

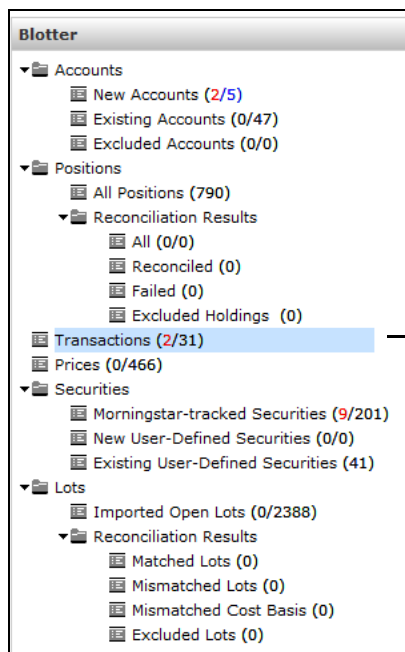
# Handling Warnings in the Morningstar Office Import Blotter

This document provides a list of warning messages you might encounter while working in the various import blotters in Morningstar Office, and provides recommended actions you can take to understand or fix the underlying problems that cause these warnings.

After you load your files into the Import Blotter, you might be alerted that some items are in warning status. The number of items in warning status in each blotter is highlighted in red next to the blotter's name in the left-hand navigation pane.

## Overview

### How do I know if items are in warning status on a blotter?








Just 2 of the 31 items  
on the Transactions blotter  
are in warning status

Some warnings indicate items might interfere with reconciliation and posting, requiring your immediate action. Other warnings serve simply to draw your attention to particular items in the blotter (or your custodian's import file), and do not require any action. This document provides an overview of the most common warnings you might encounter during the import process and what action, if any, is required in each case.

To review an item in warning status, navigate to the blotter containing the item. Any items in warning status are automatically sorted to the top of the grid view. In the Status column next to each item, you will see either a red or a yellow warning symbol. Red warnings, or hard warnings, are top-priority indicators that the data cannot be posted as is. Yellow warnings, or soft warnings, are lower-priority indicators that some action might be recommended, but no action is required in order to post data successfully.


### What is the difference between a hard and soft warning?

	945254	LIBERTY ENTMT SER A ** PRIVAT		53045T102	11/25/2009
	945254	DIRECTV CL A CLASS A	DTV		11/25/2009
	945254	LIBERTY ENTMT SER A ** PRIVAT		53045T102	11/20/2009
	945254	LIBERTY ENTMT SER A ** PRIVAT		53045T102	11/20/2009
	945254	LIBERTY ENTMT SER A ** PRIVAT		53045T102	11/20/2009

To examine a particular item in warning status, move your cursor over the warning symbol in the Status column. A summary of the issue will be displayed. Please refer to this guide in order to determine what action, if any, Morningstar recommends.

After you've edit an item that has yielded a warning message, you are required to save your changes. A Save button is located in the toolbar of all blotters. After you save your changes, the blotter will refresh and the warning message will no longer exist.

### When do my changes take affect?

 Remember, soft warning messages can remain in your blotter and will not prevent you from posting.

Transactions

Reconcile Imported Accounts

☒ Include Share Tolerance

Go

Action ▾

New Transaction


Specify Lot

Price Lookup

Save

Export ▾

Print

	Status	Account Number	Net Amount	Gross Amount	Number of Shares	Price
<input type="checkbox"/> 2		xxx046102	25.00	25.00	25.00	5.65
<input type="checkbox"/> 3		xxx046102	25.00	25.00	0.00	0.00
<input type="checkbox"/> 4		xxx046102	25.00	25.00	25.00	1.00
<input type="checkbox"/> 5		xxx046102	137.11	137.11	137.11	1.00
<input type="checkbox"/> 6		xxx973095	20.00	20.00	0.00	0.00

Click the Save button

## Handling Warnings in the Accounts Blotter

This section explains how to handle the most common import warnings you will encounter in the Accounts blotter. The following table shows the warning messages discussed here, and whether it is a hard or soft warning.

Warning Message	Warning Type
Account previously posted for the custodian file date	Soft
Client match found based on client name or SSN. Please confirm mapping	Soft
Multiple clients found. Click on icon to select the best matched client and advisor	Hard

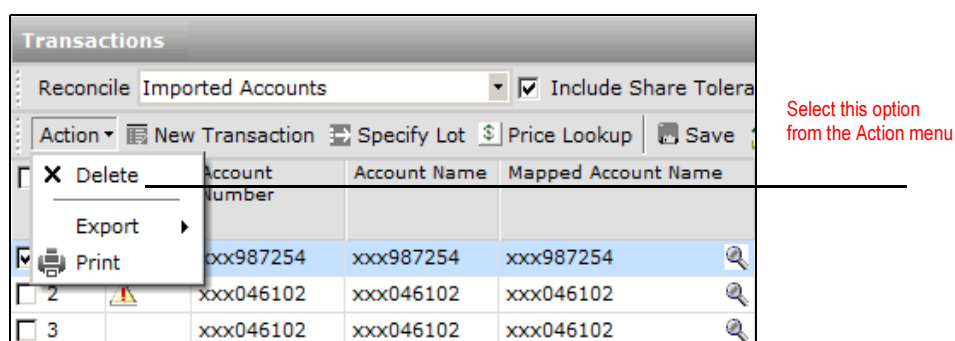
### Overview

This warning indicates that a transaction in the import file has been previously imported and posted. You can re-import using the correct date range, re-import with an altered date range to exclude these re-imported transactions from the import file, or the transactions can be deleted in the blotter.

Examine the accounts in question to determine if, in fact, the imported transactions have been duplicated. If so, do the following:

1. Navigate to the Transactions blotter
2. Select the **transaction(s)**.
3. From the toolbar above the grid view, click the **Action** menu.
4. From the Action menu, select **Delete**.

### Handling the "Account previously posted for the custodian file date." warning








This warning indicates that the import file contains an account with a social security number that is recognized by Morningstar Office as the social security number of an existing client. If the data in the Mapped Client Name column is correct, no action is required and the new account will be added to that existing Client record. If the data is incorrect, do the following:

















1. In the Mapped Client Name column, click the **magnifying glass icon**.
2. In the new widow, select the appropriate client and click **OK**.
3. Click **Save**.

**Handling the  
"Client match found  
based on client  
name or SSN.  
Please confirm  
mapping." warning**

Existing Accounts

Reconcile Imported Accounts ☒ Include Share Tolerance  

Action  Export  Print  Post

<input type="checkbox"/>	Status	Account Number	Account Type	Social Security Number	Mapped Client Name	Address
<input checked="" type="checkbox"/> 1		xxx036577	Taxable		Jane Doe	
<input type="checkbox"/> 2		xxx971385	Taxable		xxx971385	
<input type="checkbox"/> 3		xxx987254	Taxable		xxx987254	
<input type="checkbox"/> 4		xxx989878	Taxable		xxx989878	
<input type="checkbox"/> 5		xxx046102	Taxable		xxx046102	
<input type="checkbox"/> 6		xxx973095	Taxable		xxx973095	
<input type="checkbox"/> 7		xxx973119	Taxable		xxx973119	
<input type="checkbox"/> 8		xxx971380	Taxable		xxx971380	

Click the magnifying glass icon to find the correct account

This warning indicates that the import file contains a client name that matches multiple existing client names in Morningstar Office's database. To address this warning, do the following:

1. Double-click **the icon in the Status column** next to the client in question.
2. From the list that appears, choose the correct match.
3. Click **OK**.
4. Click **Save**.

