Session 1:

Plan member is a broker dealer.

RIA – Registered investment advisor

Plan member manage money themselves, They manage about $ 5 Billion in platform accts. Most of Planmember’s clients are non-profit organizations.

CIO – Tom Nugent, Chief Investment officer

Plan member buys/invest in mutual funds

Portals: Planmember.com. - clients use it

Technologies used:

* PHP
* Wordpress
* Adobe ColdFusion
* Bootstrap3.3.6
* jQuery1.11.3
* SQLServer
* There is no difference between a Representative and an Advisor, both are same, just they are called in different names like Rep/Representative/Advisor/financial Advisor etc.

Planmemberpartners.com – fund advisors use it

Fund advisors can be called as Rep/Representative/Advisor/financial Advisor

Technologies used:

Adobe ColdFusion

Bootstrap3.3.6

jQuery1.11.3

SQLServer

Stock - A stock is a type of security that signifies ownership in a [corporation](https://www.investopedia.com/terms/c/corporation.asp) and represents a claim on part of the corporation's assets and earnings. Also known as “shares” or “equity”

Shareholder - A holder of stock (a shareholder) has a claim to a part of the corporation's assets and earnings. In other words, a shareholder is an owner of a company.

Ticker – Companies which are listed in stock market with a Ticker (or symbol) for trading. For e.g. Apple’s ticker is, AAPL, Microsoft’s ticker is MSFT and Google’s ticker is GOOGL

Mutual funds - A mutual fund is an [investment vehicle](https://www.investopedia.com/terms/i/investmentvehicle.asp) made up of a pool of moneys collected from many investors for the purpose of [investing](https://www.investopedia.com/terms/i/investing.asp) in [securities](https://www.investopedia.com/terms/i/investment-securities.asp) such as [stocks](https://www.investopedia.com/terms/s/stock.asp), [bonds](https://www.investopedia.com/terms/b/bond.asp), [money market](https://www.investopedia.com/terms/m/moneymarket.asp) instruments and other [assets](https://www.investopedia.com/terms/a/asset.asp). Mutual funds are operated by professional [money managers](https://www.investopedia.com/terms/m/moneymanager.asp), who allocate the fund's investments and attempt to produce [capital gains](https://www.investopedia.com/terms/c/capitalgain.asp) and/or [income](https://www.investopedia.com/terms/i/income.asp) for the fund's [investors](https://www.investopedia.com/terms/i/investor.asp). A mutual fund's [portfolio](https://www.investopedia.com/terms/p/portfolio.asp) is structured and maintained to match the [investment objectives](https://www.investopedia.com/terms/i/investmentobjective.asp) stated in its [prospectus](https://www.investopedia.com/terms/p/prospectus.asp).

Capital gain - Capital gain is a rise in the value of a [capital asset](https://www.investopedia.com/terms/c/capitalasset.asp) (investment or real estate) that gives it a higher worth than the purchase price. The gain is not realized until the asset is sold. A capital gain may be [short-term](https://www.investopedia.com/terms/s/shortterm.asp) (one year or less) or long-term (more than one year) and must be claimed on income taxes.

A [capital loss](https://www.investopedia.com/terms/c/capitalloss.asp) is incurred when there is a decrease in the capital asset value compared to an asset's purchase price.

Prospectus - A Prospectus is a formal legal document that is required by and filed with the [Securities and Exchange Commission](https://www.investopedia.com/terms/s/sec.asp) (SEC) that provides details about an investment offering for sale to the public.

The [preliminary prospectus](https://www.investopedia.com/terms/p/preliminaryprospectus.asp) is the first offering document provided by a security [issuer](https://www.investopedia.com/terms/i/issuer.asp) and includes most of the details of the business and transaction in question; the [final prospectus](https://www.investopedia.com/terms/f/finalprospectus.asp), containing finalized background information including such details as the exact number of shares/certificates issued and the precise [offering price](https://www.investopedia.com/terms/o/offeringprice.asp), is printed after the deal has been made effective. In the case of mutual funds, a fund prospectus contains details on its objectives, [investment strategies](https://www.investopedia.com/terms/i/investmentstrategy.asp), risks, performance, distribution policy, fees and expenses, and fund management.

Portfolio - A portfolio is a grouping of financial assets such as stocks, bonds, commodities, currencies and cash equivalents, as well as their fund counterparts, including mutual, exchange-traded and closed funds.

Few of mutual funds companies are,

Vanguard - **Vanguard** is one of the world's largest investment companies, with more than $3 trillion in global assets.

