# ByAllAccounts Notifications

NOTFIC-0.3-20241220

| | |
|---|---|
| Document Version: | NOTFIC-0.3-20241220 |
| Document Issue Date: | December 20, 2024 |

| | |
|---|---|
| Technical Support: | (866) 856-4951 Option 1<br>Byallaccounts-support@morningstar.com |
| Telephone: | (781) 376-0801 |
| Fax: | (781) 376-8040 |
| Web: | byallaccounts.morningstar.com |

Table of Contents

## Overview

This document describes notifications to users of the ByAllAccounts® aggregation service that may be sent through or controlled by the Admin Tool. This information is for use only by ByAllAccounts employees and partners who have access to the Admin Tool and is not for distribution outside these groups. This document does not contain information on all possible notifications.

Note: In some cases, this document may refer to Admin Tool options that you do not see due to your role.

## About Notifications

The ByAllAccounts systems send notification emails. This guide describes notifications sent to Advisors, Assistants, Administrators, and/or Investors regarding:

- Validations
- General notification such as FI issues
- Application-configured alerts
- Adding, assigning, or changing users

These notifications are not to be confused with the emails sent to Investors by AccountView. For information about customizing emails sent by AccountView to Investors, refer to the *AccountView Customization Guide* at http://www.byallaccounts.net/Manuals/Accountview/AV_Customization_Guide.PDF

# General Notifications

## Notification: Known FI Issue

| | |
|---|---|
| What is the purpose? | To notify responsible customer operations personnel that ByAllAccounts has identified a problem with aggregating from a financial institution and is investigating the problem. |
| What initiates the notification? | ByAllAccounts identifies a problem during morning review of nightly aggregation reports. |
| When is the notification sent? | Usually between 7 AM and 8 AM Eastern, however, notifications of this nature can also be sent out at any time. |
| Who is the sender? | BAA-Service@alerts-morningstar.com |
| Who are the recipients? | Advisors and Assistants whose Investors have accounts at the specified FI(s). |
| What is the subject? | One of:<br>"Known issue at <FI Name>"<br>"ByAllAccounts Notice: Update Failure At <FI Name>" |
| How can the notification be customized? | The notification can be customized to be issued from a different sender and with a different signature. |
| How is it sent? | Through the Admin Tool, using **Send email.**<br>**Caution**: It is very important to use filter settings to target the appropriate recipients of the email. If you do not, all users will receive the email. You can filter by FI, Firm, Roles sent to (including Administrators), etc. |

In the following example, <recipient> will name the user receiving the email (one of the recipients as described above). The body of the email may be tailored to describe the issue.

Example:

From: BAA-ServiceAlerts@moningstar.com
Sent: Wed 1/15/2020 2:00 PM
To: <recipient>
Subject: Update failures for accounts at <FI>

Several accounts at <financial institution> website are currently experiencing an issue when attempting to navigate to the custodian's website. This issue is due to changes that the custodian made to their site overnight and is showing s an Error 1004 – no holdings/balances found. Our engineers are currently investigating this issue and are diligently working to correct the problem. We will make you aware of any updates as they are made available. Thank you for your patience.

Regards,
Technical Support
(866) 856-4951 Option 1
byallaccounts-support@morningstar.com

## Additions, Modifications, or Deletions of Users

There are two types of emails that can be sent when users are added, changed, or deleted. This section describes the ones that are sent using the Admin Tool. Other messages are sent by AccountView. To find information about the AccountView messages, refer to the guide listed in About Notifications, page 1.

| | |
|---|---|
| What is the purpose? | To notify users that they now have access to the application, their access has been removed, or that something about their account has changed. When a user's email address is changed, a message is sent their former email address informing them of the change. |
| What initiates the notification? | An addition, modification, or deletion of a user. |
| When is the notification sent? | Immediately upon the change. |
| Who is the sender? | The system's default email address or the firm's "From" email address if one is defined. |
| Who are the recipients? | The user who was added, changed, or deleted. In some cases it may copy the administrator. |
| What is the subject? | It varies by the type of change, but it is brief description of the operation. |
| How can the notification be customized? | Cannot be customized. |
| How is it sent? | Through the Admin Tool, using one of the options under Manage Users, such as **Add, Edit, Edit Email**, **Delete**, or **Reset password**, etc. |

In the following example the email is sent from the system's default address.

