

Reports  
Oracle FLEXCUBE Investor Servicing  
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# 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:

<b>Chapter 1</b>	<i>About This Manual</i> explains the structure, audience, organization, and related documents of this manual.
<b>Chapter 2</b>	<i>Reports</i> explains how to create various reports such as unit holder register report, transaction load listings, liquidations reports etc.
<b>Chapter 3</b>	<i>Appendix - Reporting for Capital Gains Tax</i> explains computation, processing, and maintenance of capital gains tax.

## 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.

### 1.5.1 General Conventions

<b>Convention</b>	<b>Type of Information</b>
<i>Italic type</i>	Functional /foreign terms Names of fields on a screen Validations for fields on a screen References to related Headings/Users Manuals For emphasis

Convention	Type of Information
Numbered Bullet	Step by step procedures
	This symbol when placed before text indicates a warning or an important note that you should read.

### 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
	New
	Copy
	Save
	Delete
	Unlock
	Print
	Close
	Re-open
	Reverse
	Template
	Roll-over
	Hold

Icons	Function
	Authorize
	Liquidate
	Exit
	Sign-off
	Help
	Add
	Delete

Refer the Procedures User Manual for further details about the icons.

## 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
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

<b>Abbreviation/ Acronym</b>	<b>Meaning</b>
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 **Getting Help**

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

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## 2. Reports

### 2.1 Introduction

Various reports can be printed at Fund Manager level. Transaction summary reports can be printed on a daily basis or at a regular frequency. This is invariably set up as a scheduled activity of EOD.

Typically, the following users or groups are authorized to access this function:

- The Administrator
- The Fund Administrator
- The Supervisor

The reports that are available are:

#### **Transactions Reports**

Summary Reports of all transactions can be printed at regular intervals. Also a detailed listing of all the loads that were applied for the transaction can also be generated. The Load Listing report for every transaction gives the breakup of all the loads that were applied for the transaction and the resultant effect on the price and the final units allotted.

#### **Performance Reports**

Performance reports of top performing agency branches can be generated. This can be done for a single fund or across funds in the AMC. It can be based on either transaction units or transaction amounts. If the transaction type is not specified, then, by default, IPO Subscription, Subscription and Redemption transactions are taken into consideration.

#### **Fund Data Reports**

Fund based reports like Fund Rule, Fund Price and Entity Details can also be printed. Reports based on the loads (Fee / Incentive) can also be generated. Generation of Standing Instructions reminders and printing of Standing Instructions report are also done at Fund Manager level. SI reminder generation is one of the EOD activities.

#### **Unit Holder Reports**

This module also does printing of unit holder holdings and unit holder registers.

Checks that are to be given by the Fund Manager to the various entities are also generated.

The list of reports that you can generate, preview and print is as follows:

- Unit Holder Register
- Transaction Load Listings
- Creation/Liquidation Report

- Creation/Liquidation History Report

## 2.2 Unit Holder Register Report

This report will also have the provision for printing the mailing labels for the selected unit holders.

This report will print the Unit Holder ID, Name, Address, Contact number, type of investor, country of residence, total holdings, percentage of holdings, etc. This will be printed at the Unit holder's request.

The input data required from the unit holder is Fund ID's, All Unit Holders/Top <N>, Investor Type. This report will be ordered by Unit Holder ID, Investor Type, Country of Residence, Agent, Holdings, and Zip Code. You can invoke the 'Unitholder Register' screen by typing 'UTR00127' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Unitholder Register". The window contains the following fields and controls:

- Fund ID:** A text box containing "ANFUN3" with a small icon to its right.
- Domicile:** A dropdown menu showing "LBL\_FOREIGN".
- Top:** An empty text box.
- Sort On:** A dropdown menu showing "Zip Code".
- Unit Holder ID:** An empty text box.
- Date Basis:** A dropdown menu showing "Allocation Date".
- Date:** An empty text box with a small icon to its right.

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

Totals of Number of Unit Holders, Total of holdings, Percentage of Holdings are computed and printed.

### 2.2.1 Fields in Unit Holder Register Report

This report will contain all the unit holder details. It will also contain other details like total holdings and the percentage of the holdings.

## 2.3 Transaction Load Listings

This report will print all details for a given transaction number. It gives a detailed listing all the loads and the amount and the net price after load.

This report will print all load details for the given transaction number.

This report will be printed Daily (Printed at the End of the Day). This report will be ordered by Load ID.

Sub totals of total amount price after load, amount after load are computed and printed for the same.

### **2.3.1 Fields in Transaction Load Listings Report**

#### *Transaction Number*

Displays the transaction Number for which the load listings are being printed.

#### *Transaction Date*

Displays the date of the transaction.

#### *Fund ID*

Displays the fund for which the transaction had taken place.

#### *Unit Holder ID*

Displays the ID of the unit holder who made the transaction.

#### *Transaction Units*

Displays the units applied for in the transaction.

#### *Transaction Amount*

Displays the Amount applied at the time of the transaction.

#### *Mode of Payment*

Indicates whether the transaction amount was paid by Cash, Check, DD, etc.

#### *Agent*

Displays the code of the Agent where the transaction was made.

#### *Branch*

Displays the code of the Branch of the Agent where the transaction was made.

#### *Broker*

Displays the code of the Broker who was involved for the transaction.

*Parent Broker*

Displays the code of the Parent Broker who was involved in the transaction.

*Base Price*

Displays the Base Price on which the transactions were made. This Price does not include the load amounts.

*Load ID*

Displays the Ids of the Loads that are applicable for the transaction.

*Load Type*

Indicates whether the Load is a Fee or an Incentive.

*From Entity*

Displays the code of the Entity from whom the load is applicable for the transaction.

*To Entity*

Displays the code of the Entity to whom the load is applied for the transaction.

*Processing Frequency*

Displays the frequency at which the loads are processed.

*Amount*

Displays the Load amount applicable for the transaction.

*Load to Price*

Indicates whether the Load Amount is loaded to price or not.

*Plus or Minus*

Indicates whether the load amount is added or subtracted from the price.

*Free Transaction*

Indicates whether the transaction is a free transaction or not.

*Price After Load*

Displays the Transaction Price calculated after the application of the load amount to the Base Price.

*Amount After Load*

Displays the Amount calculated after the application of the load amount.

