SCHWAB INTELLIGENT TECHNOLOGIES™

Schwab Intelligent Integration™ FAQs

What is Schwab Intelligent Integration™?

Schwab Intelligent Integration is a technology and workflow integration strategy that uses a CRM-centric approach designed to reflect how you work with clients. Schwab's integration solutions[1] are based on Schwab Intelligent Integration. They allow you to streamline your operations and deliver better client service by creating a single point of access to key client information, documents, tools, Schwab Advisor Center™ custody data,[2] portfolio management system data, and more—all from your CRM system.

What makes your integration "intelligent"?

Intelligent integration means connecting systems in a planned, thoughtful way in order to optimize workflows for advisors. We've created protocols and standards used by technology providers participating in Schwab OpenView Gateway™[3] to help them develop high-quality integration of custody data into their CRM systems. We will continue to work with additional participating providers to facilitate integration of additional CRM data sources in the future.

What are some of the benefits of Schwab Intelligent Integration?

Schwab Intelligent Integration is focused on helping you consistently deliver an exceptional experience to your clients while increasing efficiency for your firm. Schwab Intelligent Integration architecture helps you evolve your CRM system from a storage system for client contact information to a powerful, centralized hub through which to manage your business. Enhanced with data from Schwab Advisor Center and other key applications in your office, this centralized hub enables your staff to respond to client requests more quickly, track activities more effectively, and better anticipate future client needs. In addition, powerful workflows and client management tools inside your CRM help you institutionalize the best practices of your business in a way that enables you to maintain a personalized, high-touch client experience as you build and evolve your firm.

Do I need to purchase a new CRM system from Schwab to benefit from Schwab Intelligent Integration?

No. Schwab received client feedback indicating the most popular CRM systems. To date, we have selected Salesforce®, Junxure™ 9, and Microsoft® Dynamics CRMs as participants in Schwab OpenView Gateway. Schwab Intelligent Integration is designed to allow firms already using the selected platforms to be able to leverage the integrations without migrating to a new system.

Will I be able to take advantage of Schwab Intelligent Integration capabilities with accounts held at other custodians?

Yes. Schwab Intelligent Integration is an open-architecture, multicustodial solution. Our CRM-centric approach will allow advisors to see not only assets held at Schwab but also those held at other custodians through their portfolio management system.[4]

If my firm already uses a portfolio management system, will I need to buy a new one to take advantage of this initiative?

We are focused on delivering an open-architecture solution that meets the needs of the greatest percentage of Schwab clients. While Schwab Performance Technologies is an early participant in Schwab Intelligent Integration, additional portfolio management providers will be included as well.

Where is the custody data displayed in my CRM stored?

The custody data displayed in your CRM is view-only and is not stored in the CRM database unless you choose to store limited data. We believe that this approach keeps custody data—important private information about your clients—more secure.

Will I be able to make changes to custody data directly in my CRM?

Changes to custody data displayed in your CRM cannot be pushed to Schwab Advisor Center. As the independent qualified custodian of your clients' accounts, Charles Schwab & Co., Inc. must independently maintain records of your clients' accounts. At this time, any changes to your clients' account information, such as address changes, statement preferences, or cost basis accounting method changes, will all need to be initiated via Schwab Advisor Center, or by contacting Charles Schwab & Co., Inc.

Can employees of Charles Schwab & Co., Inc. see data for accounts held at a different custodian?

Though the data passes through the Schwab Intelligent Technologies platform, Charles Schwab & Co. employees cannot view the data and do not have access to this data as it passes through the platform. Schwab OpenView Gateway and Schwab OpenView Integrated Office are designed to allow advisors access to multicustodial data through their portfolio management system.

How does the Schwab OpenView Workflow Library™ work?

The Schwab OpenView Workflow Library is designed to provide you with a set of comprehensive prepackaged best practices for automating and standardizing key tasks in your firm. This library, to be built out over time, spans front- and back-office tasks, as well as those managed by your custodian. The library contains step-by-step work-flows, supporting documentation, and instructional guides for entering workflows into Salesforce® CRMs. Each workflow can be tailored to your needs. We intend to expand the library to include workflows for Junxure 9 and Microsoft Dynamics CRM in 2012.

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1. Schwab OpenView Gateway™ and Schwab OpenView Workflow Library™ are products of Schwab Intelligent Technologies™ ("SIT"). Schwab OpenView Integrated Office™ is a product of Schwab Performance Technologies® ("SPT").
2. Custody data is from Schwab Advisor Center™, a website of Charles Schwab & Co., Inc. ("CS&Co"), a registered broker-dealer and member SIPC. CS&Co provides independent investment advisors with custody, trading, and support services related to brokerage accounts maintained by CS&Co for their advisors' clients. SIT and SPT provide advisors with technology solutions including those referenced in these FAQs. SIT, SPT, and CS&Co are separate companies affiliated as subsidiaries of The Charles Schwab Corporation, but their respective products and services are independent of each other.
3. Schwab OpenView Gateway participating providers are independent companies that are not affiliated with SIT or any of its affiliates. Their participation is not a recommendation, or endorsement of, or referral to, the provider by SIT or any of its affiliates. Neither SIT nor any of its affiliates make any representation or warranty about information furnished by any participating provider. Advisors are solely responsible for evaluating, selecting, and purchasing products and services offered by participating providers.
4. Integration of portfolio management system data is currently planned for availability in 2012. No assurance can be given that integration of data from other portfolio management systems will be achieved and, if so, when.

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