**Handling the  
"Multiple clients  
found. Click on icon  
to select the best  
matched client and  
advisor." warning**

Import - Morningstar Office

Select Matching Client here

Please select the appropriate client and click "OK" to save the mapping. Or, click on "Create a New Client" to create a new client if a proper matching is not found.

	Client Name	SSN	Address1	City	State	Zip Code
<input checked="" type="checkbox"/> 1	xxx036577					

OK Cancel

Select the client and click OK

## Handling Warnings in the Positions Blotter

This section explains how to handle the most common import warnings you will encounter in the Positions blotter. The following table shows the warning messages discussed here, and whether it is a hard or soft warning.

Warning Message	Warning Type
Data missing	Soft
Market value does not equal price * units	Soft

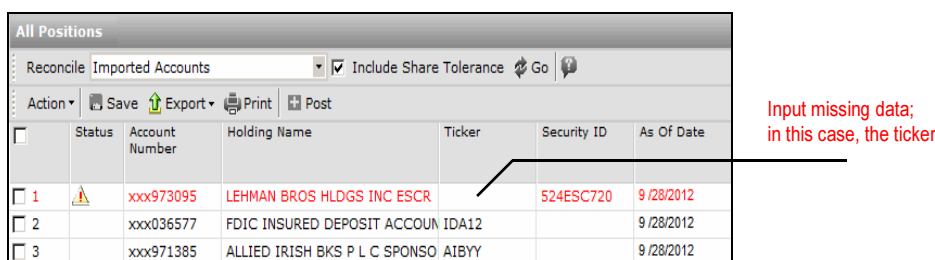
### Overview

This warning indicates that the imported position files contain positions missing share, date, or price data. If the security in question is held in a transactional account, the warning can be ignored.

### Handling the “Data missing” warning

If you are importing a positional account, though, the warning should be corrected. To manually enter the missing information, do the following:

1. Locate the field with the missing information.
2. Click on the **empty field**.
3. Enter the data.
4. Click **Save**.



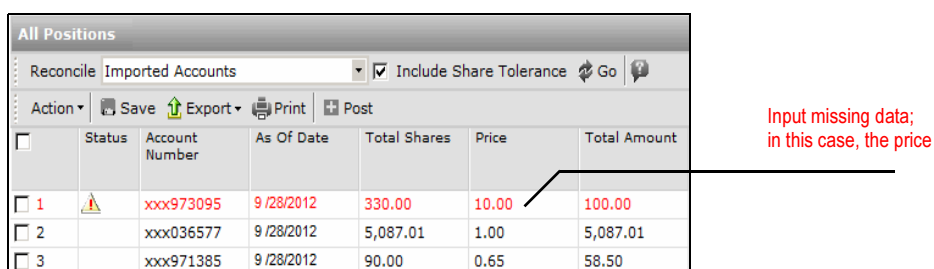
Input missing data; in this case, the ticker

All Positions						
Reconcile		Imported Accounts		<input checked="" type="checkbox"/> Include Share Tolerance <input type="button" value="Go"/>		
Action <input type="button" value="Save"/> <input type="button" value="Export"/> <input type="button" value="Print"/> <input type="button" value="Post"/>						
	Status	Account Number	Holding Name	Ticker	Security ID	As Of Date
<input type="checkbox"/> 1		xxx973095	LEHMAN BROS HLDGS INC ESCR		524ESC720	9/28/2012
<input type="checkbox"/> 2		xxx036577	FDIC INSURED DEPOSIT ACCOUN	IDA12		9/28/2012
<input type="checkbox"/> 3		xxx971385	ALLIED IRISH BKS P L C SPONSO	AIBYY		9/28/2012

This warning indicates that either the price, number of shares or market value of a position is not accurate. Most likely, the price is in error. Verify the price of the security in question by doing the following:

### Handling the “Market value does not equal price \* units.” warning

1. Do one of the following:
  - click the **Price Lookup button**, or
  - **enter the correct price manually** in the Price field.
2. Click **Save**.



Input missing data; in this case, the price

All Positions						
Reconcile		Imported Accounts		<input checked="" type="checkbox"/> Include Share Tolerance <input type="button" value="Go"/>		
Action <input type="button" value="Save"/> <input type="button" value="Export"/> <input type="button" value="Print"/> <input type="button" value="Post"/>						
	Status	Account Number	As Of Date	Total Shares	Price	Total Amount
<input type="checkbox"/> 1		xxx973095	9/28/2012	330.00	10.00	100.00
<input type="checkbox"/> 2		xxx036577	9/28/2012	5,087.01	1.00	5,087.01
<input type="checkbox"/> 3		xxx971385	9/28/2012	90.00	0.65	58.50

## Handling Warnings in the Prices Blotter

This section explains how to handle the most common import warning you will encounter in the Prices blotter. Only one message is commonly encountered in the Prices blotter: Missing price date. This is a soft warning.



### Overview





This warning indicates the imported price file contains a security lacking a price date. To resolve this issue, do the following:

### Handling the “Missing price date.” warning

1. Determine the correct price date for the security.
2. In the blotter, locate the Date field for the security and **manually enter the date**.
3. Click **Save**.

Prices

Reconcile Imported Accounts ☒ Include Share Tolerance  Go 

Action  Save  Export  Print  Post

<input type="checkbox"/>	Status	Security Name	Ticker	Security ID	Price Date
<input type="checkbox"/> 3		AMERICAN ELEC PWR INC COM	AEP		
<input type="checkbox"/> 4		ANNALY CAPITAL MANAGEMENT I	NLY		9 / 4 / 2012
<input type="checkbox"/> 5		ARCITERRA INC REIT NSA		040995011	9 / 4 / 2012
<input type="checkbox"/> 6		ALLIED IRISH BKS P L C SPONSO	AIBYY		9 / 5 / 2012

Input missing data;  
in this case, the price date

## Handling warnings in the Securities Blotter

This section explains how to handle the most common import warnings you will encounter in the Securities blotter. The following table shows the warning messages discussed here, and whether it is a hard or soft warning.

Warning Message	Warning Type
Morningstar-tracked VA has multiple sub-account matches. To capture imported prices for each sub-account, a user-defined security must be created, so the Morningstar-tracked VA cannot be substituted.	Soft
Multiple security matches found in your Securities blotter. Click "OK" to select the best matched security in your Securities blotter.	Hard
Security mapped to a different Morningstar security type. Please confirm this mapping.	Soft
Security mapped to a Morningstar-tracked security outside the domain of your exchange and/or currency filters. Please confirm this mapping.	Soft
Security not recognized by Morningstar. You can choose to leave the security un-mapped or try to map manually.	Soft
Security type not found. Please select security type.	Soft

This warning reads:

Morningstar-tracked VA has multiple sub-account matches. To capture imported prices for each sub-account, a user-defined security must be created, so the Morningstar-tracked VA cannot be substituted.

This warning can be seen only if you are importing from DST Vision and it indicates a sub-account for a VA contained in the DST's security file matches multiple sub-accounts in Morningstar's database.

This security must remain a user-defined security to accurately store imported pricing. No action is needed.