Example:

From: BAA-Service@alerts-morningstar.com
Sent: Tuesday, January 14, 2020 11:09 AM
To: <user's former email address>
Subject: Change to AccountView email

Your AccountView email address was changed by <firm name> to <new email address>.

If you did not authorize this change, please contact your customer support representative

Example:

This one is sent to the administrator who creates a new user. In this case it is sent from the firm's "From" email address <admin@admincompany.com> because it was specified.

| | |
|---|---|
| From: | <admin@admincompany.com> |
| Sent: | Monday, December 30, 2019 8:37 AM |
| To: | <administrator> |
| Subject: | AccountView investor created |

A new AccountView investor has been created:

Firm: <user's firm>
Name: <user name>
Client name: <user's actual name>
Email: <investor email address>
Login: <user login>
Internal ID: 6033

Note: values are not case sensitive. 'ABC' is the same as 'abc' or 'Abc'.

Example:

This one is sent to an advisor when an investor is assigned to them. It uses the system default as the sender email address.

| | |
|---|---|
| From: | BAA-Service@alerts-morningstar.com |
| Sent: | Monday, December 30, 2019 8:37 AM |
| To: | <advisor> |
| Subject: | AccountView clients assigned |

The following clients have been assigned to you in AccountView:

<investor name>

Click here to log in to AccountView:

https://www.byallaccounts.net/BAAWebApp/BAALogin.html

If you can't click on the above address, select the entire address, copy it and paste it into your browser's Address or Location field.

## Application-Configured Alerts that are Enabled in the Admin Tool

Alerts can be configured in various ByAllAccounts applications. There are alert configurations at the advisor level and at the investor (client) level – these are configured in different areas of the applications, such as AccountView, and setting them is outside the scope of this document. However, for those applications to send alerts, the capability must be enabled for the firm using the Admin Tool.

### Notification: Advisor Alert

| | |
|---|---|
| What is the purpose? | To notify designated alert recipients that a condition they requested be monitored has been triggered. |
| What initiates the notification? | ByAllAccounts software detects the configured trigger condition. |
| When is the notification sent? | Between 6 AM and 7 AM Eastern every day.<br><br>Different types of conditions have different re-detection behaviors so that notification of a particular condition may not occur every single day while that condition persists.<br><br>For aggregation failures, an alert email is sent the day an account fails to aggregate, then sent every seven business days until the condition is resolved. |
| Who is the sender? | BAA-Service@alerts-morningstar.com |
| Who are the recipients? | Recipients are configured for alerts by the user. The "advisor" type alerts are optionally sent to the advisor's email address (if one has been entered) as well as to up to four additional manually entered email addresses. |
| What is the subject? | "Alert for <advisor> from the ByAllAccounts Administration Service" |
| How can the notification be customized? | The notification can be customized to be issued from a different sender. |
| How is it sent? | The message is sent via the application if alerts are requested in the application. However, the ability of the application to send alerts is set at the firm level in the Admin Tool using **Run nightly alerts**. |

In the following example, the advisor receives the alert email regarding his clients' accounts. The body of the email identifies specific alerts for one or more clients.

Example:

From: BAA-ServiceAlerts@moningstar.com
Sent: <day, date time>
To: <advisor>
Subject Failed Account Updates Alert for <user> from the <firm> AccountView Service [advisor]

This is an automatic notification you requested from the <firm> AccountView Service.

| **Accounts with Incorrect Credentials** | | | |
|---|---|---|---|
| Client | Institution | Account | Last updated |
| <client name> | <institution> | <type of account> | <date> |

To fix the above account update failures, ensure that the online access data for the accounts is correct.

