daily Accrued Income Report	No	Common Trust Funds	No
Post Capital Gain Dividends As	Principal	Non-inc Producing Property	No
Primary Relationship		Real Estate	No
No of Beneficiaries	99	Own Institution Stock	No
Info Only Relationships	1	Business Interests	No
Account Opened Date	10/20/2010	Retention Powers	General
Date Account Blocked		Own Institution Time Deposits	No
Date Account Saved		Common Trust Funds	No
Critical Date		Non-inc Producing Property	No
Critical Date Purpose		Real Estate	No
Last Activity Date	09/24/2021	Own Institution Stock	No
Last Processing Date	10/08/2021	Business Interests	No
Last Pricing Date	08/05/2005	PRS Model	1 - Balanced
Charitable Trust Type		Investment Mix Objective	No
RCT Override	USE ACCOUNT TYPE DEFAULT	Money Market Investor Type	Retail Investor
		Social Code	

# Account Master Changes – Discretion Code

ASSET DETAILS (PROJECTED)

Acct Name: MORGAN SJULIN TRUST ACCOUNT 'A'  
 Acct No: 50 00 0214 3 00  
 Report Created: 10/11/2021 5:40:02 PM  
 Previous Close Date: 10/8/2021  
 \* Indicates changed from beginning of day

Export to Excel  
 Related Documents  
 Quick Print

Report Filters  
 Column to filter: -None- Filter type: -None- Apply Filter Remove Filter

Reports	Security Name	CUSIP	Shares/Par	Average Unit Cost	Cost	Unit Market	Market Value	Investment Discretion
<b>Cash</b>								
	Income Cash *				0.00		0.00	
	Principal Cash *				0.00		0.00	
	<b>Total Cash</b>				<b>0.00</b>		<b>0.00</b>	
<b>CASH EQUIVALENTS</b>								
	FED PRIME OBLIG SS	60934N708	2,594,247.5800	1.01	2,613,372.37	0	2,613,372.37	CSLT
	FED PRIME OBLIGATION	60934N701	47,677,549.1700	1.00	47,677,549.17	0	47,677,549.17	DIR
	<b>Total CASH EQUIVALENTS</b>				<b>50,290,921.54</b>		<b>50,290,921.54</b>	
<b>MUTUAL FUNDS</b>								
	AMER FUNDS GROWTH	399874825	491,660.6260	25.88	12,724,177.00	25.88	12,724,177.00	CSLT
	ARBITRAGE I	03875R205	141,568.8720	13.12	1,857,017.00	12.84	1,817,740.46	CSLT
	BARON GROWTH RETAIL	068278209	87,707.5990	41.68	3,655,480.00	41.45	3,635,479.98	CSLT
	COLUMBIA ACORN Z	197199854	161,576.8890	22.50	3,635,480.00	22.5	3,635,480.00	CSLT
	FORWARD INTL EQUITY	349913335	202,120.8300	13.49	2,726,610.00	13.49	2,726,610.00	CSLT
	GATEWAY Y	367829884	37,371.2950	24.78	926,002.00	24.32	908,869.89	CSLT
	HARBOR BOND FUND	411511108	1,009,927.8860	11.82	11,934,920.03	11.79	11,907,049.77	CSLT
	HARBOR INTL INSTL	411511306	89,473.3040	51.02	4,564,504.00	50.79	4,544,349.11	CSLT
	IQ ALPHA HEDGE	454076100	511.2470	48.90	25,000.00	10.6	5,419.22	CSLT
	IQ ALPHA HEDGE	454076209	178,384.6910	10.19	1,817,740.00	10.19	1,817,740.00	CSLT
	IQ ARB GLOBAL RES ET	454098883	250.0000	106.38	26,595.00	31.192	7,798.00	CSLT
	ISHARES TR INDEX	464287176	50.0000	505.82	25,291.00	108.97	5,448.50	CSLT
	ISHARES TR S&P	464287507	200.0000	138.52	27,703.99	88.73	17,746.00	CSLT
	MAINSTAY CONV A	56062F780	134,051.6220	13.56	1,817,740.00	13.56	1,817,739.99	CSLT
	PIMCO COMM REAL RETU	722005550	250,033.0120	7.27	1,817,740.00	7.27	1,817,740.00	CSLT
	SELECTED AMER SHS D	816221204	255,639.6060	35.55	9,088,699.00	35.55	9,088,698.99	CSLT
	TEMPLETON GLOB ADV	880208400	491,660.6270	12.98	6,382,127.00	12.94	6,362,088.51	CSLT
	TROWE PRICE EMERG	77956H864	93,851.5250	29.21	2,741,810.82	29.04	2,725,448.28	CSLT