American Funds growth fund of America (AGTHX)

index fund - Stocks bought on companies that constitutes to S&P 500.An index fund is a type of mutual [fund](https://www.investopedia.com/terms/f/fund.asp) with a [portfolio](https://www.investopedia.com/terms/p/portfolio.asp) constructed to match or track the components of a [market index](https://www.investopedia.com/terms/m/marketindex.asp), such as the [Standard & Poor's 500 Index](https://www.investopedia.com/terms/s/sp.asp) (S&P 500). An index mutual fund is said to provide broad [market exposure](https://www.investopedia.com/terms/m/marketexposure.asp), low [operating expenses](https://www.investopedia.com/terms/o/operating_expense.asp) and low [portfolio turnover](https://www.investopedia.com/terms/p/portfolioturnover.asp). These funds adhere to specific rules or standards (e.g. efficient tax management or reducing tracking errors) that stay in place no matter the state of the markets.

Standard & Poor - Standard & Poor's (S&P) is the world's [leading index provider](https://www.investopedia.com/video/play/index/) and the foremost source of independent credit ratings.

S&P 500 Index - The S&P 500 Index launched in March 1957. It was the first index to be published daily, and it is a common benchmark for determining the overall health of the U.S. stock market. The S&P 500 Index contains 500 of the largest stocks in the United States, making it a tool to gauge the overall health of large American companies. More than $7.8 trillion is benchmarked to the index.

Morningstar – provide ratings on Mutual funds

Account - > Products or platforms. (Type of money being invested)

Platform accounts (products) - 8 products

Elite Index, Elite Active, Elite Hybrid, AAMA, ICON, RUSS, DFA

Non Platform Accounts such as Check and App/Direct accounts

T RowePrice - Asset management & Advisory company. T. Rowe Price Group, Inc. is an American publicly owned global asset management firm that offers funds, advisory services, account management, and retirement plans and services for individuals, institutions, and financial intermediaries.

Client – a person or organization using the services of other person or company

Trading account/broker - ETrade. Ameritrade, Fidelity and Charles Schwab

A trading account is similar to a traditional bank account, holding cash and securities, and is administered by an investment dealer. The account is held at a [financial institution](https://www.investopedia.com/terms/f/financialinstitution.asp) and administered by an investment [dealer](https://www.investopedia.com/terms/d/dealer.asp)

A brokerage account is an investment account. It is an arrangement between an investor and a licensed brokerage firm permitting the investor to deposit funds with the firm and place investment orders through the brokerage. The investor owns the assets contained in the brokerage account.

Brokerage/Retail

Retail Broker – Sales agents who work for **retail brokerage** companies, and who are licensed to sell securities, are commonly referred to as **retail** brokers, stockbrokers

Brokerage account vs Advisory account -

Brokerage account – in which clients typically pay a commission to the Financial institute on each transaction in the account

An advisor account is a type of investment account where investment advisory services are included to help a client formulate and implement investment purchases and strategies. The fee structure of any advisor account is typically asset based, with an annual fee paid by the client based on the percent of assets held in the account. Clients do not pay commissions in an advisory relationship.

Rep ID/ Rep Number

ID

CRD Branches. - Central registration Depository. It is an automated database maintained by NASD (National Association of Securities Dealers).

The database contains records and information about registered securities employees, including employment history, licensing status, the firms that employ them, and any disciplinary actions taken against them.

DBA (Doing Business As)

SourceSocialCode table

Beneficiary (Account type)

AccountCrossRef. (Type = 7 acct holder, =6 Rep)

Using the above we can find client from the column PlayerId

Employer

403 B

A 403b is a tax-deferred retirement plan that is very similar to a 401k.

The 403b is administered by a financial management company chosen by your employer (or one of several they’ll allow you to choose from) and you select mutual funds and annuities to invest your money.

401 K accounts

Difference between 401k and 403b

The basic difference is that a 403b is used by nonprofit companies, religious groups, school districts, and governmental organizations. The law allows these organizations to be exempt from certain administrative processes that apply to 401k plans. In other words, administrative costs for a 403b are lower. This allows organizations with very small budgets to help their employees save for retirement.

Cost: The difference in cost between a 401k and a 403b can be either small or substantial. Your cost will be determined by what you invest in, the level of service the management company provides, and who the company is.