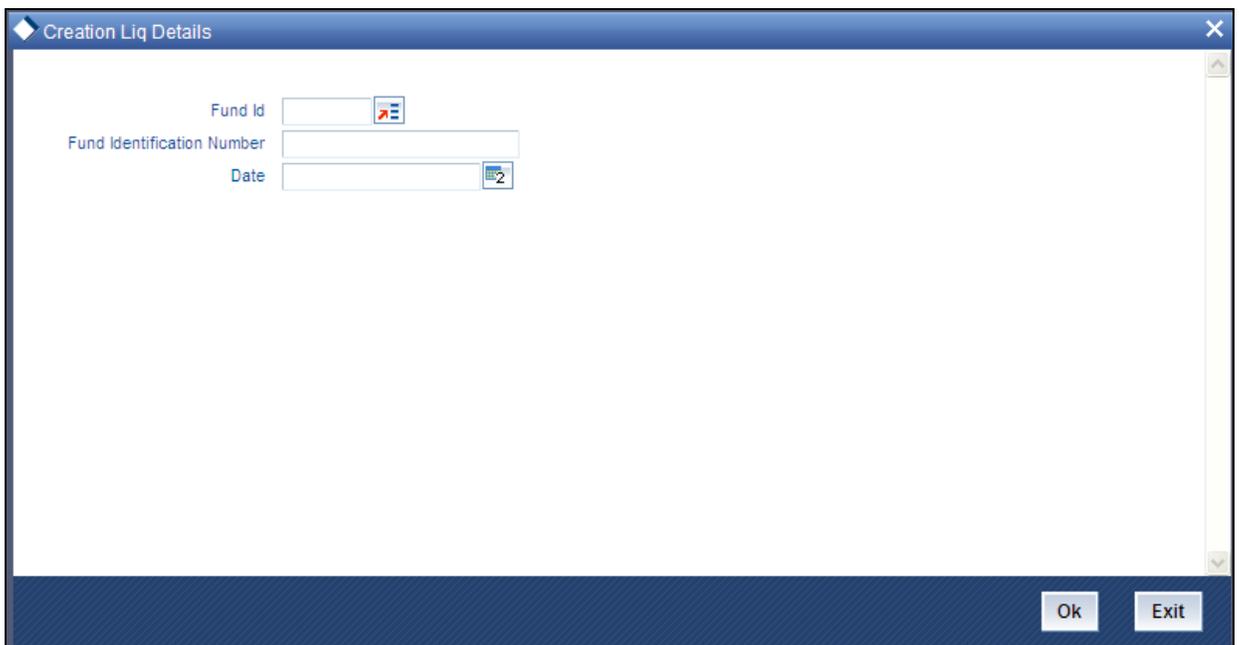
### *Units Allotted*

Displays the actual number of units allotted in the transaction.

## 2.4 **Creations/Liquidations Report**

This report is the creation or liquidations order placed with the trustee by the AMC for each fund. Reports are printed for a given processing date (allocation date) and fund.

The 'Creation Liq Details' screen allows you to enter search criteria for the generation of a Creation/Liquidation Trading Report. You can invoke this screen by typing 'UTR00210' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a window titled "Creation Liq Details". It contains three input fields: "Fund Id" with a dropdown arrow icon, "Fund Identification Number", and "Date" with a calendar icon. At the bottom right, there are "Ok" and "Exit" buttons.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The fund for which you want to generate the trading report, in the Fund ID field. If you specify the fund, the ISIN Code of the selected fund is displayed in the ISIN Code field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ISIN Code of the fund for which you want to generate trading reports, in the Fund Identification Number field. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The date for which trading data must be retrieved, in the Date field.

### **2.4.1.1 Fields in Creations/Liquidations Report**

The following details are displayed:

- The Fund Custodian Details
  - The Custodian Name and Address
  - The Fund Name and Address
  - Date on which report is printed
- Transaction processing details
  - Transaction Date
  - Number of units
  - Creation/Liquidation price
  - Creation/Liquidation amount available in the system
- Bank Details
  - Transfer Amount
  - Fund Pay-In Account Bank Name
  - Fund Pay-In Account Number
  - Fund Pay-In Account Type
  - Custodian Bank Name
  - Custodian Bank Account Number
  - Custodian Bank Account Type

## **2.5 Creations/Liquidations History Report**

This report is the creation or liquidations order history placed with the trustee by the AMC for each fund for three working days prior to the current order date. Reports are printed for a given range of allocation dates and fund.

The 'Creation Liq History' screen allows you to enter search criteria for the generation of a Creation/Liquidation Trading History Report. You can invoke this screen by typing 'UTR00211' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Creation Liq History". It contains the following fields:

- From Date: A date input field with a calendar icon.
- To Date: A date input field with a calendar icon.
- Fund ID: A text input field with a dropdown arrow icon.
- Fund Identification Number: A text input field.
- Days: A text input field.

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The fund for which you want to generate the trading history report, in the Fund ID field. If you specify the fund, the ISIN Code of the selected fund is displayed in the ISIN Code field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ISIN Code of the fund for which you want to generate trading history reports, in the Fund Identification Number field. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The dates that specify the period between which you want to view the trading history details, in the From Date and To Date fields.
- Number of days

### **2.5.1.1 Fields in Creations/Liquidations Report (Trading Box)**

#### *Report Heading*

Report heading includes the Fund ID, Fund Name, Report From Date and Report To Date.

#### *Status*

Displays the status 'Processed OK' by default.

#### *Value Date*

Displays the price date of the trading record.

*Processing Date*

Displays the Allocation date of trading record.

*Units Created*

If the transaction type is of Creation, the number of units created for the day is displayed.

*Units Liquidated*

If the transaction type is of Liquidation, the number of units liquidated for the day is displayed.

*Creation Price*

Displays the unit price of trading record.

*Liquidation Price*

Displays the unit price of trading record.

*Amount Created*

Displays the trading amount.

Trading amount = Creation Price \* Units created

*Amount Liquidated*

Displays the trading amount

Liquidation Price \* Units Liquidated

*Units In Issue*

Displays the sum total of all units prior to the valuation date of the corresponding trading record for the fund

*Client Units*

Displays the sum total of all units prior to the valuation date of the corresponding trading record for the fund

*Statutory Bal*

Displays the balance of unit holder account with account type as "Statutory" in the reporting fund

*Unit Inflows*

Displays the Net settlement In for trading allocation date.

### *Unit Outflows*

Displays the Net settlement out for trading allocation date

### *Nett Position*

Nett Position = Unit Inflows - Unit Outflows - Trading Balance

### *Date Captured*

Displays the date on which the record was processed.

### *Captured By*

Displays the Maker ID of the creator of the record.

## **2.6 Hedge Fund Report**

Hedge Fund Report displays the details related to a hedge fund, based on the transaction date range and Fund ID.