# Account Master Changes – Restriction Code

- An Account Master was marked as restricted but, I didn't get a warning when I tried to sell something.
  - 1. Change Account Master
    - The restriction is only tied to securities bought or received after the account master was changed.
  - 2. Add Restricted holdings to current assets:

Restricted Holdings - ADD

Add Restricted Holdings Record(s) For

A specific security in one account

All unrestricted securities currently held in a specific account

All unrestricted holdings of a specific security currently held in all accounts

Account:

CUSIP:

Security Restriction Code:

Security Restriction Remark Code:

# Account Master Changes – Restriction Code

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CUSIP:

Security Restriction Code:

Security Restriction Remark Code:


# Account Master Changes – Restriction Code

General	GenI Cont	Statements	Fees	Fees Con't	Fee Excluded Securities	Investment	Port Model	Taxes	ACMS	Totals
---------	-----------	------------	------	------------	-------------------------	------------	------------	-------	------	--------

Investment Discretion:  ▾ DIR


Investment Objective:  ▾ INCOME DIV

Trade Restriction Default:  ▾ 

Review Cycle Month:  ▾ July

Review Frequency:  ▾ Annual

Voting Authority:  ▾ Sole

Proxy Owner:   TRUST MANAGEMENT NETWORK'

OBO/NOBO:  ▾ OBO

General Investment Powers:  ▾ FULL POWERS

General Retention Powers:  ▾ General

Social Code:  ▾

Money Market Investor Type:  ▾

[Post](#) [Verify](#) [Print](#)



# Account Master Changes – Tax Lot Retention

- An account was set up to maintain separate tax lots, it was then changed to not maintain lots, why are there still lots in the account?
  - Changing the account master will change future acquisitions but will not consolidate lots already held.
    - 1. Change Account Master
    - 2. Post 049 to consolidate lots.
      - Call your CSA.



TRUST MANAGEMENT NETWORK

*How can TMN help you work with  
outside vendors?*

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# Working with Outside Vendors

- FIS has multiple interfaces available for purchase.
- An interface isn't always needed.
  - TMN can create AFS reports that are scheduled daily. These can be excel, .pdf, or text. We can then automate the delivery of these files to the vendor of your choice.
    - We already do this for multiple Investment Managers, Wealth Hub and a data aggregator.
- Reach out to Morgan or your CSA to explore this option.



TRUST MANAGEMENT NETWORK

*Annual Report of Trust Assets &  
Schedule RC-T*

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# Annual Report of Trust Assets

- Will not include assets of any account that starts with a 7, 8 or 9. (Corporate Trust, Suspense Accounts or Pseudo Accounts.
- Will not include Liabilities. (security type 25, 26, 27.
- Will not include the value of CTF securities. (security type 12)
- Will not include the face value of insurance policies.
  - If policy is carried at face, then Annual Report Code needs to be left blank.
  - If policy is carried at cash value, then Annual Report Code needs to be R.
  - If policy is an annuity, needs to be coded with an A.

# Annual Report of Trust Assets

- If the discretion code in the a/c # is 3, there is assumed to be no investment responsibility. Those assets will be included on Line 16.
- If the discretion code is anything other than 3, assets are included in lines 1-13.
- Closed accounts are not included in the report.
- Notes need to be segregated to identify notes secured by real estate or not secured by real estate. If not secured by real estate, the annual report code should be P.
- Limited Partnerships need to be segregated into LP's for non-real estate or LP's for real estate. Non-real estate should have an annual report code of C. Real estate should have an annual report code of L. If the annual report code is left blank the assets would be listed as miscellaneous asset.

# Schedule RC-T

- RC-T is rounded to thousands of dollars.
- Account Types can be edited to fall in a specific bucket on the RC-t on the Account Types table.
- Uninvested cash is reported on line 1A
- CD's will be reported on line 1B
- Money Market funds should be coded with an annual report code of M and will be reported on line 1E
- Mutual Funds without an override will be reported on line 1G (other mutual funds)
  - Equity funds should be segregated out. This can be done by coding the security master or by security sub-type using a table. This is set up by 135/750



TRUST MANAGEMENT NETWORK

*Fee Schedules & Reports*

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# Fee Schedules

**Edit - Fee Schedule**

Fee Schedule Number 01 STANDARD FEE  
Sub Schedule Number 00      Number of Sub Schedules 4

Fee Type:   Gross Fee

Allocation Method:   Do Not Combine Fee for Associated Accounts

Base Fee:

Minimum Fee:

Maximum Fee:

Tran Code Income Fee:

Tran Code Principal Fee:

Fee Frequency Override:

Discount Amount:       OR Discount%:

Sales Tax Indicator:

Sales Tax Transaction Code:

Sales Tax Rate:  %

- Allocation Method must be changed if your schedule is going to be used in a consolidated fee calculation.
- Gross vs Net. Gross means at year end the fee is calculated and divided by the frequency. Net means at year end the fee is calculated, fees already charged are subtracted and the net difference is the fee.