### Overview

### Handling the Morningstar-tracked VA has multiple sub-account matches..." warning

The warning reads:

Multiple security matches found in your Securities blotter. Click "OK" to select the best matched security in your Securities blotter.

This warning indicates that a security ID contained in the custodian security file matches multiple securities in Morningstar's database. To resolve this issue, do the following:

1. Double-click the **red warning symbol** next to the security in question.
2. From the list that appears, **select the correct match**. To ensure a proper match, be careful to check the Currency, Exchange and Status columns.
3. If no proper match is presented, click the **Save as User-Defined** button instead.
4. Click **Save**.

### Handling the "Multiple security matches found in your Securities blotter..." warning

**Import - Morningstar Office**

Select the matching security here

Multiple matchings have been found for the following securities. Select the proper security to be matched and click on "OK", or Click on "Save As User Defined" to create as user defined security if a proper matching is not found.

	Morningstar Ticker	Morningstar Mapped Name	Security Type	Security ID	Currency	Status	Exchange Name	ISIN
<input checked="" type="checkbox"/> 1	RDSA	Royal Dutch Shell PLC	Stock	G7690A100	GBP	Active	LONDON STOCK EXCHANGE, THE	GB00B03MLX29
<input type="checkbox"/> 2	RDSA	Royal Dutch Shell PLC	Stock	G7690A100	EUR	Active	EURONEXT AMSTERDAM	GB00B03MLX29
<input type="checkbox"/> 3	RDSA	Royal Dutch Shell PLC	Stock	G7690A100	CHF	Inactive	SWISS EXCHANGE	GB00B03MLX29

Save as User-Defined OK Cancel

Select a security and click **OK**, or, if the correct security is not shown, click **Save as User-Defined**



This warning reads:

Security mapped to a different Morningstar security type. Please confirm this mapping.

This warning indicates that the import file contains a Morningstar-tracked security but the Security Type is different from the Security Type in Morningstar's database. For example, a security classified as a separate account at the custodian could be a Collective Investment Trust in Morningstar's database. Verify the security type in the Morningstar Mapped Security Type column to confirm that the mapping is correct. No other action is required to safely post your data.

If the mapping is incorrect, do the following:

1. Click in the **Morningstar Mapped Security Type** column.
2. Select a **security type**.
3. Click **Save**.

 You can also use the Definition Master to map the security after posting.

**Handling the  
"Security mapped to  
a different  
Morningstar  
security type..."**

Morningstar-tracked Securities

Reconcile
Imported Accounts

☒ Include Share Tolerance
Go

Action
Save
Export
Print
Post

	Status	Ticker	Security ID	Morningstar Mapped Security Type	Price Source	Morningstar Mapped Holding	Morningstar Mapped Name
<input type="checkbox"/> 14		F		Mutual Fund	Morningstar Price	F	Ford Motor Co
<input type="checkbox"/> 15		FFRIX		Mutual Fund	Morningstar Price	FFRIX	Fidelity Advisor Floating Rate Hi Inc
<input type="checkbox"/> 16		GEL		Stock	Morningstar Price	GEL	Genesis Energy LP
<input type="checkbox"/> 17		GXP		Stock	Morningstar Price	GXP	Great Plains Energy Inc

Input the  
correct security type

This warning reads:

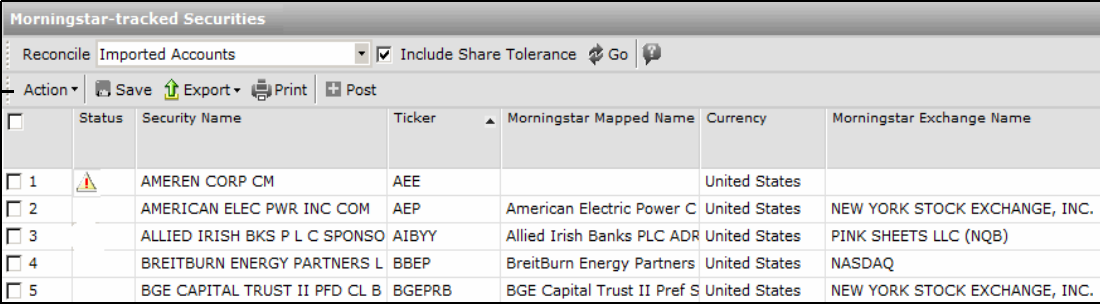
Security mapped to a Morningstar-tracked security outside the domain of your exchange and/or currency filters. Please confirm this mapping.

This warning indicates that either security data in the import file is not accurate, or your Exchange or Currency Filters need to be changed.

First, verify that the data in the Morningstar Mapped Name column, Currency column, and Morningstar Exchange Name column are accurate. If any of this data is not accurate, do the following:

1. Locate the security in the blotter.
2. Delete the inaccurate data.
3. From the toolbar above the grid view, click the **Action** menu.
4. Select **Save as User Defined**.
5. Click **Save**.

**Handling the  
"Security mapped to  
a Morningstar-  
tracked security  
outside the  
domain..." warning**



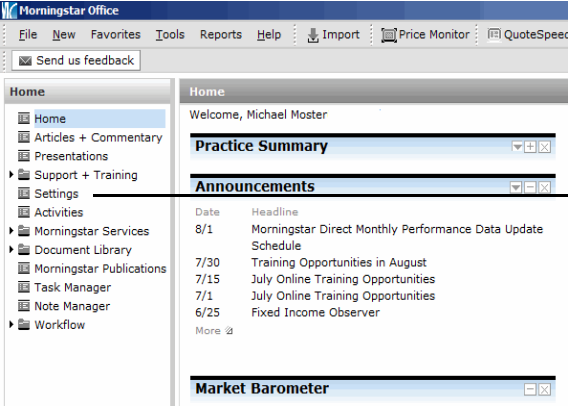
The screenshot shows the 'Morningstar-tracked Securities' window. At the top, there are buttons for 'Reconcile', 'Imported Accounts', 'Include Share Tolerance', and 'Go'. Below these are buttons for 'Action', 'Save', 'Export', 'Print', and 'Post'. The main table has columns: Status, Security Name, Ticker, Morningstar Mapped Name, Currency, and Morningstar Exchange Name. The first row has a warning icon (a yellow triangle with an exclamation mark) in the Status column. A red arrow points from the 'Action' button to the first row, with the text 'Click the Action menu, then click Save as User Defined'.

Status	Security Name	Ticker	Morningstar Mapped Name	Currency	Morningstar Exchange Name
1	AMEREN CORP CM	AEE		United States	
2	AMERICAN ELEC PWR INC COM	AEP	American Electric Power C	United States	NEW YORK STOCK EXCHANGE, INC.
3	ALLIED IRISH BKS P L C SPONSO	AIBYY	Allied Irish Banks PLC ADR	United States	PINK SHEETS LLC (NQB)
4	BREITBURN ENERGY PARTNERS L	BBEP	BreitBurn Energy Partners	United States	NASDAQ
5	BGE CAPITAL TRUST II PFD CL B	BGEPRB	BGE Capital Trust II Pref S	United States	NEW YORK STOCK EXCHANGE, INC.