The following details related to hedge funds are displayed in the report:

- Fund Id
- Performance Fee Calculation method
- Application Date
- Transaction Date
- Unit Holder ID
- Transaction Number
- Event Id
- Element Id and description
- Value associated with the element

## **2.7 Series Funds Report**

The Series Funds Report shows the computed net NAV values of available 'Series Funds' for a particular date. The optional parameters based on which the report is generated are listed below:

- Lead Fund
- Fund ID
- Date

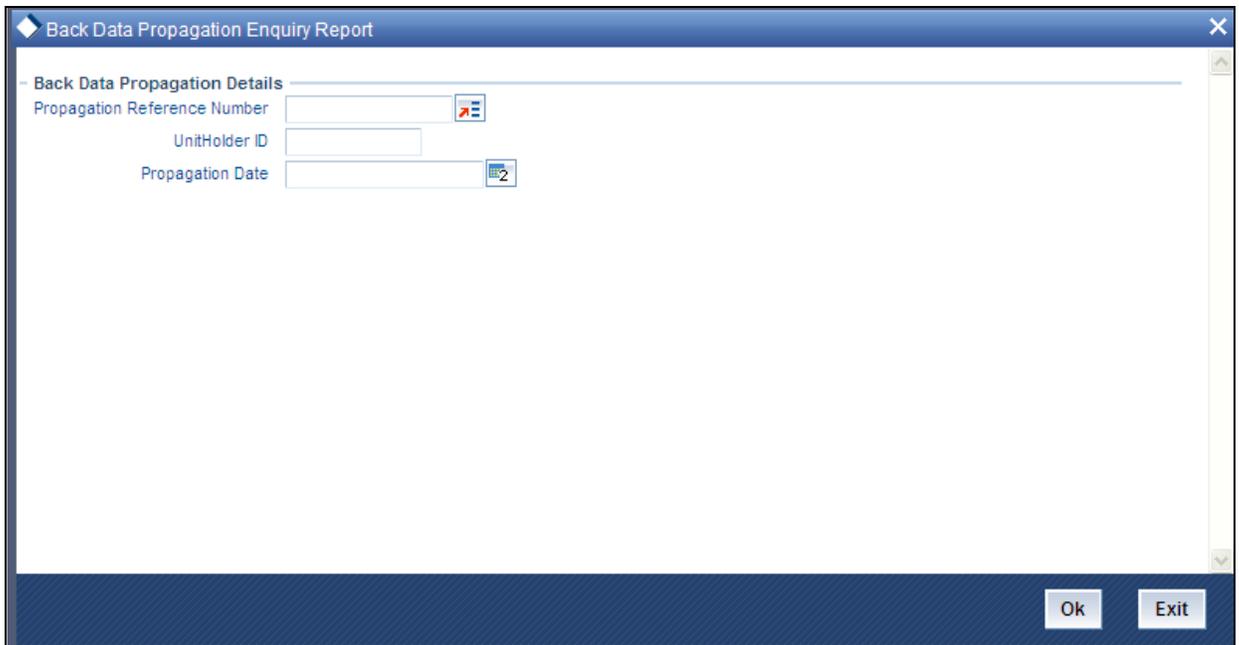
If Lead Fund is specified then the report will contain net NAV of the lead fund and all of its follow up series funds. If fund ID is provided, then the report will contain net NAV of the given fund only. If the Lead Fund and Fund ID are not specified, the report will contain the net NAV of all available series funds. If the Date is not specified, the report will show the net NAV details for the application date.

The report contains the following details:

- Fund ID
- Lead Fund
- Effective Date
- Fund Base Currency
- GNAV
- NNAV

## 2.8 **Back Data Propagation Enquiry Report**

The Back Data Propagation Enquiry Report shows the details of the transactions for UT and LEP. You can invoke this report by typing 'utrprqry' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, select the 'Propagation Reference Number' and click 'OK'. The system will display the 'UnitHolder ID' and 'Propagation Date'. It will also display a screen in which you specify your printing preferences. The system will accordingly generate a report which has the following details:

- Investor Fund Balances
- Standing Instruction Details
- Income Distribution Setup Details
- Transaction Summary
- Dividend Distribution Details
- Capital Gains Transactions Tax Details
- Broker Commission Details

*Refer the chapter 'Back Data Propagation' for a detailed list of contents for each section.*

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## 3. Generating Reports

### 3.1 Introduction

Oracle FLEXCUBE Investor Servicing provides an extensive reporting facility. You can query the database to obtain pre-defined reports relating to any aspect of fund management, entity management, transaction processing or security.

The reports are grouped into the following categories:

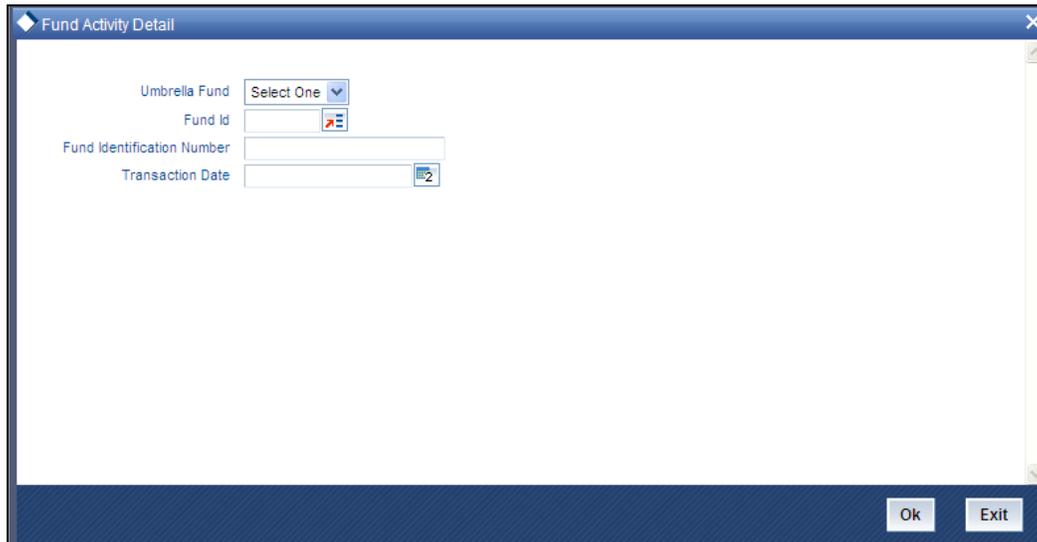
- Activity Reports
- Broker Reports
- Certificate Printing
- Confirmation Reports
- Inquiry
- LEP Reports
- Other Reports
- Print Reports
- Queries
- Reinvestment Report
- SI Reports
- Threshold Balance
- Transfer Register
- Transaction Reports
- UH Info Reports
- Unit Holder Reports

### 3.2 Activity Reports

The reports in this section display data regarding the logging of activities performed by the users that access the Oracle FLEXCUBE system. These are mainly security management related reports.

