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Q1 2021

Recon Project Training



CAPTRUST

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CAPConnect Updates



Daily Recon Processing



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Daily Recon Processing

- Account Holdings and Market Values will be added/updated on a daily basis.
 - Data will be received from Black Diamond by 8am EST daily
 - If there is a delay, an email will be sent to the Wealth Performance, Finance and certain members of the Wealth Client Services team
 - A follow-up email will be sent to the same team once the data is received
 - Once the data loaded to our staging tables, the Azure Data Factory Pipeline will start to populate the data in CAPConnect
 - This process should be completed by 10:30am EST



CAPConnect Updates



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Account

- A new field, As of Date, has been added to the accounts.
 - This field is automatically updated when the daily recon process is run
 - This field will reflect the as of date of the market values for the account
 - This field is locked and cannot be updated by users

2004 Atchison Family Trust
Account

5518-8662 Account # 55188662 BD Account Number --- Priv Account #

Account Info Compliance Trading Instructions Notes Related

Account Name * 2004 Atchison Family Trust	Cash Flow <input type="checkbox"/>	Trail Paying <input type="checkbox"/>	Kimley-Horn <input type="checkbox"/>	RepCode * SDA
Client * Atchison, Mark and Lisa	Is DCP? * No	Discretionary <input type="checkbox"/>	LP Position(s) <input type="checkbox"/>	Tax ID # ---
Advisor * Valmonte, James	Collateralized (Away) <input type="checkbox"/>	Collateralized <input type="checkbox"/>	Account Regist. * Personal Trust	Opened * 3/20/2018
Primary Owner * Atchison, Mark			Closed ---	As Of Date 12/31/2020
Custodian * Schwab			Account # 5518-8662	BD Account Number # 55188662
Account Type * CSA			Priv Account # ---	

Model * NO MODEL

Investment * TBD - Awaiting FA Instruction

Asset Class Other Assets

Holdings

+ New Holding Add Existing Holding

Symbol	Name	Cost	Last Pr.	QTY	Market Value	UOL	As Of Date	Security Type Name
CASH	CASH	\$1,094.96	\$1.00	1,095...	\$1,095.34	\$0.00	1/3/2021	Cash
BDCA...	CASH AND MARGIN INTEREST	---	\$0.00	0.0000	\$0.00	---	1/3/2021	Cash



Account

- **BD Account Number field should no longer be cleared when closing an account**
 - Users will be able to close an account and should retain the BD Account Number for auditing purposes
 - Additional Portfolios can also remain linked to closed accounts

Read only This record's status is locked

2004 Atchison Family Trust

Account

5518-8662 | 55188662 | ---

Account # | BD Account Number | Prev Account #

Account Info | Compliance | Trading Instructions | Notes | Related

Account Name	2004 Atchison Family Trust
Client	Atchison, Mark and Lisa
Advisor	Valmonte, James
Primary Owner	Atchison, Mark
Custodian	Schwab
Account Type	CSA
Model	NO MODEL
Investment	TBD - Awaiting FA Instruction
Asset Class	Other Assets

Cash Flow	is DCP?	Trial Paying	Discretionary	Kimley-Horn	LP Position(s)
	No				
		Collateralized (Aveq)	Collateralized		

Holdings

Refresh | Run Report

No data available.

RepCode	SDA
Tax ID #	
Account Regsit	Personal Trust
Opened	3/10/2018
Closed	1/5/2021
As Of Date	12/31/2020
Account #	5518-8662
BD Account Number	55188662
Prev Account #	



Holdings

- A new field, Holding Type, has been added to holdings with two values:
Manual and Black Diamond
 - All holdings that are added/updated via BD will have Black Diamond holding type
 - All data for Black Diamond holding type records is received/updated via the daily recon process
 - All fields are locked and not editable by users
 - All fields can be edited by users for Manual Holding types