Click the Action menu, then click Save as User Defined

If the Morningstar Mapped Name column, Currency column, and Morningstar Exchange Name column are accurate in the blotter, the security in question might be traded on an exchange not included in your Exchange Filter, or its currency (denomination) is not included in your Currency Filter. To adjust the filters, do the following:

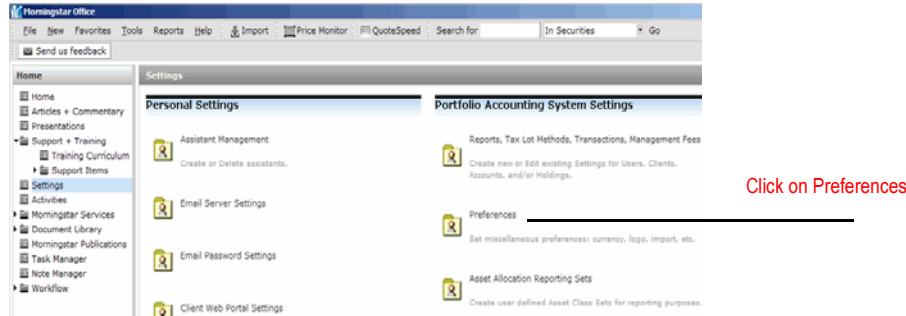
1. From the **Home** tab, select the **Settings** page.



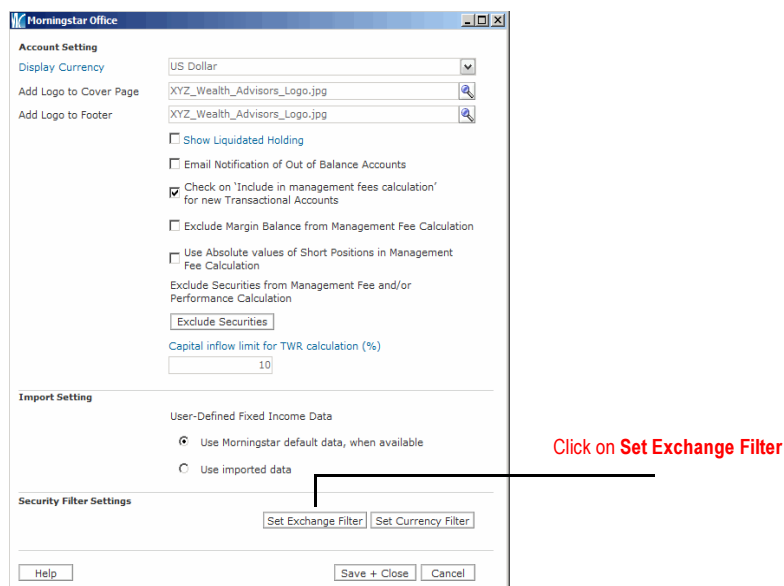
The screenshot shows the 'Morningstar Office' application. The 'Home' tab is selected. In the left navigation pane, the 'Settings' link is highlighted. A red arrow points from the 'Settings' link to the 'Settings' page, with the text 'Click on the Settings page'.

Click on the Settings page

2. Under the Portfolio Accounting System Settings section, click once on the **Preferences** option. The Account Setting dialog box opens.



3. At the bottom of the Account Setting dialog box, click either the **Set Exchange Filter** or **Set Currency Filter** button. The Set Exchange Filter (or Set Currency Filter) dialog box opens. You can add new items here.



To adjust your Exchange Filter, do the following:

1. Click on **Set Currency Filter**.

the Exchange or

Morningstar Office

Account Setting

Display Currency: US Dollar

Add Logo to Cover Page: XYZ\_Wealth\_Advisors\_Logo.jpg

Add Logo to Footer: XYZ\_Wealth\_Advisors\_Logo.jpg

☐ Show Liquidated Holding

☐ Email Notification of Out of Balance Accounts

☒ Check on 'Include in management fees calculation' for new Transactional Accounts

☐ Exclude Margin Balance from Management Fee Calculation

☐ Use Absolute values of Short Positions in Management Fee Calculation

Exclude Securities from Management Fee and/or Performance Calculation

Exclude Securities

Capital inflow limit for TWR calculation (%)

10

Import Setting

User-Defined Fixed Income Data

☒ Use Morningstar default data, when available

☐ Use imported data

Security Filter Settings

Set Exchange Filter Set Currency Filter

Help Save + Close Cancel

Click on **Set Exchange Filter**

2. In the Set Currency Filter window, click on **Add / Remove Exchanges**.

the Exchange or

Morningstar Office

Set Exchange Filter

Our system will attempt to map your imported securities to Morningstar-tracked securities. You can configure the security matching process by selecting the exchanges where your securities are trading below. The process will pick the first match from the selected exchange list according to your selected order.

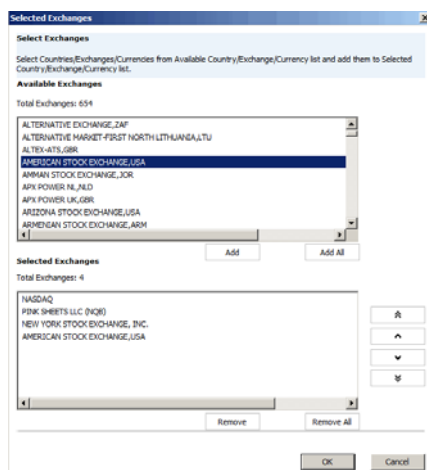
Use selected countries/exchanges/currencies as default for security matching. Reorder by going to 'Add/Remove' dialog box.

Selection Order	Exchange Code	Exchange Name	Import Match	Apply to find Stock Security
1	EXSS\$XNAS	NASDAQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2	EXSS\$SPNX	PINK SHEETS LLC (NOB)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
3	EXSS\$XNYS	NEW YORK STOCK EXCHANGE, INC.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Help Add / Remove Exchanges Save + Close Cancel

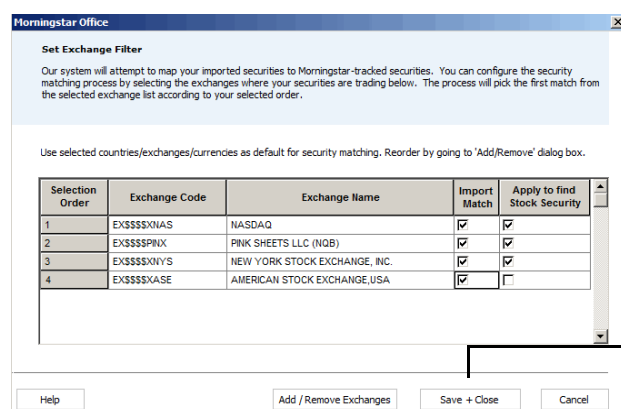
Click on **Add / Remove Exchanges**

3. In the Selected Exchanges window, **double-click on your desired exchange**.
4. Click **OK**.



Select the **Exchange**  
and click **OK**

5. Back in the Set Exchange Filter window, click the **Import Match checkbox** for the new exchange.
6. Click **Save + Close**.