Roth 403 B

457

The **457 plan** is a type of non-qualified, tax advantaged deferred-compensation retirement **plan** that is available for governmental and certain non-governmental employers in the United States. The employer provides the **plan** and the employee defers compensation into it on a pre-tax or after-tax (Roth) basis.

**457 plans**, however, are a type of tax-advantaged non-qualified retirement **plan** and are not governed by ERISA. ... Premature withdrawals from a **401(k**) result **in** an additional 10% tax penalty.

Unlike with the other **retirement** accounts, the IRS **does** not penalize **you** for taking early withdrawals from a **457** account before age 59½.

Roth 457

Prospectus

OES – Order Entry System

Flow report

========

Tables:

Rep

Player (Client details)

Address

Phone

RepInfo

Rep\_number (ID/Rep number/Rep ID)

CRD Branches

DBA (Doing Business As)

Same advisor can have many rep id

An advisor may have many DBAs`

Employer is also associated with account

ER code --- Represent employer

Investment **advisory** relationship in which clients pay an ongoing asset-based fee, in a **brokerage** relationship, clients typically pay a commission to LPL Financial on each transaction in the account. Clients do not pay commissions in an **advisory** relationship.

**Session 2:**

IRA – Individual retirement account. An IRA is a type of savings account where the money you put in and the interest you earn is not taxable until you retire. You can open an IRA account at a bank, brokerage firm, mutual fund company, insurance company and at various other types of financial institutions. You can use the money you deposit into your IRA to invest in CDs, government bonds, mutual funds, stocks, and almost any other type of financial investment you can think of.

You have to have earned income to contribute to any type of IRA

Types of IRAs:

Traditional IRA –

· A traditional individual retirement account (IRA) allows individuals to direct pretax income towards investments that can grow tax-deferred; This means you do not pay income taxes on interest, dividends and capital gains until such time as you take a withdrawal.

· Individual taxpayers can contribute 100% of any earned compensation up to a specified maximum dollar amount.

* There is a penalty imposed on early IRA withdrawals which is a withdrawal that occurs before age 59 ½.
* You must begin taking required minimum distributions by age 70 ½.

Roth IRA

· Roth IRAs are funded with after-tax dollars; the contributions are not [tax deductible](https://www.investopedia.com/terms/d/deduction.asp) (although you may be able to take a [tax credit](https://www.investopedia.com/terms/r/rothira.asp) of 10 to 50% of the contribution), depending on your income and life situation). But when you start withdrawing funds, [qualified distributions](https://www.investopedia.com/terms/q/qualifieddistribution.asp) are [tax free](https://www.investopedia.com/terms/t/tax-free.asp).

* Funds inside of an Roth IRA grow tax free. This means you do not pay income taxes on interest, dividends and capital gains earned - ever (assuming you follow the rules).
* You can withdraw amounts contributed to a Roth right back out with no penalty taxes owed. This means a Roth IRA can double as your emergency fund.
* Roth IRAs do not have required minimum distributions at any age.

**NAV** - Each unit of mutual fund has a value for selling/buying and this value of each unit is called **Net Asset Value** (**NAV**).Usually NAV is updated by 9 PM on any business day.

AUM - **Assets under management** (**AUM**) is the total market value of assets or investments manage by a mutual fund company on behalf of investors.

Planmember Elite

Portfolio 1 through 5

Portfoliuo 3 :

Fund A = 30 %

Fund B 40%

Fund C 10%

Fund D 20%

Standard Allocation/Target Allocation for Portfolio

Portfolio

Target Allocation of a Portfolio

Rebalancing a portfolio

Price

Fund Manager

Index Based Fund

The most commonly known index based funds

Index

Annuity. - An annuity is a contract aimed at generating steady income during retirement, where in lump sum payment is made by an individual to obtain certain amounts immediately or at some point of future.

An annuity, by definition, is simply an agreement to make a series of payments of a certain amount of money to a specified party for a predetermined period of time.

Fixed Annuity - Fixed annuities provide regular periodic payments to the annuitant.

Variable Annuity - Variable annuities allow the owner to receive greater future cash flows if investments of the annuity fund do well and smaller payments if its investments do poorly.

Difference between Annuity and Mutual Fund

Surrender Period. - Deposits into annuity contracts are typically locked up for a period of time, known as the surrender period, where the annuitant would incur a penalty if all or part of that money were touched.

Death Benefit - A **death benefit** is a payout to the beneficiary of a life insurance policy, annuity or pension when the insured or annuitant dies. Alternatively, a **death benefit** may be a large lump-sum payment from a life insurance policy.