### 3.3 Fund Activity Report

This report will print the Activity Summary or Super Sheet of the fund for the day. It is printed on request. You can invoke the 'Fund Activity Detail' screen by typing 'UTR00033' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enter the search criteria and click 'Ok' button to generate the report.

#### 3.3.1 Fund Activity Summary Report Fields

##### *Subscription*

The sum of the total subscription, in units and amounts that have been made.

##### *Switch To*

The sum of the total Switch transactions, in units and amounts that have been made to this fund.

##### *Total Subscriptions*

The sum of the total Subscription, in units and amounts that have been made. This includes Subscriptions and Switch To this fund.

##### *Redemption*

The sum of the total redemption, in units and amounts that have been made.

##### *Switch From*

The sum of the total Switches, in units and amounts that have been made from this fund.

### *Dividends*

The sum of the total Dividends, in units and amounts that have been declared.

### *Total Redemption*

The sum of the total Redemption, in units and amounts that have been made. This includes redemption, switch from this fund, dividends.

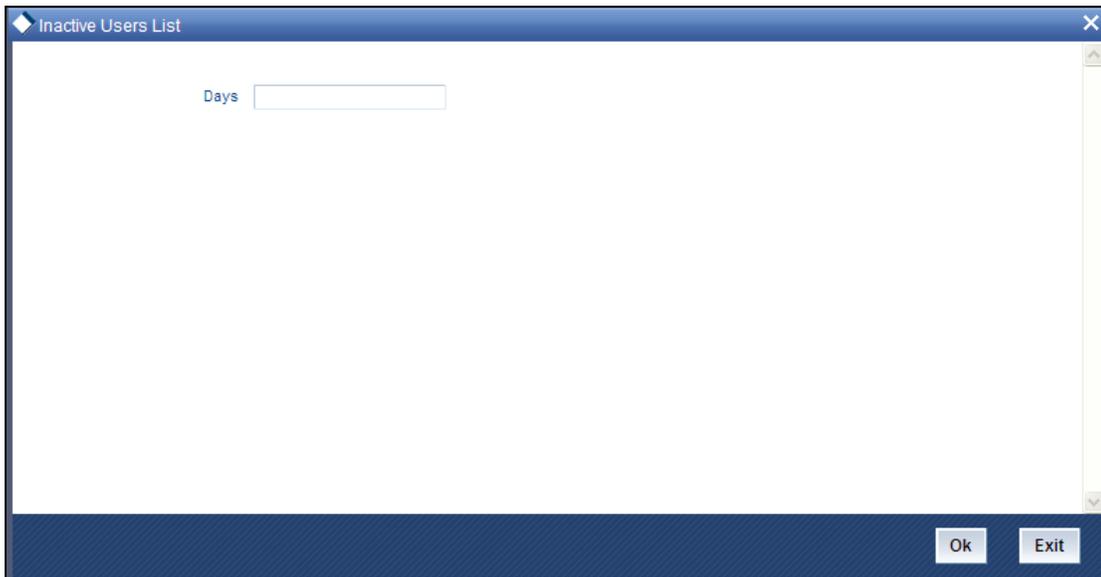
### *Net*

This is the Total Subscriptions minus the Total Redemption made.

## 3.4 **Inactive Users Report**

This report is generated to view the details of the inactive users.

The 'Inactive Users Report' screen is as shown below. You can invoke the 'Inactive Users List' screen by typing 'UTR00193' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



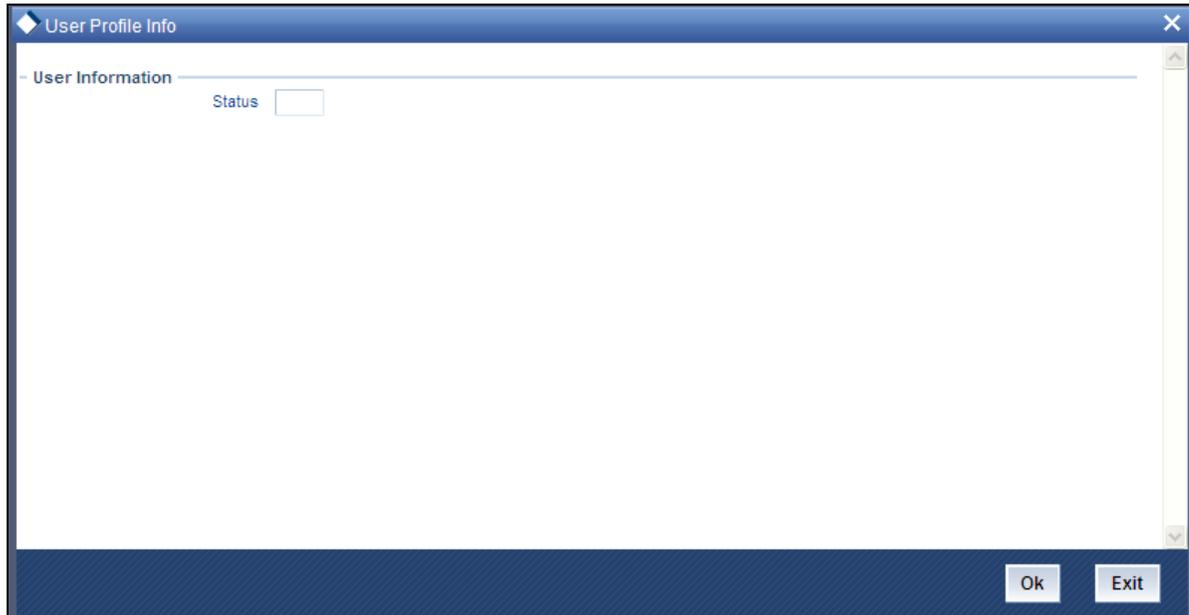
Enter the search criteria and click 'Ok' button to generate the report.

In this screen, the following are the parameters for the generation of the report:

- The number of days from the application date since when the user's status has been inactive.
- The language in which the report must appear.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

## 3.5 User Profile Info Report

This report is generated to view the details of the inactive users. You can invoke the 'User Profile Info' screen by typing 'UTR00192' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enter the search criteria and click 'Ok' button to generate the report.

In this screen, the following are the parameters for the generation of the report:

- The user's status the options being
  - Disable
  - Enable
  - All
- The language in which the report must appear.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

## 3.6 Broker Reports

Any information related to brokers in the system can be displayed by generating the reports in the reports in this section.

## 3.7 **Broker Communique Report**

This report shows you the commission details for a broker, over a period, with summaries as well as fund-wise and transaction-wise groupings.

Also, this report shows you the value of the broker's holdings in each fund, along with the CASA account balances.

The following details are displayed in the report:

### 3.7.1 **Broker Details**

In this section of the report, the Name, Code, Telephone and Facsimile Numbers, Mobile Number, Email Address and Postal Address of the concerned broker are displayed.