Click **Save + Close**

To adjust your Currency Filter, do the following:

1. Click on **Set Currency Filter**.

**Morningstar Office**

**Account Setting**

Display Currency: US Dollar

Add Logo to Cover Page: XYZ\_Wealth\_Advisors\_Logo.jpg

Add Logo to Footer: XYZ\_Wealth\_Advisors\_Logo.jpg

☐ Show Liquidated Holding

☐ Email Notification of Out of Balance Accounts

☒ Check on 'Include in management fees calculation' for new Transactional Accounts

☐ Exclude Margin Balance from Management Fee Calculation

☐ Use Absolute values of Short Positions in Management Fee Calculation

Exclude Securities from Management Fee and/or Performance Calculation

Capital inflow limit for TWR calculation (%)

10

**Import Setting**

User-Defined Fixed Income Data

☒ Use Morningstar default data, when available

☐ Use imported data

**Security Filter Settings**

Click on **Set Currency Filter**

2. In the Set Exchange Filter window, click on **Add / Remove Currencies**.

**Morningstar Office**

**Set Exchange Filter**

Our system will attempt to map your imported securities to Morningstar-tracked securities. You can configure the security matching process by selecting the exchanges where your securities are trading below. The process will pick the first match from the selected exchange list according to your selected order.

Use selected countries/exchanges/currencies as default for security matching. Reorder by going to 'Add/Remove' dialog box.

Selection Order	Exchange Code	Exchange Name	Import Match	Apply to find Stock Security
1	EXSSSSXNAS	NASDAQ	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2	EXSSSSPHIX	PINK SHEETS LLC (NOB)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
3	EXSSSSXNYS	NEW YORK STOCK EXCHANGE, INC.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Click on **Add / Remove Currencies**

3. In the Selected Exchanges window, **double-click on your desired exchange**.
4. Click **OK**.

**Selected Currencies**

Select Countries/Exchanges/Currencies from Available Country/Exchange/Currency list and add them to Selected Country/Exchange/Currency list.

**Available Currencies**

Total Currencies: 173

Mexico, Pesos

Moldova, Lei

Mongolia, Tugriks

Morocco, Dirhams

Mozambique, Meticals

Myanmar (Burma), Kyats

Namibia, Dollars

Nepal, Nepali Rupees

Netherlands Antilles, Guilders (also called Florins)

**Selected Currencies**

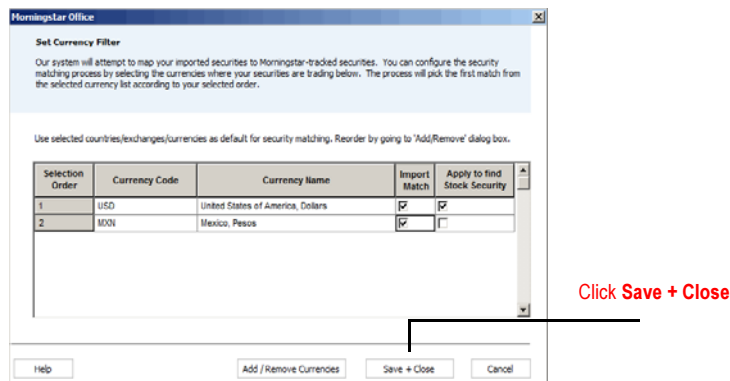
Total Currencies: 2

United States of America, Dollars

Mexico, Pesos

Select the **Currency** and click **OK**

- Back in the Set Exchange Filter window, click the **Import Match checkbox** for the new exchange.
- Click **Save + Close**.



The warning message will remain in the Import blotter. You must re-import your data for warning to disappear.

Remember, this is a soft warning and will not prevent you from posting.

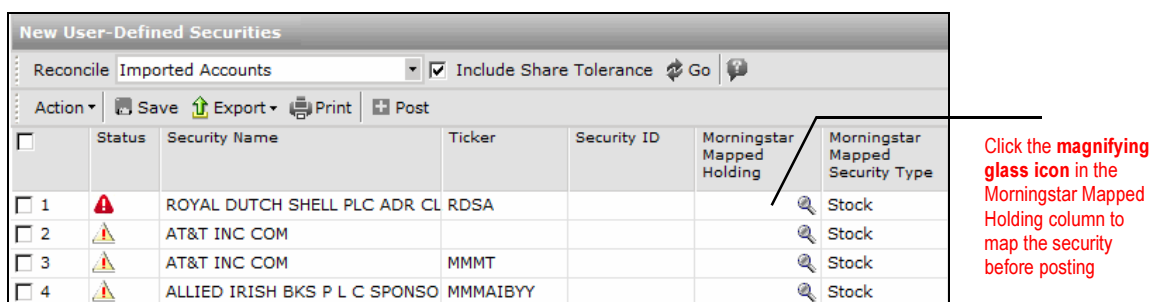
This warning reads:

Security not recognized by Morningstar. You can choose to leave the security un-mapped or try to map manually.

This warning indicates that a security contained in an import file is neither tracked in Morningstar's database, nor has been previously saved as a User-Defined Security in the Definition Master. No action is required on your part as Morningstar Office will automatically create a new User-Defined Security in your Definition Master after the data is posted.

Alternatively, you have the option to map the security to one in Morningstar's database before posting. To do so:

- Click the **magnifying glass icon** in the Morningstar Mapped Holding column.



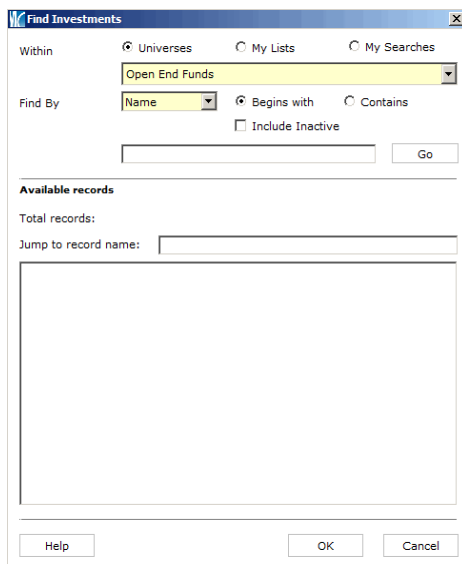
- In the Find Investments window, select the proper **Universe** in the dropdown menu.

The Open End Funds Universe is always the default selection

- In the Find by dropdown menu, choose how you will search for the security (name, ticker, etc.).
- Type the security identifier (name, ticker, etc.) in the empty field.

5. Select the **security**.
6. Click **OK**.
7. Click **Save**.

 Note: You can also use the Definition Master to map the security after posting.



The "Find Investments" dialog box is shown. It has a "Within" section with radio buttons for "Universes", "My Lists", and "My Searches". The "Universes" radio button is selected. Below it is a dropdown menu showing "Open End Funds". The "Find By" section has a dropdown menu showing "Name" and two radio buttons: "Begins with" (selected) and "Contains". There is also a checkbox for "Include Inactive" which is unchecked. A "Go" button is to the right of the "Find By" section. Below the "Go" button is a section titled "Available records" with a "Total records:" label and a "Jump to record name:" input field. At the bottom are "Help", "OK", and "Cancel" buttons.

Select the proper Universe,  
type the security name or ticker,  
and click OK

This warning indicates that the imported file contains an unrecognizable security type code for a security. It is not usually necessary to correct this warning, but a more appropriate security type might be desired or needed. To correct this, do the following:

1. Click in the **Security Type** field.
2. Select the appropriate **security type** from the drop-down menu.
3. Click **Save**.