OLAP -> On-line Analytical processing. Typically OLAP databases used for online analytical processing which is used to maintain the past history of data and it can also be called as warehouse

OLTP -> On-line Transactional processing. OLTP databases are used for managing the current day to day data information.

Ways in which we get the money into a PM account

1) Rollover

2) Salary Deferral

3) Individual Contribution

Stock

Mutual Fund

Annuity

Bonds

Warrants

Stock Certificates

Options

Ticker/Symbol

Cusip

**CUSIP** stands for Committee on Uniform Securities Identification Procedures. A**CUSIP** number identifies most financial instruments, including: stocks of all registered U.S. and Canadian companies, commercial paper, and U.S. government and municipal bonds.

Cost Basis

Account

Transactions

Web\_funds

**In Database:**

Client is the one to whom the account belongs

CreatedBy is the person who created the report. - It could be anyone Client or Rep or Employee

Rep is determined based on client accounts, which we find based on that subquery

Every client will have at least one rep

Player table is where core data for all users is stored. Clients, reps, employees, everyone.

Basic info for everyone's in players table. Additional data is in Address, Phone, Email, etc.

For reps, additional info is in RepInfo table.

For clients and reps, login information is on sqlweb.planmemberpartnersdb.dbo.PartnerLogin, and information about agency and permissions and things is in that database as well.

Date: 10th of August 2018. Got it from Hamza

Account ->Rep\_playerid --- the player id of the rep that owns the account

You can get the same information by going to accountcrossref table

Select playerid from accountcrossref

Where accountnumber <> ‘’ And type=6 And prime=1

Type =6 means this record is for the rep

Type=7 means this record is for the client

You could have multiple reps on an account. That’s why you should also say prime=1 to make sure you are getting the main rep on the account. By the way – the rep playerid column in acct table should be same as the player id of the rep ( prime =1 rep ) in accountcrossref table.

There could be multiple clients for an account. You find primary account holder by

Select playerid from accountcrossref

Where accountnumber <> ‘’ And type=7 And prime=1

User types: we have 3 main user types

1) Advisor/Rep

2) Home office employees ( all of us)

3) Assistants -- these are the people who work for/with the rep. Often they have access to the rep and

Partners

All user credentials are stored in [planmemberpartnersdb].[dbo].[PartnerLogin] table.

Ref in that column is the user id

When you login in to the portal the id of the username is stored under session.publicuserid session variable

Or Session.PlayerID variable? need to verify

# **How to login as any Rep in partners**

RIMS – Rep info Management system

User can select to login as another rep thru **systemsbridge** link and connect as other rep. You can go back to your previous session by clicking on “ADMIN RELOGIN” which is available at the bottom in the left side window.

when someone uses system bridge link to connect as other rep, session.playerid will be reassigned with the id of new rep logged in thru systemsbridge.

Log in as yourself in partners

Make sure you are under ‘Employee” Affiliation

Click on Systems Bridge

Select the Rep who you want to impersonate and hit ‘Login to partners’

Once you are logged in as the Rep, make sure your affiliation is ‘Registered representative’

# **Table structures and details**

Balance = Account.balance

Rep associated with an account – get that by going to accountcrossref

Product associated with an account – account.productid. Then you can join that productid to products table to get the product name.

AccountType associated with an account – get that by looking at account.sourcesocialcodeid column. Then join that column with sourcesocialcode table

Employer associated with an account – get that by looking at ER\_Playerid column in account table. Join that ER\_Playerid to the player table to get the employer name.

**Account** table has

AccountID

AccountNumber

CompanyID àCompany.CompanyID (to get Company Name)

AccountTypeID àAccountType.AccountTypeID (to get AccountType)

ProductID àProducts.productID

ProductTypeID àProductType.ProductTypeID

AccountCategoryID àAccountCategory.AccountCategoryID

Rep\_PlayersID àRepInfo.PlayerID (not required in this case as the representative name can

be found from Players table), Players.PlayerID

RepID àRepNumber.Repnumber

SourceSocialCodeID

Balance

**Company** table has

CompanyID

CompanyName

ProductType (VA, NULL, LP, ST, MF, RT, VL, PM, FD). – not used

**AccountType** table has

AccountTypeID

AccountType

Examples for Accountypes:

403(b)

403B

457B

IRA

Simple IRA

SEP IRA

Inherited IRA

RothIRA

**Products** table has

ProductID

ProductCode

PartnersDisplayName

Platform (0 or 1)

Managed (0 or 1)

CompanyCode. àCompany.Companycode?