Also, the Last Paid On Date, which refers to the last commission payment date and the Next Payment On Date are displayed.

The VAT Registration Number is also displayed.

### 3.7.2 **Summary of Commission Details**

Here, the summary details of commissions that have accrued to this broker over the given time period are displayed. This includes the following information:

- The Payment Dates of the Commissions
- The Opening Balance
- The Commission Accrued, Earned, Paid and Reinvested

Here, the commission accrued will include the commission that has accrued from transactions for which the payment instruments have not been cleared, too. This portion of the commission is not paid out till the payment instruments are cleared.

### 3.7.3 **Payment Details**

The details of each commission payment are displayed here. Both Check as well as Transfer payments are displayed under the appropriate head.

For Check Payments, the following details are available for view:

- The Payment Reference Number and Payment Date
- The Check Amount, the Check Number, the Clearing Date and the Clearing Status.

For Transfer Payments, the following details are available for view:

- The Payment Date

- The Transfer Amount, Transfer Bank Name and Branch Name
- The Transfer Account Type and Account Number.

The commission paid out will not include the commission that has accrued from transactions for which the payment instruments have not been cleared. This portion of the commission is not paid out till the payment instruments are cleared.

### **3.7.4 Commission Details Grouped by Transaction and Fund**

In this section, the details of commission in each fund, grouped according to transactions, are displayed. For each transaction that has resulted in a commission payment, the following details are displayed:

- Client Details such as the Unit Holder that has entered into the transaction and the Unit Holder Number.
- Transaction Details such as the Transaction Date and Type, the Number of Units involved in the transaction, the Buy Price and the Amount in fund base currency.
- Commission Details, such as the Commission Earned

If the payment instrument for the transaction is not cleared, the commission as a result of the transaction is processed and accrued, but it is not paid out till the payment instrument is cleared.

### **3.7.5 Unit holder Balances across Funds and CASA Account Balances**

In the final section of this report, the fund-wise balances held by each unit holder whose introducer broker is the broker for whom the report is being printed, are displayed. For each unit holder, the following details are displayed fund-wise:

- The Unit Balance in each of the funds, with Provisional Units and Blocked Units. The Value of Fund Holdings is also displayed, in unit holder currency.
- The Total Value of Holdings of the unit holder across funds is also summed up and displayed in fund base currency.
- The CASA Account Balance for the unit holder is also displayed.
- The Total Blocked Amount, across funds, is also displayed.

The Grand Total of Holdings is the sum of all the total values of holdings for all unit holders across funds. This is also displayed in the report.

### **3.7.6 Generating Broker Communique Report**

The 'Broker Communique' Report generation screen is as shown below. You can invoke the 'Broker Communique' screen by typing 'UTR00107' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Broker Communique

From Date  

To Date  

Broker Code  

Ok Exit

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The dates that specify the period between which you want to view the broker details, in the From Date and To Date fields.
- The code of the broker for whom you want to view the details between the specified dates, in the Broker Code field. (This specification is not mandatory. If not specified, the details for all brokers between the two specified dates will be displayed)
- The language in which the report must appear, in the Report Language field.

After making your specifications, click 'Ok' button .

### **3.8 Broker Details Report**

This report displays all information regarding the Broker that you have entered in the broker's record, in the 'Broker Maintenance' screen. The information is logically grouped under the following heads:

- Broker Details such as the Broker Name and the Parent Broker Name.
- Contact Details
- Commission Details
- Bank Details
- Income Distribution Set-up Details
- Reinvestment Setup Details

### **3.8.1 Broker Details**

In this portion of the report, the following details are displayed:

- The Broker's Name
- The Broker's Code (i.e., the broker's identification within the system)
- The name of the Parent Broker to whom this broker reports.
- The Broker Code of this Parent Broker

### **3.8.2 Contact Details**

In this portion of the report, the following details are displayed:

- The Broker's complete address, with the City, State and Zip Code.
- The Broker's telephone, fax and cell-phone numbers.
- The name of the Contact Person for this broker.

### **3.8.3 Commission Details**

In this portion of the report, the following details are displayed:

- The VAT details of the broker (i.e, whether the broker is a VAT Registered Broker or not, and if so, his VAT Registration Number)
- The hierarchical commission percentage that is payable to this Broker.
- The Commission Payment Frequency, with the Next Payment Date, Last Payment Date, Last Payment Number and Last Processed Date.
- The Commission that has been carried forward.

### **3.8.4 Bank Details**

In this portion of the report, the following details are displayed:

- The name and branch name of the Bank where the Broker has an account.
- The ID of the account in the concerned Bank which must be used to make or receive payments regarding this broker, and the name of the Account Holder. If this is the default account for this broker, this will also be mentioned.

### **3.8.5 Income Distribution Set-up Details**

In this portion of the report, all details that pertain to the income distribution set-up for this broker are displayed, as follows:

- The Income Distribution Mode, the Payment Split Percentage and the Check or Transfer Payment Split Percentage.

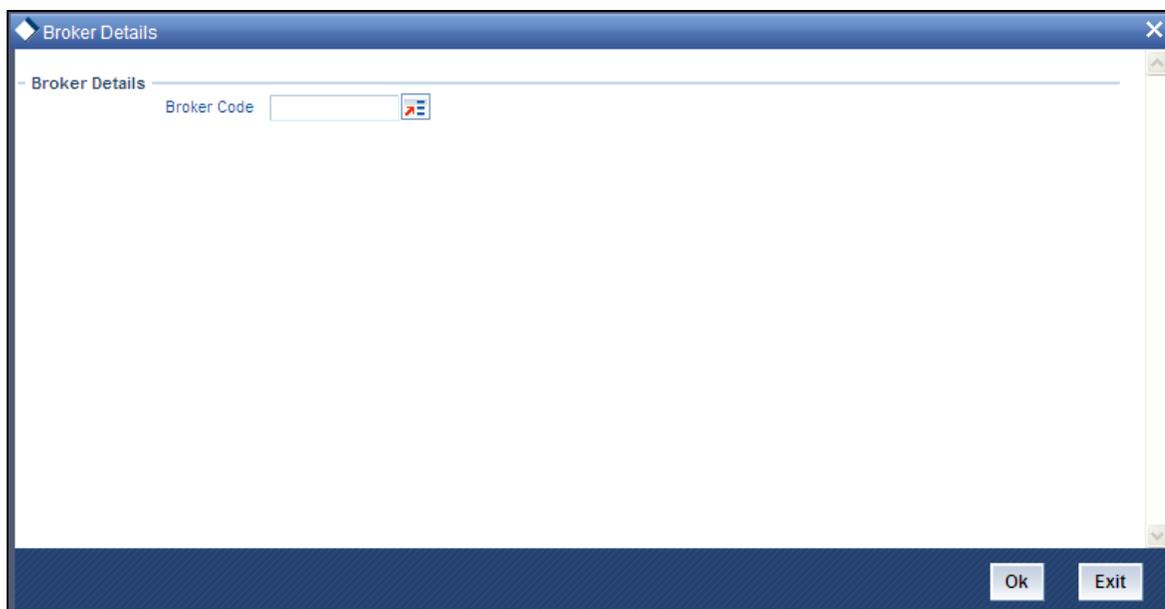
- The Transfer Details such as the Account Type, Number, Bank Name and Branch Name.