**Handling the  
"Security type not  
found. Please select  
security type."  
warning**

Morningstar-tracked Securities

Reconcile
Imported Accounts

☒ Include Share Tolerance
Go

Action

Save

Export

Print

Post

	Status	Ticker	Security ID	Morningstar Mapped Security Type	Price Source	Morningstar Mapped Holding	Morningstar Mapped Name
<input type="checkbox"/> 14		F			Morningstar Price	F	Ford Motor Co
<input type="checkbox"/> 15		FFRIX		Mutual Fund	Morningstar Price	FFRIX	Fidelity Advisor Floating Rate Hi Inc I
<input type="checkbox"/> 16		GEL		Stock	Morningstar Price	GEL	Genesis Energy LP
<input type="checkbox"/> 17		GXP		Stock	Morningstar Price	GXP	Great Plains Energy Inc

Input the  
security type



## Handling Warnings in the Transactions Blotter

This section explains how to handle the most common import warnings you will encounter in the Transactions blotter. The following table shows the warning messages discussed here, and whether it is a hard or soft warning.

### Overview

Warning Message	Warning Type
Duplicate transaction.	Soft
For transaction data accuracy, imported spin-off transactions should be deleted and re-generated using the Morningstar Office Spin-off Wizard. Please refer to the Corporate Action Warehouse for more information and resources.	Hard
Gross amount does not equal price*shares.	Soft
Invalid transaction type for the security type.	Hard
Journal entry—will not post.	Hard
Missing transaction date.	Hard
Negative commission/fees calculated. Please confirm this transaction.	Soft
Net amount does not equal gross amount +/- fees and/or commissions.	Soft
No Transaction Type.	Hard
Not a transaction account.	Hard
Not enough shares for close.	Soft
Offsetting cash transaction not posted.	Hard or Soft
Please enter cost basis.	Soft
Pre/post-split ratio missing.	Hard
Transaction data missing.	Soft
Transaction price missing.	Soft
Zero quantity.	Hard

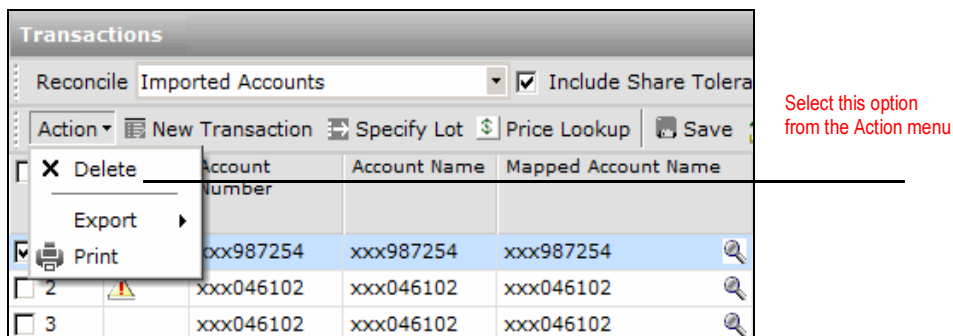
This warning indicates that Morningstar Office recognizes a transaction in the import file that is identical to a transaction that has already been posted to the same account. Note that reconciliation is normally the best indicator of whether or not a transaction should be deleted. If the position has been balanced in reconciliation, then this warning can be safely ignored.

### Handling the "Duplicate transaction." warning

Navigate to the transaction history of the account in question in the main Morningstar Office window and locate the posted transaction. If you determine that the transaction on the blotter is indeed an unnecessary duplicate, delete it from the blotter. To delete the transaction, do the following:

1. Select the transaction
2. Click the **Action** menu.
3. Select **Delete**.

If it is not a duplicate transaction, simply click the **Post button** at the top of the screen.



This warning message reads:

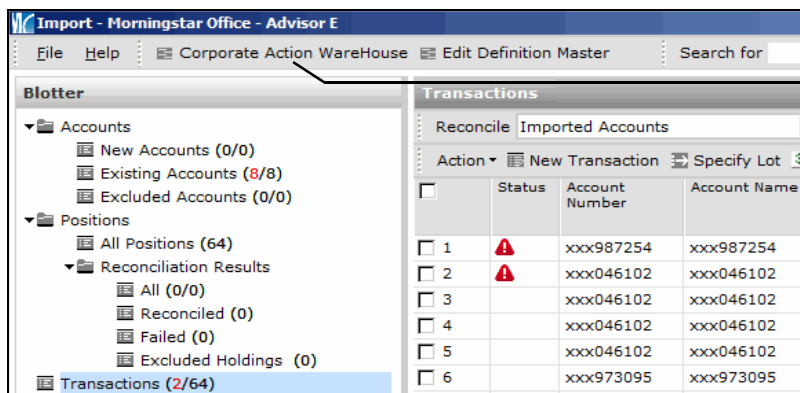
For transaction data accuracy, imported spin-off transactions should be deleted and re-generated using the Morningstar Office Spin-off Wizard. Please refer to the Corporate Action Warehouse for more information and resources.

This warning indicates that transactions contained in the import file are a result of a merger or acquisition and recognized as such by Morningstar. Typically these transactions lack original cost basis and original date information. In order to have the most accurate cost basis information, you must detail the transaction(s) using the Corporate Actions Wizard.

A note about the Corporate Actions Wizard:

The Corporate Actions Wizard can be used to generate transactions necessary to track mergers or spinoffs. Any corporate action resulting in changes to share amounts can be represented by Credit of Security, Debit of Security, and Distribution transaction types. See the manual titled "Using the Spinoff Wizard" for more information.

**Handling the  
"For transaction  
data accuracy,  
imported spin-off  
transactions should  
be deleted..."  
warning**



Click this icon to open the Corporate Action WareHouse

This warning indicates that the gross amount for a transaction in an import file does not equal the product of the number of shares times the price. Although this warning occurs before posting, it will not prevent a transaction from posting.

You can input a value in any of the affected fields in the blotter. To change the value, do the following:

1. Click in the **affected field**.
2. Type in the correct **value**.

☞ Or, you can delete the value in the incorrect field and click Save; the missing value will automatically be calculated and populated.

3. Click **Save**.

☞ Note: Alternatively, you can edit the transaction in the account after posting.

Transactions						
Reconcile		Imported Accounts	<input checked="" type="checkbox"/> Include Share Tolerance		Go	
Action	New Transaction	Specify Lot	Price Lookup	Save	Export	Print
	Status	Account Number	Net Amount	Gross Amount	Number of Shares	Price
<input type="checkbox"/> 2		xxx046102	25.00	25.00	25.00	5.65
<input type="checkbox"/> 3		xxx046102	25.00	25.00	0.00	0.00
<input type="checkbox"/> 4		xxx046102	25.00	25.00	25.00	1.00
<input type="checkbox"/> 5		xxx046102	137.11	137.11	137.11	1.00
<input type="checkbox"/> 6		xxx973095	20.00	20.00	0.00	0.00

Input the correct data in the grid view

This warning indicates that an imported transaction type is an invalid transaction type for the security to which it is linked. Usually, this is an indication that the wrong security type is set for this security in Morningstar Office or in the import file. Morningstar Office has a specific set of transaction types that apply to each security type. Refer to the Morningstar Office Transaction Type manual for more detail.

To post transactions that have been marked with this warning, you will need to modify the transaction type to align with the security type that is currently set. To modify the transaction type:

1. Click in the **Transaction Type** field.
2. Select the appropriate **transaction type**.
3. Click **Save**.

☞ After posting, you can then research the security and decide if the type needs to be changed in the Definition Master.