Insurance (0 or 1)

MutualFund (0 or 1)

Players.

PlayerID

FullName

Firstname

MiddleName

LastName

SSN

**ProductType** table has

ProductTypeId

ProductName

ProductCode

**AccountCategory** table has

AccountCategoryID

Description

RepInfo. Is subset of Players table. --- Does it contain only Representatives details?

RepInfo table has. Advisors or Assistants

PlayerID

RepStatus

EmploymentType ?

BDO ?Business Development Officer

RepFullName

RepNumber vs RepInfo?

Do we need to connect to OES\_APP table in OES database to get client name details? No

1. Rep Name

SELECTp.FullNameASRepName,count(a.\*)ASNumberOfAccts,sum(a.balance)AS Balance

FROM Account a JOIN Players p

ON a.Rep\_PlayersID=p.PlayerID

GROUPBYp.FullName

ORDERBY 1

2. Category. The value is stored in products table, Products.Productcategory

SELECT ProductCategory, sum(balance)

FROM Account JOIN Product

Account.productID = Products.productID

3. Agency

Group of advisors

JOIN sqlweb.planmemberpartnersdb.dbo.PartnerLoginpl ON pl.ssn = rep.SSN

JOIN sqlweb.planmemberpartnersdb.dbo.partnerLogin\_agencypla ON pla.partnersID = pl.ref

JOIN sqlweb.planmemberWebNEW2.dbo.PortalGroups pg ON pg.ref = pla.agency\_ID

so you take the SSN from the players table and join that with planmemberpartnersdb.dbo.PartnerLogin.SSN

then you take ref from planmemberpartnersdb.dbo.PartnerLogin and join that with planmemberpartnersdb.dbo.partnerLogin\_agency using Partnersid

then you take agency id from planmemberpartnersdb.dbo.partnerLogin\_agency and joing that with ref column in planmemberWebNEW2.dbo.PortalGroups

Groupname in the portalgroups table is the agency name

4. BDO

Is Planmember employee

To get BDO name, repname, sum(balance)

You need to join account, repinfo, players

RepInfo.BDO. – has BDO name

5. State. (state of client)

To get State, # of accounts, sum(balance)

Account, accountcrossref, players, address, states

Account.accountnumber = accountcrossref.accountnumber AND accountcrossref.type=7 (for clients, 6 for advisors) and accountcrossref.prime = 1 (to consider only first one if any account has more than one client) AND accountcrossref.playerID = Players.playerID

AND Address.playerID = Players.PlayerID AND Address.State = Sates.Abbr

6. Employer

Account, Employer, Players

To get Employer name, sum(balance)

Account.ERCode = Employer.disSubNum AND Employer.PlayerId = Player.PlayerID

Please see below for getting employer name and client name

SELECT DISTINCT A.ERCODE, E.FULLNAME EMPLOYERNAME, C.FULLNAME CLIENTNAME

FROM ACCOUNT A

LEFT OUTER JOIN AccountCrossRef ACR ON A.AccountNumber = ACR.AccountNumber AND Type=7 AND Prime=1

LEFT OUTER JOIN EMPLOYER EMP ON A.ERCODE = EMP.disSubNum

LEFT OUTER JOIN Players E ON EMP.PlayerID = E.PlayerID

LEFT OUTER JOIN PLAYERS C ON ACR.PlayerID = C.PlayerID

WHERE A.ERCODE IS NOT NULL

7. Channel. (or reptype)

if the Agency Name is 'Scarborough Alliance Group’ then Channel = ‘SAG’

ELSE

IF isSDG =1 ( isSDG is a column in portalgroup table ), then channel = ‘SDG’

ELSE

Channel = Retail

(CASE WHEN isNull(w.GroupName,'')='Scarborough Alliance Group' THEN 'SAG' ELSE

(CASE WHEN isNULL(w.isSDG, 0)=1 THEN 'SDG' ELSE 'Retail' END)

END ) AS RepType,

8. Affinity Group

Affinitygroupid, groupname

FROM account, [EmployerLog].[dbo].[affinityGroups, affinitygroups

WHERE account.affinitygroupid = [EmployerLog].[dbo].[affinityGroups.groupid

account table has affinitygroupid,

join that with [EmployerLog].[dbo].[affinityGroups] on groupid column. The column groupname is the column that has name of the Affinity Group