### 3.8.6 Reinvestment Setup Details

In this portion of the report, all details that pertain to the Reinvestment Options set up for this Broker are displayed, such as the Reinvestment Unit Holder ID, the Reinvestment Fund ID and the Split Percentage.

### 3.8.7 Generating Broker Details Report

The Broker Details Report generation screen is as shown below. You can invoke the 'Broker Details' screen by typing 'UTR00048' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button



In this screen, you must specify the code of the broker whose details you want to view, in the Broker Code field. as mandatory sorting parameters for the generation of the report. After making your specifications, click 'Ok' button.

## 3.9 Reporting Structure for Brokers

This report may also be termed as the Broker Hierarchy Report. You can use it to view the details and the framework of the reporting structure in a given Hierarchy Structure, for a given Parent Broker. The following details are displayed at each Reporting Hierarchy Level:

- The Broker Code, Name and Address details, the Telephone, Cell Phone, Fax Numbers and the E-Mail Address.
- The Code of the Broker to whom the concerned Broker reports
- Commission Percentage payable by the broker to the immediate Parent Broker in the hierarchy

- The Commission Payment Frequency
- The Last Paid On and Next Payment On dates
- The carried forward Commission
- The VAT Registration Number

The Broker Hierarchy Report generation screen is as shown below. You can invoke the 'Broker Hierarchy' screen by typing 'UTR00046' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as sorting parameters for the generation of the report:

- The code of the broker whose hierarchy structure details are to be displayed, in the Broker Code field.
- The level number of the selected broker in the hierarchy. Specify this in the level number field.



None of these details are mandatory.

After making your specifications, click 'Ok' button. The report details are displayed.

### 3.10 **Broker Commission Payment Report**

You can use this report to view the details of commission payment and commission reinvestment processing for a broker.

The information that is displayed is grouped under the following heads:

- Broker Details
- Commission Details
- Payment Details
- Reinvestment Details
- Broker Journal Details

### **3.10.1 Broker Details**

In this section of the report, the Name, Code, Telephone Number and Postal Address of the concerned broker are displayed.

### **3.10.2 Commission Details**

Here, the details of commissions that have accrued to this broker over the given time period are displayed. This includes the following information:

- The Payment Dates of the Commissions
- The Opening Balance
- The Commission Accrued, Paid and Reinvested

Here, the commission accrued will include the commission that has accrued from transactions for which the payment instruments have not been cleared, too. This portion of the commission is not paid out till the payment instruments are cleared.

- The VAT Amount
- The VAT Registration Number
- Whether VAT Amount has been paid or not.

### **3.10.3 Payment Details**

The details of each commission payment are displayed here. Both Check as well as Transfer payments are displayed under the appropriate head.

For Check Payments, the following details are available for view:

- The Payment Reference Number and Payment Date
- The Check Amount, the Check Number, the Clearing Date and the Clearing Status.

For Transfer Payments, the following details are available for view:

- The Payment Date
- The Transfer Amount, Transfer Bank Name and Branch Name
- The Transfer Account Type and Account Number.

The commission paid out will not include the commission that has accrued from transactions for which the payment instruments have not been cleared. This portion of the commission is not paid out till the payment instruments are cleared.

### **3.10.4 Reinvestment Details**

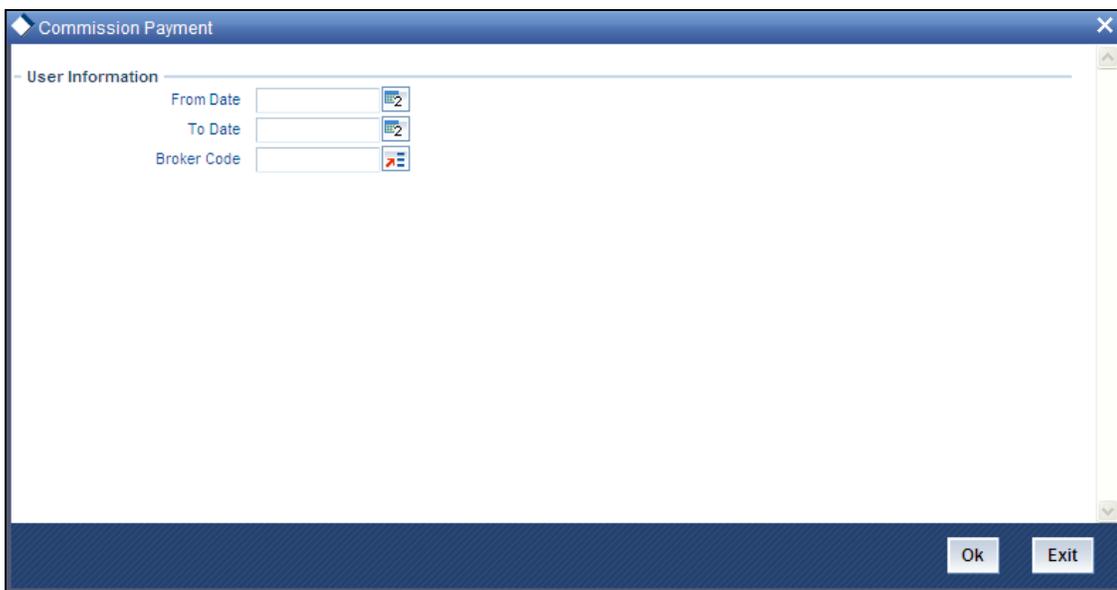
The details of the reinvestment options that are set up for this broker are displayed here. These details include the Payment Date corresponding to the commission which is being reinvested in part or full, the Reinvestment Unit Holder ID, Reinvestment Fund ID and the Reinvestment Amount.

### **3.10.5 Broker Journal Details**

The details of the journal of commission payment for this broker are displayed here. This includes transaction number corresponding to the journal entry, Adjustment of payments of commissions, Payables and Receivables for the broker resulting from the transaction and the Remarks, if any.

