Components
Oracle FLEXCUBE Investor Servicing
Release 12.0.1.0.0
[November] [2012]
Oracle Part Number E51524-01

ORACLE®

FINANCIAL SERVICES

Table of Contents

1. About This Manual

1.1 Introduction

Welcome to Oracle FLEXCUBE Investor Servicing ™, a comprehensive mutual funds automation software from Oracle Financial Servicing Software Ltd. ©.

This Oracle FLEXCUBE Investor Servicing User Manual helps you use the system to achieve optimum automation of all your mutual fund investor servicing processes. It contains guidelines for specific tasks, descriptions of various features and processes in the system and general information.

1.2 Related Documents

The User Manual is organized in to various parts, each discussing a component of the Oracle FLEXCUBE Investor Servicing system.

1.3 Audience

This Fund Manager User Manual is intended for the Fund Administrator users and system operators in the AMC.

1.4 Organization

This volume of the Fund Manager User manual is organized under the following chapter sequence:

Chapter 1	*About This Manual* explains the structure, audience, organization, and related documents of this manual.
Chapter 2	*Appendix - Distributor Installations* explains distributor installations and their features.

1.5 Conventions Used in this Manual

Before you begin using this User Manual, it is important to understand the typographical conventions used in it.

ORACLE®

1.5.1 General Conventions

Convention	Type of Information
Italic type	Functional /foreign terms Validations for fields on a screen References to related Headings/Users Manuals For emphasis
Numbered Bullet	Step by step procedures

1.5.2 Keyboard Conventions

Convention	Type of Information
Keys	All keys of the keyboard are represented in capital letters. For example, <CTRL>.
Shortcut keys	All short cut keys are contained in brackets. For example, <ALT+SHIFT>.

1.6 Glossary of Icons

This User Manual may refer to all or some of the following icons.

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

1.7 Abbreviations and Acronyms

The following acronyms and abbreviations are adhered to in this User Manual:

Abbreviation/ Acronym	Meaning
ADMIN	User Administrator
AGY	The Agency Branch component of the system
AMC	Asset Management Company
BOD	Beginning of Day
CDSC	Contingent Deferred Sales Charge
CGT	Capital Gains Tax

ORACLE®

CIF	Customer Information File
EOD	End of Day
EPU	Earnings per unit
FC-IS	Oracle FLEXCUBE Investor Servicing
FMG	The Fund Manager component of the system
FPADMIN	Oracle FLEXCUBE Administrator
ID	Identification
IHPP	Inflation Hedged Pension Plan
IPO	Initial Public Offering
LEP	Life and Endowment Products
LOI	Letter of Intent
NAV	Net Asset Value
REG	The Registrar component of the system
ROA	Rights of Accumulation
ROI	Return on Investment
SI	Standing Instructions
SMS	Security Management System
URL	Uniform Resource Locator
VAT	Value Added Tax
WAUC	Weighted Average Unit Cost

1.8   <u>Getting Help</u>

Online help is available for all tasks. You can get help for any function by clicking the help icon provided or by pressing F1.

ORACLE®

2. Distributor Installations

2.1 Distributor Installations

Investors that invest in a fund floated by an AMC may do so through a distributor organization, in which the investors have unit holder accounts. The distributor may market funds floated by different AMCs.

In such a case, the unit holders, brokers and other entities would have accounts in the distributor organization, through which they invest in funds floated by an AMC for which the distributor organization markets funds.

Oracle FLEXCUBE Investor Servicing provides the facility of setting up a distributor installation, where the entities such as unit holders, brokers and so on, would be associated with the distributor and not the AMC of the fund in which they have invested.

2.2 Features of Distributor Installations

For distributor installations, the distributor is specified as the default institution at the time of installation. The distributor is set up as entity in the system, and the entity record can be viewed through the Entity Maintenance screen. The system defaults and system parameters are maintained for the distributor.

No new distributor entities can be maintained, except the distributor entity created at the time of installation. In the Entity Maintenance screen, the distributor record can be edited, but not deleted, and no new distributor records can be set up.

Note

A distributor type of installation is not available unless you have specifically requested for it.

2.2.1 Mapping Entities to Distributor

When unit holder accounts or broker records are set up for new investors /brokers, they can be mapped to the distributor entity. The logic of generation of ID's for unit holders will include the distributor ID and not an AMC.

2.2.2 Investor Account Preferences

When Income Distribution Setup options, standing instructions, deals, letters of intent, non-tax limits are set up for a unit holder account, they will be applicable to investments entered into at the distributor organization to which the account is mapped.

2.2.3 Transactions for Unit Holders

Since unit holders could subscribe to funds floated by different AMC's at a distributor installation, transactions are accepted for unit holders into funds that are mapped to different AMC's.

2.2.4 Switching Logic

The restrictions for switch transactions (switches between different AMC's) are not applicable in a distributor installation.

ORACLE®

2.2.5   <u>Funds at a Distributor Installation</u>

Funds floated by different AMC's can be set up at the distributor installation. As mentioned earlier, restrictions to switching between funds of different AMC's will not be applicable.

ORACLE®

ORACLE®

Components

November [2012]
Version 12.0.1.0.0

Oracle Financial Services Software Limited
Oracle Park
Off Western Express Highway
Goregaon (East)
Mumbai, Maharashtra 400 063
India

Worldwide Inquiries:
Phone: +91 22 6718 3000
Fax:+91 22 6718 3001
www.oracle.com/financialservices/