9. Account Type

FROM Account, AccountType

WHERE Account.AccountTypeID = AccountType.AccountTypeID

10. Product

To get product name

SELECT PartnersDisplayname

FROM Account, product

WHERE Account.productID = product.productID

11. Company.

SELECT c.CompanyName, count(a.AccountID), sum(a.balance)

FROM Account a JOIN Products p

ON A.productID = p.productID

join company c on c.CompanyCode = p.CompanyCode

GROUP BY CompanyName

12. CUSIP. –not in scope

13. Portfolio

Account.AcctProfile

14. Client Name

Account, accountcrossref, players

Account.accountnumber = accountcrossref.accountnumber AND accountcrossref.type=7 (for clients, 6 for advisors) and accountcrossref.prime = 1 (to consider only first one if any account has more than one client) AND accountcrossref.playerID = Players.playerID

Client Name vs Employer Name

SELECT DISTINCT A.ERCODE, E.FULLNAME EMPLOYERNAME, C.FULLNAME CLIENTNAME

FROM ACCOUNT A

LEFT OUTER JOIN AccountCrossRef ACR ON A.AccountNumber = ACR.AccountNumber AND Type=7 AND Prime=1

LEFT OUTER JOIN EMPLOYER EMP ON A.ERCODE = EMP.disSubNum

LEFT OUTER JOIN Players E ON EMP.PlayerID = E.PlayerID

LEFT OUTER JOIN PLAYERS C ON ACR.PlayerID = C.PlayerID

WHERE A.ERCODE IS NOT NULL

15. Account Number

Account.AccountNumber

Each client may have more than one account and each account might be linked with different representatives

Advisors are broker dealers

Transition tool is used to help advisors when they are transitioning from other company to planmember

Mark Gregory is working on that system

RIMS – Rep Information system

Advisors may have staff and Mark creates access thru RIMS

16. Association - it is actually called Employer Groups.

---- below query is used for past date -------

SELECT a.AccountNumber,

p.ProductCategory AS Category,

c.CompanyID,

c.companyName,

p.ProductID AS ProductID,

p.PartnersDisplayName AS ProductName,

p.managed AS ManagedProduct,

rep.PlayerID AS repPlayerID,

isNull(r.RepFullName,rep.FullName) AS RepFullName,

emp.PlayerID AS EmpPlayerID,

emp.FullName AS EmployerName,

S.Name AS State,

r.BDO AS BDO,

r.IMO AS IMO,

tpav.tpaname AS TPA,

assoc.Association AS Association,

sc.DisplayName AS AccountType,

a.acctprofile AS PortFolio,

acrp.PlayerID AS ClientPlayerID,

acrp.FullName AS ClientName,

pg.GroupName AS Agency,

(CASE WHEN isNull(pg.GroupName,'')='Scarborough Alliance Group' THEN 'SAG' ELSE

(CASE WHEN isNULL(pg.isSDG, 0)=1 THEN 'SDG' ELSE 'Retail' END)

END ) AS Channel,

a.CreatedDate,

convert(numeric(18,2),ab1.Balance) as Balance

FROM Account a

JOIN AccountBalance ab1 ON a.AccountNumber = ab1.AccountNumber

LEFT OUTER JOIN Players rep ON a.Rep\_PlayersID = rep.PlayerID

LEFT OUTER JOIN Products p ON p.ProductID = a.ProductID

LEFT OUTER JOIN RepInfo r ON a.Rep\_PlayersID = r.PlayerID

LEFT OUTER JOIN sourcesocialcodesc ON a.SourceSocialCodeID = sc.SourceSocialCodeID

LEFT OUTER JOIN Company c ON a.CompanyID = c.CompanyID

LEFT OUTER JOIN AccountCrossRefar ON a.accountnumber = ar.accountnumber

AND ar.type= 7 --- Client

AND ar.prime = 1 -- Prime

LEFT OUTER JOIN Players acrp ON ar.playerID = acrp.PlayerID

LEFT OUTER JOIN Address ad ON ad.playerID = acrp.PlayerID AND ad.TypeID =1 -- Home Address

LEFT OUTER JOIN States s ON Ad.State = S.Abbr

LEFT OUTER JOIN Employer e ON a.ERCode = e.disSubNum

LEFT OUTER JOIN Players emp ON e.PlayerID = emp.PlayerID

LEFT OUTER JOIN planmemberpartnersdb.dbo.PartnerLogin plog ON plog.ssn = rep.SSN

LEFT OUTER JOIN planmemberpartnersdb.dbo.partnerLogin\_agency pla ON pla.partnersID = plog.ref