### **3.10.6 Generating Broker Commission Payment Report**

The Broker Commission Payment Report generation screen is as shown below. You can invoke the 'Commission Payment' screen by typing 'UTR00083' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. '



The screenshot shows a window titled "Commission Payment". Inside the window, there is a section labeled "- User Information" which contains three input fields: "From Date", "To Date", and "Broker Code". Each field has a small icon to its right. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

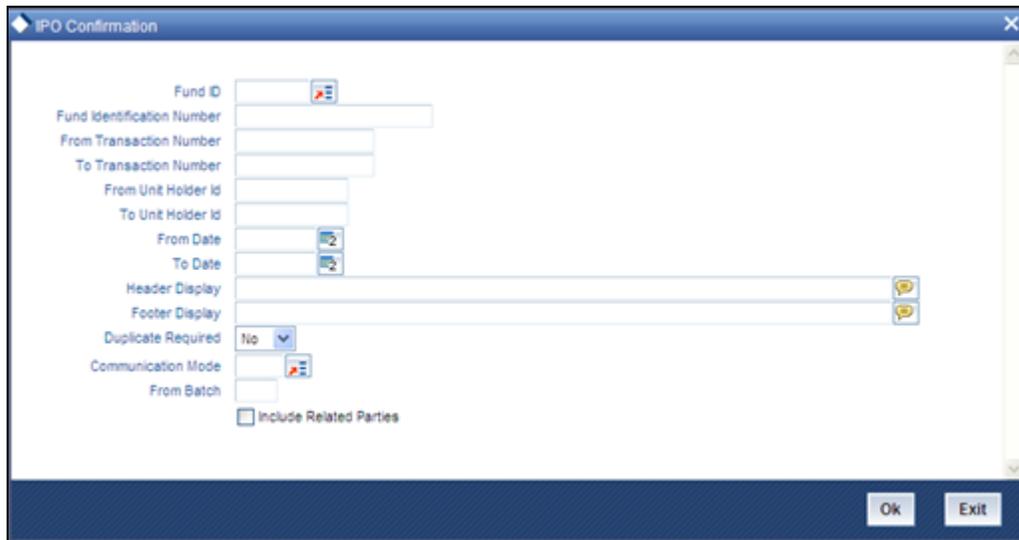
- The dates that specify the period between which you want to view the commission payment details, in the From Date and To Date fields.
- The code of the broker for whom you want to view the commission details between the specified dates, in the Broker Code field.

After making your specifications, click 'Ok' button . The report details are displayed.

### 3.11 Confirmation Reports

The Oracle FLEXCUBE Investor Servicing (FC-IS) system provides the facility of printing confirmation reports for all allocated transactions that have been confirmed on a given business day.

The transaction type confirmation report generation screen is as shown below.



In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).
- The language in which the report must appear, in the Report Language field.

You could also print or view it as required by the user, by making appropriate specifications in the remaining fields of the generation screen, as follows:

- To reflect all allocated and confirmed transactions of any transaction type or a particular transaction type, between any two dates.
- To reflect all allocated and confirmed transactions from a given transaction number to a given transaction number, between any two dates.
- To reflect all allocated and confirmed transactions requested by a range of unit holders, between any two dates.
- To reflect all allocated and confirmed transactions requested by a particular unit holder, between any two dates.
- To reflect all allocated and confirmed transactions, for a range of unit holders or all unit holders, between a range of dates bounded by a From and To Date.

- To reflect all allocated and confirmed transactions, for a range of unit holders or all unit holder, on a given date.

After making your specifications, click 'Ok' button. The report details are displayed.

### **3.11.1 Details in Confirmation Reports**

The following details are printed in the report:

- The ID, name and the address details of the unit holder that has requested the transaction.
- The transaction date.
- The fund in which the unit holder has requested the transaction.
- The market value of the total investments held by the unit holder in the AMC as on the dates of printing the confirmation report.
- The opening and closing balance for the unit holder in the fund as a result of the transaction.
- The volume of the transaction in number of units.
- The payment details for the transaction.
- The transaction number.
- The fees break-up for the transaction.

In the case of switch transaction, confirmation notes are printed for both the legs of the transaction. For transfer transactions, separate confirmation notes are printed for both the transferor and the transferee.

## **3.12 Other Reports**

Some other types of reports are discussed here.

## **3.13 Allocation Error Report**

This report displays the errors logged by the allocation process between any two dates.

The FMG Allocation Error Report screen is as shown. You can invoke the 'Allocation Errors' screen by typing 'UTR00066' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The dates that enclose the period during which you want to view the corresponding allocation error data, in the From Date and To Date fields.
- The language in which the report must appear, in the Report Language field.

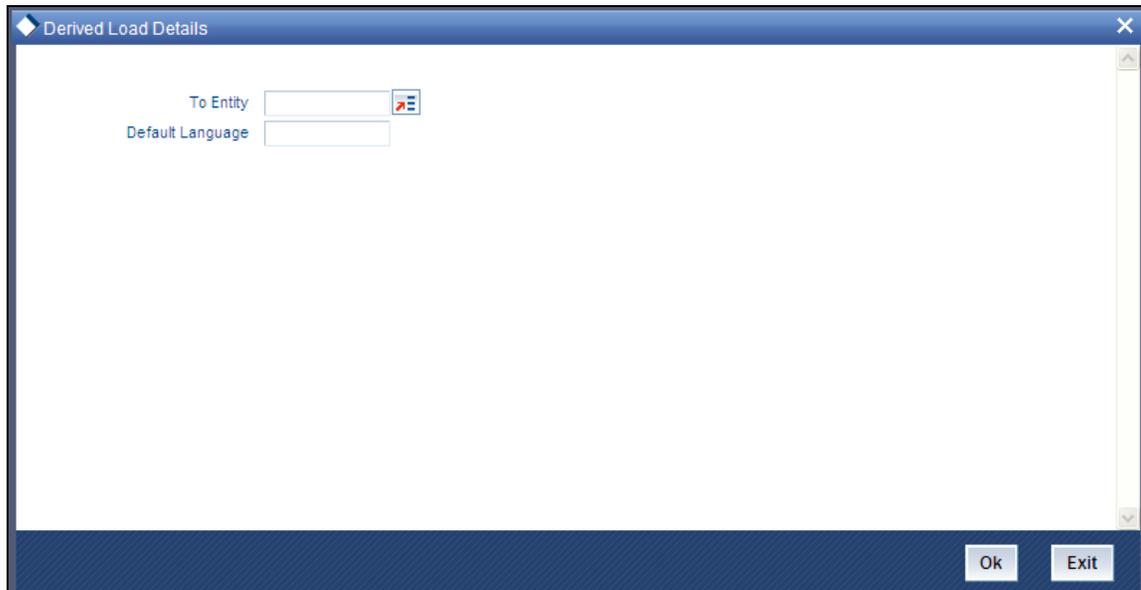
After making your specifications, click 'Ok' button. The report details are displayed.