Transactions						
Reconcile		Imported Accounts	<input checked="" type="checkbox"/> Include Share Tolerance		Go	
Action	New Transaction	Specify Lot	Price Lookup	Save	Export	Print
	Status	Account Number	Holding Name	Ticker	Transaction Type	
<input type="checkbox"/> 1		xxx987254	FIDELITY ADVISOR SER II FLOAT	FFRIX	Surrender	
<input type="checkbox"/> 2		xxx046102	FDIC INSURED DEPOSIT ACCOUNT	IDA12	Cover Short	
<input type="checkbox"/> 3		xxx046102	FORD MOTOR COM	F	Distribution	
<input type="checkbox"/> 4		xxx046102	CASH		Deposit	

Input the correct Transaction Type

### Handling the "Gross amount does not equal price\*shares." warning

### Handling the "Invalid transaction type for the security type." warning

A transaction in the import file is identified as a journal transaction by the custodian. Research the item in your records to determine if the transaction is necessary. If you determine that the transaction should be included, click in the Transaction Type field and select the correct type from the drop-down menu. Save your changes by clicking the Save button at the top of the screen.

### Handling the "Journal entry—will not post." warning

Often, transactions with this warning simply represent accounting changes between cash and margin cash, which can be safely deleted from the blotter. If you are not certain whether an item with this warning should be posted or deleted, first run the reconciliation process. If the holding appears out of balance, the transaction can be edited and posted. If not, the transaction is probably safe to delete. For Fidelity files, journal transactions are usually paired; they can normally be deleted as long as the amounts or shares match for each pair.

Transactions					
Reconcile		Imported Accounts	Include Share Tolerance Go		
Action	New Transaction	Specify Lot	Price Lookup	Save	Export Print
	Status	Account Number	Holding Name	Ticker	Transaction Type
<input type="checkbox"/> 1	⚠	xxx987254	FIDELITY ADVISOR SER II FLOAT	FFRIX	
<input type="checkbox"/> 2	⚠	xxx046102	FDIC INSURED DEPOSIT ACCOUN	IDA12	
<input type="checkbox"/> 3		xxx046102	FORD MOTOR COM	F	Distribution
<input type="checkbox"/> 4		xxx046102	CASH		Deposit
<input type="checkbox"/> 5		xxx046102	CASH		Interest

Journal entries often  
lack a Transaction Type

This warning indicates that a transaction in an import file lacks a recognizable transaction date. Research this transaction in your records to determine the correct date, then edit the transaction date. To edit the transaction date, do the following:

### Handling the "Missing transaction date." warning

1. Click in the **Transaction Date** field.
2. Input the **proper date**.
3. Click **Save**.

Transactions					
Reconcile		Imported Accounts	Include Share Tolerance Go		
Action	New Transaction	Specify Lot	Price Lookup	Save	Export Print
	Status	Account Number	Holding Name	Ticker	Transaction Date
<input type="checkbox"/> 1	⚠	xxx987254	FIDELITY ADVISOR SER II FLOAT	FFRIX	
<input type="checkbox"/> 2		xxx046102	FDIC INSURED DEPOSIT ACCOUN	IDA12	9 / 4 / 2012
<input type="checkbox"/> 3		xxx046102	FORD MOTOR COM	F	9 / 4 / 2012
<input type="checkbox"/> 4		xxx046102	CASH		9 / 4 / 2012

Input the Transaction Date

This warning indicates that the custodian can create negative commission/fees resulting in a situation where the product of the shares and prices did not equal the dollar value. Generally, no action is required, but you can compare the transaction data in the blotter with the Custodian data to verify accuracy. The commission/fee might be a fractional value. Click in the Share, Price, or Market Value field of the transaction to view fractional values.

**Handling the "Negative commission/fees calculated. Please confirm this transaction." warning**

Transactions						
Reconcile		Imported Accounts	<input checked="" type="checkbox"/> Include Share Tolerance		Go	
Action	New Transaction	Specify Lot	Price Lookup	Save	Export	Print
	Status	Account Number	Net Amount	Gross Amount	Number of Shares	Price
<input type="checkbox"/> 2		xxx046102	25.00	25.00	25.141187	5.65
<input type="checkbox"/> 3		xxx046102	25.00	25.00	0.00	0.00
<input type="checkbox"/> 4		xxx046102	25.00	25.00	25.00	1.00

Click in a field to reveal fractional amounts

This warning indicates that the net amount for a transaction in an import file does not equal the sum of the gross amount plus any fees or commissions applied. Normally this warning can be ignored due to rounding error on the part of the custodian. But, you might want to research the transaction in your records to confirm the amounts.

**Handling the "Net amount does not equal gross amount +/- fees and/or commissions." warning**

To change a value in any of these fields, do the following:

1. Click in the affected field.
2. Enter the correct value.
3. Click Save.


Transactions						
Reconcile		Imported Accounts	<input checked="" type="checkbox"/> Include Share Tolerance			
Action	New Transaction	Specify Lot	Price Lookup	Save	Export	Print
	Status	Account Number	Net Amount	Gross Amount	Commission Amount	
<input type="checkbox"/> 2		xxx046102	25.00	1,685.35	100.00	
<input type="checkbox"/> 3		xxx046102	25.00	25.00	0.00	
<input type="checkbox"/> 4		xxx046102	25.00	25.00	0.00	











Locate the incorrect data, and input the correct value

This warning indicates that a transaction in the import file lacks a recognizable Transaction Type. A Morningstar Transaction Type must be assigned to post the transaction. Research the transaction in your records to determine the transaction type and then edit the transaction. To edit the transaction, do the following:

### Handling the "No Transaction Type." warning

1. Click in the **Transaction Type** field
2. Select the correct **transaction type** from the drop-down menu
3. Click the **Save** button to save your changes.

 You might find useful information about the appropriate transaction type in the Comment column located at the far right as well.

Transactions					
Reconcile		Imported Accounts	Include Share Tolerance  		
Action ▾	 New Transaction	 Specify Lot	 Price Lookup	 Save	 Export ▾
 Print					
<input type="checkbox"/>	Status	Account Number	Holding Name	Ticker	Transaction Type
<input type="checkbox"/> 1		xxx987254	FIDELITY ADVISOR SER II FLOAT	FFRIX	
<input type="checkbox"/> 2		xxx046102	FDIC INSURED DEPOSIT ACCOUN	IDA12	Credit of Secu
<input type="checkbox"/> 3		xxx046102	FORD MOTOR COM	F	Distribution

Input the correct  
Transaction Type

This warning indicates that you attempted to post transactional data to a Quick Account rather than a Transactional Account. Transactional data can only be posted to a Transactional account. To verify the Account Tracking Method, do the following:

### Handling the "Not a transaction account." warning

1. **Access the Account** from either the Client Management or Portfolio Management tabs
2. View the **Tracking Method** column
3. If the Accounts Tracking Method is Quick, re-import the Account from its inception.

Morningstar Office

File


New


Favorites


Tools

Reports

Help

 Import


 Price Monitor


 Quotes


Home


Client Management


Portfolio Management

 Accounts

 Account Performance

 Groups

 Composites

 Billing

 Securities in Accounts


 Alerts


Accounts

Action

View

Overview

 Export

 Print

<input type="checkbox"/>	Account Name/ID	Tracking Method
	User Aggregate	
<input type="checkbox"/> 8	47013266	Transaction
<input type="checkbox"/> 9	92720943	Transaction
<input type="checkbox"/> 10	ABC Construction 401K Plan	Quick

Via the Client Management or  
Portfolio Management tab, locate  
the **Tracking Method** column

This warning can appear after posting for three reasons. Transactions might appear in an import file in non-chronological order. If you have confirmed during reconciliation that the holdings in question are in balance, you can ignore the warning and click the Post button to post the trades.