LEFT OUTER JOIN planmemberWebNEW2.dbo.PortalGroups pg ON pg.ref = pla.agency\_ID

LEFT OUTER JOIN (SELECT DISTINCT acc.AccountNumber, tpa.tpaname AS tpaname

FROM Datawarehouse.dbo.accountacc

LEFT OUTER JOIN Datawarehouse.dbo.Employer e on e.disSubNum = acc.ERCode

LEFT OUTER JOIN EmployerLog.dbo.Emp\_SchDist\_planTypesept on ept.dissubnum = e.dissubnum

LEFT OUTER JOIN EmployerLog.dbo.Emp\_SchDist\_TPAstpa on tpa.tpa\_id = ept.TPA\_ID

WHERE balance!=0) tpav ON a.accountnumber = tpav.AccountNumber

LEFT OUTER JOIN (SELECT assocv.AccountNumber, assocv.association

FROM

(SELECT a.AccountNumber, ass.association,

ROW\_NUMBER() OVER(PARTITION BY a.AccountNumber ORDER BY ass.association) num

FROM Datawarehouse.dbo.account a

LEFT OUTER JOIN Datawarehouse.dbo.Employer e on e.disSubNum = a.ERCode

LEFT OUTER JOIN EmployerLog.dbo.emp\_Associations ac ON ac.emp\_uuid = e.uuid

LEFT OUTER JOIN EmployerLog.dbo.associations ass ON ass.assoc\_ID = ac.assoc\_ID

WHERE balance!=0 ) assocv

WHERE assocv.num=1 ) assoc ON a.accountnumber = assoc.AccountNumber

WHERE ab1.Balance !=0

AND ab1.BalanceDate = (SELECT MAX(BalanceDate)

FROM AccountBalance ab2

WHERE BalanceDate<= #var\_BalanceDate)

**Difference between Client Bridge and Client Bridge Home Office**

Both of these things are basically a side menu item. These two will differ based on the accessibility of each logged in user.

Client Bridge : This menu item will be available only for advisors/reps and this will show the data which he has access to. Here data means the agency names, reps etc.

Client Bridge Home Office: This menu item will be visible for employees, and in here an employees can check all the clients/agency/ reps across all the accounts. Basically an employee will have access to everything.

**Rep Split Accounts**

A rep can be split into multiple accounts, these details will be available in “RepSplitByRepID“ table under Datawarehouse Database. This table holds the percentage of the money which goes to each split accounts.

There are two main ID’s for a rep which are RepPlayerID & RepNumber. RepPlayerID is nothing but the playerID which we can get it from the players table. RepNumber is a unique alphanumeric string, which we can get it from repNumber table

An eg: for this split account is Scott M Frayler. Scott is having a repNumber “NY648K” and it is split in between “NY504” & “NY648”.

Sometime both of the split accounts belongs to a single rep, so it's better to check the rep Name in the players table to avoid confusion, or future problem, in the below code I used “DISTINCT” to avoid this problem.

Below is the query to get the split accounts

SELECT

DISTINCT rp.PlayerID AS repPlayerID,

RS.SplitPercent,

RS.RepID as RepNumber,

RS.SplitRepID,

isNull(r.RepFullName,rp.FullName) AS RepFullName

FROM

RepSplitByRepID RS

INNER JOIN repNumber rn ON rn.RepNumber = RS.SplitRepID

LEFT JOIN Players rp ON rp.PlayerID = rn.PlayerID

LEFT OUTER JOIN RepInfo r ON r.PlayerID = rn.PlayerID

**FLOW REPORT**

Q: I believe you have a process that populates this table (Flowinbyaccount) in Reports database. Can you tell us where that process is ? Seems like this process is picking all type of money flowing in ( Rollover, Checks as well as Salary Deferral). Can we populate a column that shows the type of money ? ( That will mean that we can have up to three rows for each account in this table ).

ANS:

Yes. Flow was considered Contributions and Asset Transfers. The table gets populated as transactions from CMS are processed.

We should discuss. There are several problems here.

1) Source is CMS.

2) Table takes a lot of time to update. Reversals have to be backed out.

Types of Money: All transaction record codes are classified as;

AT – Asset Transfer

C - Contribution

F - Fee

L - Loan

D - Dividend

And of course they can be both pos or neg.

I think the best way to do this is to have a DW transaction view that would provide all of these types as well as Redemptions for a year and month.

The codes and queries were used on the “Transaction Summary” screen built a year ago.