ANGEL OAK MULTI-STRATEGY INCOME INSTL
Holding

General Billing Related

Name *	ANGEL OAK MULTI-STRATEGY INCOME INSTL	Owner *	Service, CRM_Integration
Ticker	ANGIX	Symbol	ANGIX
Open Date	8/20/2020	CUSIP	03463K406
QTY	999.8780	Close Date	---
Currency	US Dollar	Cost	\$10,160.28
Account	Aaron Kutnick Individual	Mkt Price	\$10.33
Is Short	No	Term	---
SecurityId	481,927	UGL	\$168.46
Portfolio Code	# 929016450	SecurityGuid	---
Investment	Angel Oak Multi-Strategy Income Instl	Portfolio Id	z0420702701
Investment Link	Multiple	Quarterly Questionnaire	Yes
Security Type	Mutual Fund		
Holding Type *	Black Diamond		



Power BI Reporting



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Power BI Reporting

- **Recon Statistics**

- **Located on the Intranet site under Resources – Analytics & Reporting – Department Reports – Operations Group**
- Purpose of this report is to find the following data:
 - Recon Statistics
 - Accounts Missing from BD Feed
 - Recon Exceptions
 - Value Comparison
 - Non Billable Holdings Changes



Power BI Reporting

- Recon Statistics



Recon Statistics

12/31/2020

As Of

40.220K

BD Accounts

636.999K

BD Holdings

684.916K

CC Holdings

38.099K

Linked to CC

1982

Not Linked to CC

0

Market Values Created

0

Holdings Created Today

0

Holdings Closed Today

3872

Accounts with Value Difference

49.547K

Positions with Value Difference

1,548

CC Non Billable Holdings

1,475

BD Non Billable Holdings

Recon Exceptions

Count	Account Id	Account Number	Account Name
1	z0411584321	91C006A88	Sardis Bargaining Unit Mutual Funds
1	z0411584431	60232207701	No Name
1	z0411584721	W47279000	Keeneland Association ES Barr Large Cap Value
1	z0411586591	1050018843	RFCUNY Clearbridge
1	z0411586621	1050018111	RFCUNY O'Shaughnessy
1	z0411586661	910091016	Burns & McDonnell, Inc. Pension Plan FI
1	z0411586681	970001087	Burns & McDonnell, Inc. Employee Stock Ownership Plan (ESOP) FI
1	z0411587041	H63F85887302	Tiffany & Co. NISA
155			

Account Missing From BD Feed

Count	URL	Name	BD Account Number	BD Account ID	Open Date
1		James W. Evans Roth IRA (Vanguard)	09969091876	z0411644801	1/1/2015
1		Justin Tuck FBO Jonah Tuck	05291523290	z0411663931	1/31/2014
1		Justin Tuck FBO Jayce Tuck	05291510628	z0411664501	12/20/2010
1		Parker David Greene - American Funds College 529 Plan	00083222963	z0411677231	1/8/2008
1		Wayne K. Maiorano Owner FBO Nicole Maiorano 529 Plan	00074449233	z0411679571	3/1/2005
1		Samuel H Poole FBO Samuel E Poole 529 Plan	00073354734	z0411680441	9/2/2010
1		Taylor Adams VCSP/College America 529	00067540970	z0411681981	9/4/2012
1		Brent Heffron Rev Trust (Ohio National-II)	E1662286	z0411691471	10/30/2009
1		Marlene Jacobs NQ Ohio National Annuity	E1555464	z0411694131	6/16/2011
344					

Value Comparison (Linked Accounts Only)

Account	Assets	CC Assets	Difference
P89263 - Ericsson Prudential	\$633,852,737	\$635,756,688	\$1,903,951
P72690 - Ericsson LGIMA	\$616,757,979	\$617,433,211	\$675,231
P15449 - Telcordia PIMCO II	\$538,520,594	\$589,993,104	\$51,472,509
970001087 - Burns & McDonnell, Inc. Employee Stock Ownership Plan (ESOP) FI	\$360,071,752	\$360,071,752	\$0
LRE02 - L'Oreal, USA, Inc. Wellington LG Bd	\$297,717,097	\$297,717,097	\$0
LRE03 - L'Oreal, USA, Inc. PIMCO Long Duration	\$293,852,898	\$328,553,263	\$34,700,365
BPCF10631102 - Blue Cross Blue Shield of NC Pension Wellington Capital Management	\$284,999,446	\$284,999,446	\$0
AWVF10000102 - Alabama Power Voluntary	\$274,413,990	\$274,413,990	\$0
Total	\$34,652,649,916	\$37,898,892,255	\$3,246,242,339



