

Broadridge Data Aggregation – Adviser Code Maintenance

A guide for Home Office users that demonstrates how to manually assign adviser codes to Broadridge User Profiles.

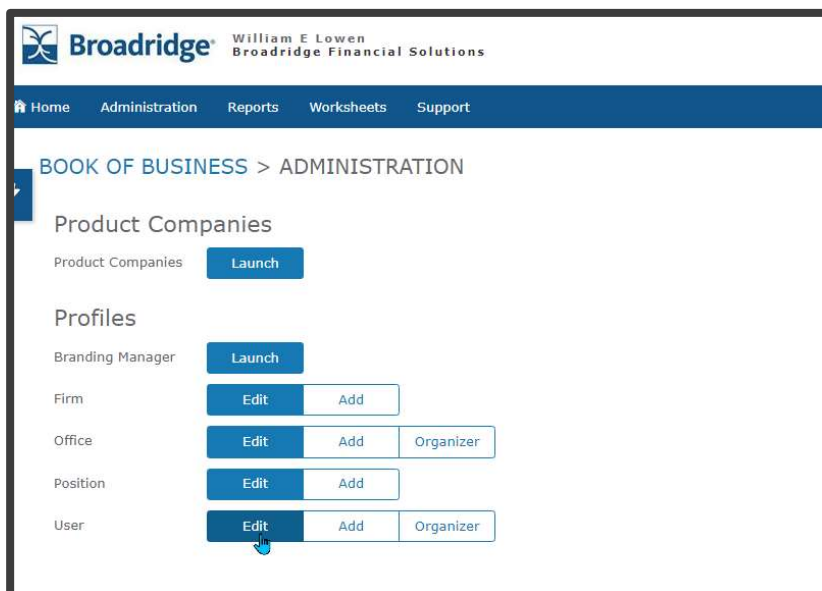
GENERAL INFORMATION

Broadridge receives daily account updates from multiple data providers. These daily data feeds include client account and investment information for brokerage products, directly held mutual funds, alternative investments, and variable and fixed insurance products. Client accounts are then linked to a unique adviser code and those codes are linked to the adviser's Broadridge profile which gives them the ability to manage their client's investments. This process is mostly automated; however, there will be occasions where the Home Office will have to manually link the adviser code to the appropriate user profile.

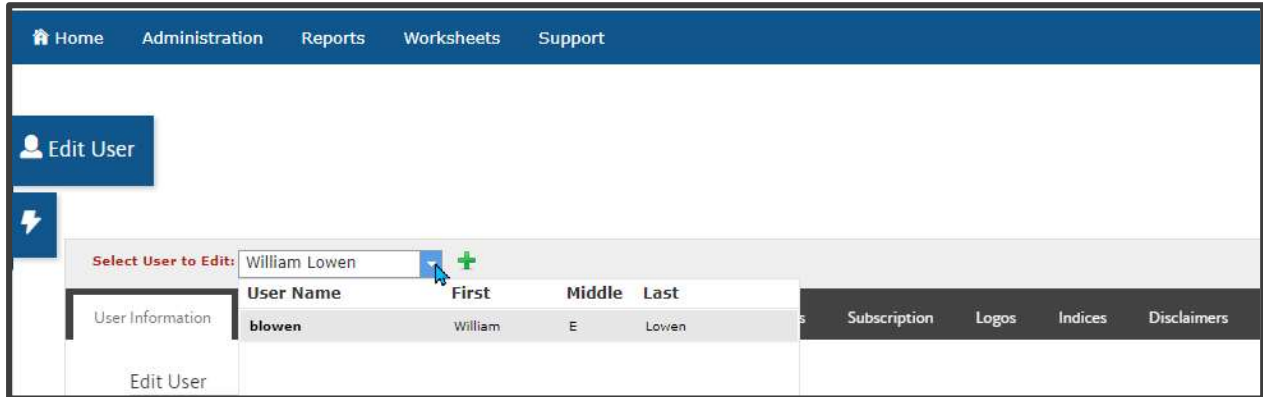
It is important to note that if an adviser code is linked to a user profile through the hierarchy file that the broker dealer sends, the manual update will be overwritten.