**To get Status of a rep:**

SELECT

ri.PlayerID, ri.RepStatus

FROM

RepInfo ri

**Production SQL DB (where each update needs to go for datawarehoue)- From Ricardo M**

store proc are to run on replicated servers

so sqlweb

or sqlwebreports

if sqlweb then needs to go to sqlweb1 and sqlweb2

view, function store proc should be in the working database

change data add new fields should be on sqletl

**TEST OES - Updating trigger in OES\_App\_History after adding new columns in OES\_APP table**

1. Add the new columns to the oes\_app\_history table

2. Alter the oes\_app trigger named TRIGGER\_MODULE\_DATE\_SELECT so it includes those two new columns when it inserts into oes\_app\_history. The query is at the bottom and should end up looking like this:

INSERT INTO OES\_App\_History

SELECT ref, getdate(), @cInsertUpdateDelete,

APP\_uuid,APP\_parent\_OESID,OES\_Source,APP\_ssn,

SSN,APP\_ssnNoDashes,socialCode,APP\_Name,APP\_Value,REP\_ssn,

REP\_btrackID,REP\_repnumber,REP\_repname,REP\_userid,DATE\_created,DATE\_modified,

DATE\_received,PMSYS\_PartnersID,PMSYS\_lastusername,PMSYS\_isdeleted,supressDisplay,

OES\_suitabilityStatus\_ref,OES\_states\_stateID,OES\_module\_date,OES\_state\_date,

stockCert,bucketID,companyID,submission\_amount,comments,paperwork\_type,

OEUUID,NULL,advisorPortal\_formSelection,OES\_Prioritized\_date,OES\_PrioritizedBy

FROM INSERTED

**query that finds all databases that contain a given table name**

DECLARE @SQL NVARCHAR(max)

SET @SQL = stuff((

SELECT '

UNION

SELECT ' + quotename(NAME, '''') + ' as Db\_Name, Name collate SQL\_Latin1\_General\_CP1\_CI\_AS as Table\_Name

FROM ' + quotename(NAME) + '.sys.tables WHERE NAME LIKE ''%'' + @TableName + ''%'''

FROM sys.databases

ORDER BY NAME

FOR XML PATH('')

,type

).value('.', 'nvarchar(max)'), 1, 8, '')

--PRINT @SQL;

EXECUTE sp\_executeSQL @SQL

,N'@TableName varchar(30)'

,@TableName = 'Employer'

**New Datasources**

Here is a full list of the new datasources that we are moving to:

SQLWEB\_Read

SQLWEBREPORTS\_Read

SQLBACKOFFICE\_Read

SQLBACKOFFICEIT\_Read

SQLWEB\_Write

SQLWEBREPORTS\_Write

SQLBACKOFFICE\_Write

SQLBACKOFFICEIT\_Write

Use the SQLWEBREPORTS\_READ datasource and use full path SQL coding. We are moving to using the new Datasources.

for eg:

if you use SQLWEBREPORTS\_READ and needs to get to DW

then use full path means Datawarehouse.dbo.Phone

if you are using sqlweb\_read and needs to get to the dw from sqlwebreports

then you use sqlwebreports.Datawarehouse.dbo.Phone

**To Give Access Permission of AUM Report to all the active reps**

insert into [planmemberpartnersdb].[dbo].[PartnersPermission]

([PlayerID]

,[Permission]

,[DateCreated]

,[CreatedBy])

SELECT

ri.PlayerID,

'AUM\_Report',

'2019-07-31',

2890366

FROM

datawarehouse.dbo.repinfo ri

INNER JOIN datawarehouse.dbo.Players p ON p.PlayerID = ri.playerid

INNER JOIN planmemberpartnersdb.dbo.PartnerLogin pl ON pl.ssn = p.ssn

WHERE

ri.RepStatus = 'Active'

AND pl.PartnersUserTypeID IN (1,2)

AND ri.PLAYERID NOT IN (

SELECT

PlayerID

FROM

planmemberpartnersdb.dbo.PartnersPermission

WHERE Permission = 'AUM\_Report'

)

**To get all the Agency Heads**

**SELECT**

**p.\***

**FROM**

**datawarehouse.dbo.players p**

**join planmemberpartnersdb.dbo.PartnerLogin pl on pl.ssn = p.ssn**

**join planmemberpartnersdb.dbo.partnerLogin\_agency pla on pla.partnersID = pl.ref**

**WHERE**

**pla.isFCHead = 1**