Transactions might be missing from the import file, which requires you to contact your custodian to obtain accurate files, or create the transactions manually in Office.

Shares might be fractionally different due to rounding. You can post the transaction and adjust a previous transaction for the security in question to balance the share value.

### Handling the "Not enough shares for close." warning


Transactions with cash offsets linked to them have failed to post, therefore the offsetting cash transaction failed to post as well. These cash offsets should not be modified. Research the associated transactions for any issues. Once the issue that prevented the posting of the transaction has been resolved, the cash offset transactions will safely post along with them.

### Handling the "Offsetting cash transaction not posted." warning

This warning indicates that a deliver-in or credit of security transaction lacks original cost basis information. The missing information can be input in the Import Blotter before posting. To input the missing information, do the following:


1. Click in the **Cost Basis field** enter the correct information
2. Click in the **Original Date field** and enter the correct information
3. Click **Save**.

### Handling the "Please enter cost basis." warning

Transactions					
Reconcile		Imported Accounts	<input checked="" type="checkbox"/> Include Share Tolerance		
Action ▾	New Transaction	Specify Lot	Price Lookup	Save	Export
	Status	Account Number	Per Share Cost Basis	Original Transaction Date	Net Amount
<input type="checkbox"/> 2		xxx046102			25.00
<input type="checkbox"/> 3		xxx046102	3.50	9 / 5 / 2013	25.00
<input type="checkbox"/> 4		xxx046102	78.45	8 / 5 / 2013	25.00

Input missing data;  
in this case, the  
Original Transaction Date

Alternatively, you can first post the data without including cost basis information and edit those transactions later in the corresponding account. Or, If you import from Schwab, TD Ameritrade, Pershing, or Fidelity Wealth Central and have the cost basis files, you can use the Imported Open Lots blotter to add cost basis to deliver-in transactions.

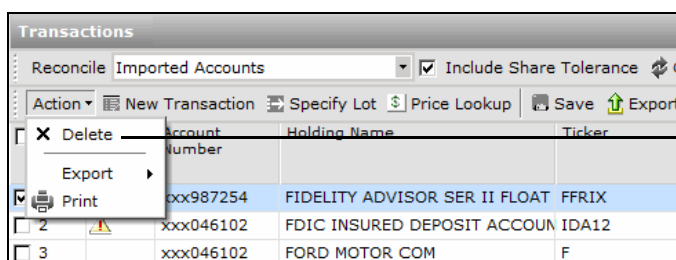
 Note: cost basis does not affect your returns. Returns are calculated from the point of the holding's inception within an account, not necessarily from original purchase date. Cost basis is only necessary if you plan to generate Realized or Unrealized Gain/Loss reports.



This warning indicates that a transaction included in your import file is labeled as a split but does not specify a pre-split/post-split ratio. Most often, the file instead specifies a share quantity indicating the number of new shares being credited to the holding in question as a result of the split. (In the case of a reverse split, this quantity may refer to the number of shares being debited out or the number of shares that should remain after the split.)

Check the transaction in your records to verify the details of the split. The Split transaction will likely need to be created manually, since there is no way to enter a split ratio for a pending transaction. Delete this transaction and use the Transaction Wizard to re-create it using the Split Transaction Type. If the split occurred in many accounts, you can use the Split Wizard.

### Handling the "Pre/post-split ratio missing." warning



You might need to delete a transaction and create a new transaction

To use the Transaction Wizard to re-create the transaction

1. **Select the transaction** in question.
2. Click on the **New Transaction icon**.
3. In the Transaction Type dropdown menu, select **Split**.
4. Complete the following required fields:
  - ▶ **Date** (the date of the split)
  - ▶ **Convert Fractional Share** (indicate processing of fractional shares)
  - ▶ **PreSplit** (the denominator of pre-split ratio; if a 2:1 ratio, then 1 is PreSplit value)
  - ▶ **PostSplit** (the numerator of pre-split ratio; if a 2:1 ratio, then 2 is PostSplit value)
  - ▶ **Conversion Price** (Price used to convert fractional shares. Enter zero if none)
5. Click **Save + Close**.

A transaction in the import file lacks either price or share amount. Most often, the cause of the warning is a missing price. To enter the value(s), do the following:

### Handling the "Transaction data missing." warning

1. Click in the **affected** field.
2. Type in the **correct value**.
3. Click **Save**.

Transactions

Reconcile Imported Accounts ☒ Include Share Tolerance

Action ▾ New Transaction Specify Lot Price Lookup Save Export

<input type="checkbox"/>	Status	Account Number	Number of Shares	Price	Per Share Cost Basis
<input type="checkbox"/> 2		xxx046102	350.00		
<input type="checkbox"/> 3		xxx046102	0.00	0.00	
<input type="checkbox"/> 4		xxx046102	25.00	1.00	78.45

Input the missing data

This warning indicates that a transaction in the import file lacks a price. To enter the price manually, do the following:

### Handling the "Transaction price missing." warning

1. Click in the **Price field**
2. Type in the **correct price**

☞ Alternatively, use the Price Lookup button at the top of screen to find the missing price if the transaction is a Deliver-in, Deliver-out, Credit of Security or Distribution Reinvest.

3. Click **Save**.

Transactions					
Reconcile		Imported Accounts		<input checked="" type="checkbox"/> Include Share Tolerance	
Action		New Transaction		Specify Lot	
				Price Lookup	
				Save	
				Export	
<input type="checkbox"/>	Status	Account Number	Number of Shares	Price	Per Share Cost Basis
<input type="checkbox"/>	2	xxx046102	350.00		
<input type="checkbox"/>	3	xxx046102	0.00	0.00	
<input type="checkbox"/>	4	xxx046102	25.00	1.00	78.45

Input the missing price

Input the missing price

This warning indicates that an imported transaction lacks a share quantity. Research the transaction in your records and make the necessary changes to the share amount, if any, in the blotter. If the transaction type should be modified, do the following: click in the Transaction Type field to select the correct option from the drop-down menu. To enter the price manually, do the following:

### Handling the "Zero quantity." warning

1. Click in the **Number of Shares field**
2. Type in the **correct number of shares**

☞ The Transaction Type might need to be modified as a result of this error as well.

3. Click **Save**.

Transactions						
Reconcile		Imported Accounts		<input checked="" type="checkbox"/> Include Share Tolerance <a href="#">Go</a>		
Action ▾	New Transaction	Specify Lot	Price Lookup	Save            Export ▾            Print		
<input type="checkbox"/>	Status	Account Number	Net Amount	Gross Amount	Number of Shares	Price

<input type="checkbox"/> 1		xxx987254	1,000.00	1,000.00	0.00	3.35
<input type="checkbox"/> 2		xxx046102	25.00	25.00	25.00	1.00
<input type="checkbox"/> 3		xxx046102	25.00	25.00	0.00	0.00
<input type="checkbox"/> 4		xxx046102	25.00	25.00	25.00	1.00

If necessary, enter the proper **Number of Shares**

If necessary, enter the proper **Number of Shares**