LINKING ADVISER CODES TO USER PROFILES

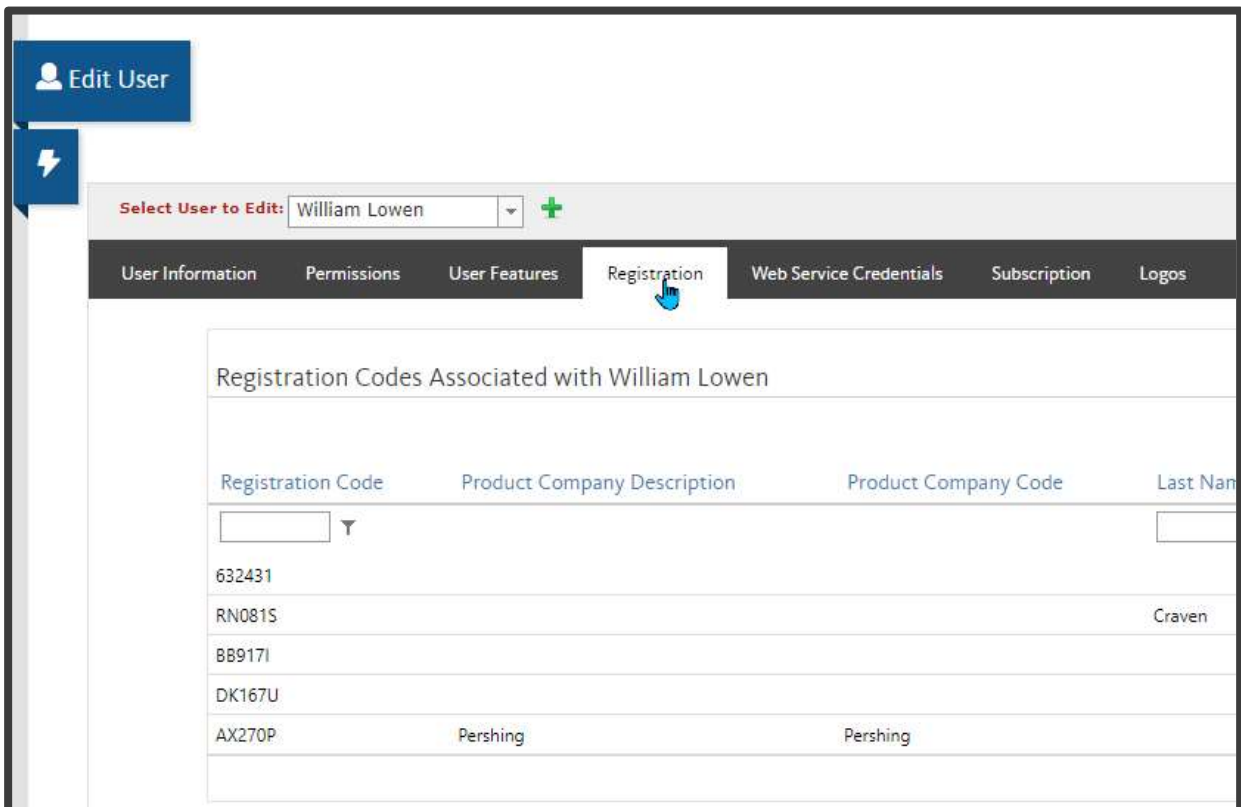
Users with supervisory access can access the rep code maintenance section of the Broadridge Application from the **ADMINISTRATION** tab.



Clicking **EDIT / USER** will direct the user to the user edit page where they will select the user profile they wish to update from the **SELECT USER TO EDIT** drop-down menu.



Next, click **REGISTRATION** to view adviser codes already assigned to the user.



Multiple search filters allow the user to find and assign adviser codes to a user's profile.

Search results that match the user's filter selections will populate after clicking **SEARCH**. Putting a check mark in the box that corresponds with the adviser code and clicking **ADD** will add it to the user profile selected in the drop-down menu.

Registration Code	Product Company Description	Product Company Code	Last Name	First Name	Number of Accounts	Status	Actions
676136					0	Assigned - PSWF - Pacific SouthWest Financial	Account Lookup <input type="checkbox"/>

Adviser Code search results can be exported to XLS, .PDF and Word format by clicking the corresponding icon located on the right side of the grid.