Power BI Reporting

- **Accounts Missing from BD Feed**

- This report lists all accounts that are active in CAPConnect but were not included on the daily BD Feed

- **Recon Exceptions**

- This report lists all the exceptions that occurred in Black Diamond
- Black Diamond manages the clean up of these exceptions

- **Value Comparison**

- This report displays all accounts that linked to Black Diamond
- The purpose of this report is to display the Asset from BD and CAPConnect so discrepancies can be easily found and corrected



Power BI Reporting

- Non Billable Holdings Changes
 - This report will show all changes in holdings related to the Billable/Non-Billable status
 - NewNonBillable - new holding or change on holding from billable to non-billable
 - New Billable – new holding or change on holding from non-billable to billable
 - These changes will be made in Black Diamond and feed into CAPConnect via the recon process.

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Non Billable Holdings Changes

1/4/2021
Current Date

Non Billable Holdings Changes

Date	Change Type	Account	BD Account Number	Lead Consultant	Holding	Ticker
1/4/2021	NewNonBillable	Toby Shor	926040313	Fox Danford, Lisa	JPMORGAN TR II US GOV MMK PRE	OGSXX
1/4/2021	NewNonBillable	Leonard & Myrna Sirowitz Joint	41214038	Karas, Veronica	SCHWAB ADVANTAGE TR MUN MONEY FD INV	SWTXX
1/4/2021	NewNonBillable	Town of Wakefield	679981656	Manning, Lawren...	CASH	FCASH
1/4/2021	NewNonBillable	Robert & Alisa Watman Joint	938018414	Schaja, Marilyn	MONEY MKT OBLIGS TR FH TR OBLG SVC	TOSXX
1/4/2021	NewNonBillable	Peter Gross & Hongxin Zhao Joint	87255433	Waters, Kathy	SCHWAB US TREASURY MONEY FUND INVESTOR SHARES	SNSXX
1/4/2021	NewNonBillable	Lillian Swersky Individual	929013277	Waters, Kathy	MONEY MKT OBLIGS TR FH TR OBLG SVC	TOSXX
12/31/2020	NewBillable	Waterman TTEE, Thomas and Alice, T...	98699562	Brandt, Lyle	EXXON MOBIL CORP COM	XOM
12/31/2020	NewBillable	Richard E. Welsh IRA	20211760	Carlson, Kathleen	ALLEN CAPITAL	1350_ALLENCAP"
12/31/2020	NewBillable	Ellen S. Ireland Rollover IRA	41307555	Carlson, Kathleen	ALLEN CAPITAL	1350_ALLENCAP"
12/31/2020	NewBillable	Emil M. Gullia IRA	41555204	Carlson, Kathleen	CASH HELD AT EQUITABLE	1350_STERLING"
12/31/2020	NewBillable	Laura B. Pannier Rollover IRA	69002017	Carlson, Kathleen	ALLEN CAPITAL	1350_ALLENCAP"
12/31/2020	NewBillable	Thomas L. Henighan Revocable Livin...	90412592	Carlson, Kathleen	ALLEN CAPITAL	1350_ALLENCAP"
12/31/2020	NewNonBillable	Penelope M. Durham Exempt Trust	45651881	Cornwell, Kim	DES MOINES IOWA 5% 06/01/2023	25009XMN2
12/31/2020	NewNonBillable	Penelope M. Durham Exempt Trust	45651881	Cornwell, Kim	MANSFIELD TEX INDPT SCH DIST 4% 02/15/2022	564386MY3
12/31/2020	NewNonBillable	Penelope M. Durham Exempt Trust	45651881	Cornwell, Kim	NORTHWEST ARK CMNTY COLLEGE DI 4% 05/15/2026	667325EB6
12/31/2020	NewNonBillable	Penelope M. Durham Exempt Trust	45651881	Cornwell, Kim	ROUND ROCK TEX 5% 08/15/2021	7702228K7