# Fee Schedules

Edit - Fee Schedule

Fee Schedule Number 01 STANDARD FEE  
Sub Schedule Number 01      Number of Sub Schedules 4

Market Value Breaks and Rates

Market Value Code    Cash Code

End of Period Market Value  
 Monthly Average Market Value  
 Daily Average Market Value

%Rate    -OR-     Flat \$Rate

Break	%Rate	Flat \$Rate
1 500000	1.2500 %	\$
2 2000000	1.0000 %	\$
3 5000000	0.7500 %	\$
4	0.2500 %	\$
5	%	\$
6	%	\$
7	%	\$
8	%	\$

- On your market value fees, it is recommended that you don't include accruals.
- You can charge on end of period market value, monthly average or daily average.

# Fee Schedules

**Edit - Fee Schedule**

Fee Schedule Number 01 STANDARD FEE  
Sub Schedule Number 01      Number of Sub Schedules 4

Base Fee

Minimum Fee

Maximum Fee

Tran Code Income Fee

Tran Code Principal Fee

Fee Frequency Override

Discount Amount       OR Discount%

Sales Tax Indicator

Sales Tax Transaction Code

Sales Tax Rate  %

- You can charge different types of fees on a different schedule and with a different transaction code. For example if you charge tax prep fees annually, this can be automated on the schedule itself.

# Fee Schedules

Fee Schedule Number 17 CONFERENCE 2021  
Sub Schedule Number New      Number of Sub Schedules 1

Number of Customer Statements

Report Package Number

Level	Break	\$Rate Printed	\$Rate Internet Only
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>

Number of Beneficiaries

Level	Break	\$Rate
1	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>

- You can charge for the number of statements a client receives.

# Fee Schedules

## ADDED CHARGES



Account:

Number:

Fee Year End:

Fee Frequency:

Branch:

How Charged Code:

Fee Statment Recipient:

Number:

### Fee Statement "Other Service" Charges

Tran Code	Calculation Date	Activity Date	Description	Amount
300	09/30/2021	09/16/2021	FED-EX OF LEGAL DOCUMENTS	24.00
038	09/30/2021	09/16/2021	4 HOURS TAX PREPARATION	600.00
<b>09/30/2021 Total</b>				<b>624.00</b>

- You can add-on charges.

# Fee Reports

- 🔖 Fees Taken Report
- 🔖 Fee Schedules in Use
- 🔖 Fee Schedules Not Used
- 🔖 Transactions Used for Fees
- 🔖 Computation of Commissions
- 🔖 Fee Exceptions Report
- 🔖 Account Base, Discounts, Minimums
- 🔖 Summary of Fees by Officer
- 🔖 Summary of Fees by Account Type
- 🔖 Pending Fee Transactions
- 🔖 Large Fee Change Report
- 🔖 Account Synoptic and Fee Reports



TRUST MANAGEMENT NETWORK

*Statements*

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## Statements – Account Summary & Detail (packages 915-922)

- Can include a brief message with admin and/or investment officer information.
  - Example – Please direct any questions to:  
Administrator John Smith at 704-555-1212
- See transaction code 002 to add this information.



## Statements – First Rate Performance

- First Rate subscribers and produce a single page summary of the account's performance.
- This can be printed, delivered to PAL or both.
- Add a Performance Report cross-reference.

# Statements – Householding

- System level option to combine multiple statements into a single envelope. (notify your CSA if you would like to implement this feature)
- All statements with the same recipient N&A number will be automatically combined.
- Option to exclude some statements from being combined
- Statements with different recipient N&A numbers may also be combined

## Other Charlotte Tidbits

- User fields can be tied to Accounts and Name & Address
- User defined fields are available in AFS.
- Any standard overnight reports can be emailed to you or someone that you designate.
  - OFAC report could be sent direct to your compliance officer.
  - Collateral report could be sent direct to bank operations.
- Charlotte has Performance measurement available for a reasonable price for those accounts that might need a sophisticated report.

## Other Charlotte Tidbits

- Marking an asset as inherited will cause any sales to generate a long-term gain/loss regardless of acquisition date.
- Contacts can be tied to an account for information purposes only.
- Collateral report can be used to monitor your own bank assets & uninvested cash to ensure you have proper FDIC coverage.
- 13F Reporting is required when you reach \$100,000,000 in **discretionary** 13F securities.