---

You asked to be notified if:

account update failed due to: 1) incorrect credentials, or 2) no holdings or balances found, or 3) failed to update for more than 7 days

* denotes non-captive accounts.

To view your clients' information or change the alert settings, click here:
https://www.byallaccounts.net/BAAWebApp/BAALogin.html

# Validations

## Notification: Validation Complete Notification

| | |
|---|---|
| What is the purpose? | To notify responsible customer operations personnel that the validation of one or more financial institutions has been completed and to provide any additional information about the quality of the data at that institution. In some cases, a custom translation file may be provided with the email for the customer to install for use with Custodial Integrator. |
| What initiates the notification? | ByAllAccounts completes the validation for an institution for a customer. |
| When is the notification sent? | Immediately upon completion of the validation. |
| Who is the sender? | BAA-Service@alerts-morningstar.com |
| Who are the recipients? | Advisors and Assistants whose Investors have accounts at the specified FI(s) for the particular customer (firm). |
| What is the subject? | One of the following:<br>"CI Validations Complete"<br>"CI Validations Complete - Please see Note" |
| How can the notification be customized? | The request can be customized to be issued from a different sender and with a different signature. |
| How is it sent? | Through the Admin Tool, using **Send FI validation email.**<br>Note that validation is supported for firms for which it is enabled in the Admin Tool. Firms using Custodial Integrator (CI) typically have it enabled. |

In the following example, <recipient> will name the user receiving the email (one of the recipients as described above) and <customer's firm name> will name the customer (firm) for that recipient. The message may contain additional information specific to the validation.

Example:

From: BAA-ServiceAlerts@moningstar.com
Sent: Wed 1/15/2020 10:30 AM
To: <recipient>
Subject: CI Validations Complete

This email is to inform you that we have completed the Custodial Integrator Validation Process for the following institution at <customer's firm name>:

<financial institution> (Investment)

Any accounts you have at this institution can now be imported into Custodial Integrator.

We appreciate your patience during the validation process. If you encounter any data issues, please send us the client's full name, the name of the account, the specific financial institution, and a description of your issue.

If you are unfamiliar with the validation process, see the FAQ guide as it should answer any questions you may have: https://www.byallaccounts.net/manuals/Custodial_Integrator/CI_Validation_FAQ.pdf

Regards,
Technical Support
(866) 856-4951 Option 1
byallaccounts-support@morningstar.com

## Notification: Validation Blocked

| | |
|---|---|
| What is the purpose? | To notify responsible customer operations personnel that the validation of one or more financial institutions cannot proceed without their assistance. Frequently, the problem is that the credentials associated with accounts at the institution are no longer valid and so data for the accounts cannot be aggregated. |
| What initiates the notification? | ByAllAccounts determines that customer assistance is required. |
| When is the notification sent? | Once a month, approximately at mid-month. |
| Who is the sender? | BAA-Service@alerts-morningstar.com |
| Who are the recipients? | Advisors and Assistants whose Investors have accounts at the specified FI(s) for the particular customer (firm). |
| What is the subject? | "Notice: Validation is blocked, action required" |
| How can the notification be customized? | The request can be customized to be issued from a different sender and with a different signature. |
| How is it sent? | Through the Admin Tool, using **Send blocked val. email.** |

In the following example, <recipient> will name the user receiving the email (one of the recipients as described above) and <customer firm name> will name the ByAllAccounts customer (firm) for that recipient.

Example:

From: BAA-ServiceAlerts@moningstar.com
Sent: Wed 1/15/2020 4:00 PM
To: <requestor>
Subject: Notice: Validation is blocked, action required

We are contacting you because your accounts are not updating (getting data from the custodian) in our service:

Company: <customer firm name>

Institutions:

<financial institution1>
<financial institution2>

We cannot complete the validation of these institutions until this situation is corrected. Please check your login, password, and other information for these accounts to ensure that they are correct and then attempt a manual update of the accounts. If the accounts still fail to update, please contact us for assistance (do not send your login, password, or any other account information via email).

Thank you,

Technical Support

(866) 856-4951 Option 1

support@byallaccounts.com