### 3.14 Derived Load Report

This report can be used to obtain a list of all the authorized loads that have been set up in the system and the loads that are dependent on the same. There are no parameters for the report. It will list the following details, grouped by the information item, Parent Load.

- The ID of the derived Load
- The description of the derived load
- The Parent Load that the specified load is mapped to
- The Load Percentage
- The Type of the receiving Entity( or the To Entity)
- The ID of the receiving Entity( or the To Entity)
- The Criteria for this derived load
- Mandatory / Optional Option
- The Priority for the derived load
- The Rule Effective Date of the derived load

The Derived Load Report generation screen is as shown below. You can invoke the 'Derived Load Details' screen by typing 'UTR00063' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The entity that is the recipient for the proceeds of the derived load, in the To Entity field. (This specification is not mandatory)
- The language in which the report must appear, in the Report Language field.

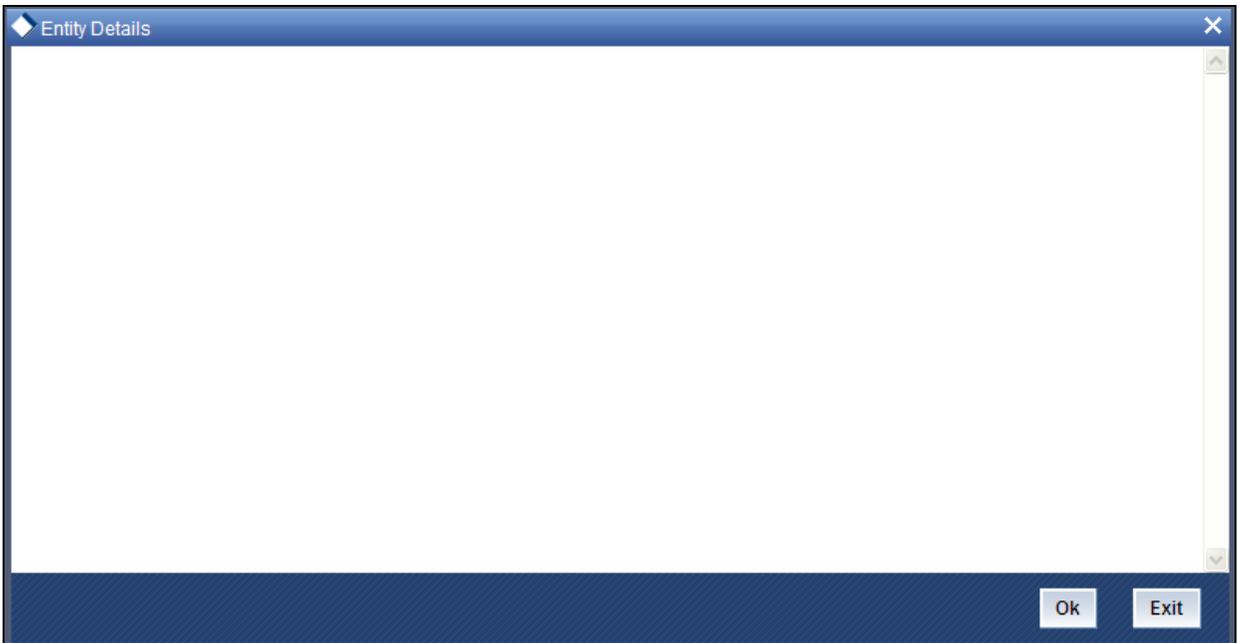
After making your specifications, click 'Ok' button. The report details are displayed.

### 3.15 Entity Details

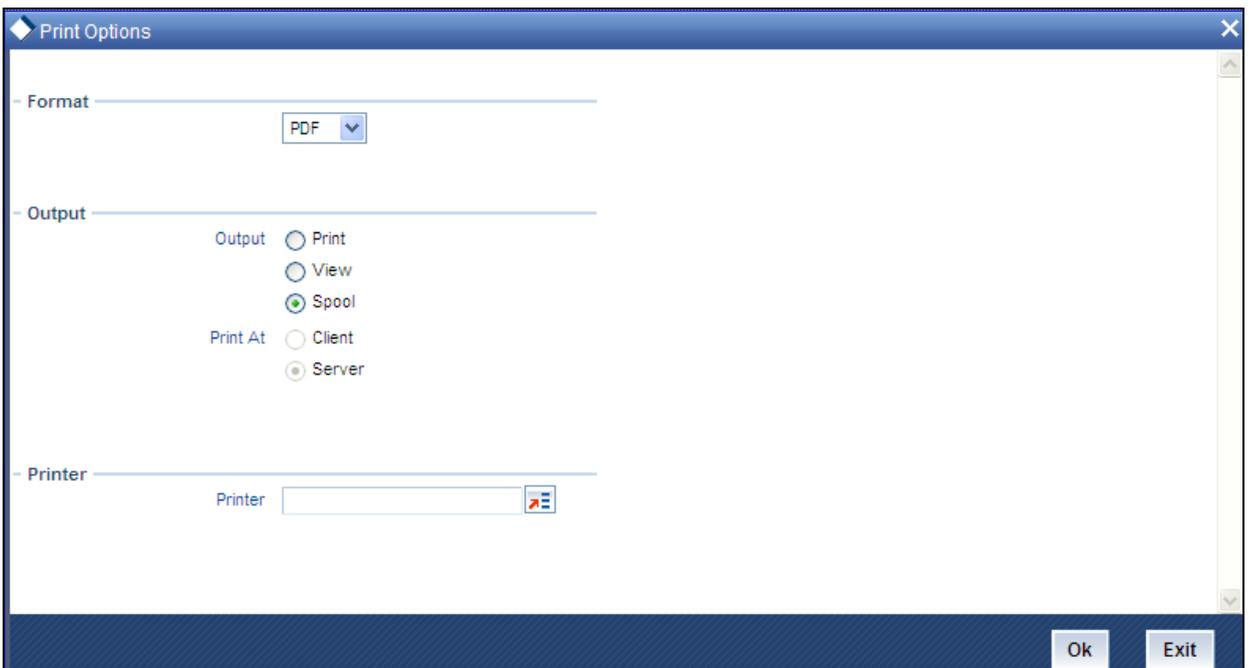
This report displays all the entities present in the system - all the AMC, Registrars and Trustees.

It is printed on request, and the details are ordered according to Entity Type and Entity ID. All the static data that is available for the entities is displayed, such as the entity type, name, address, contact person, authorized signatory, phone number, fax number, etc.

The 'Entity Report generation' screen is as shown below. You can invoke the 'Entity Details' screen by typing 'UTR00062' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Click 'Ok' button to generate the report. A screen with print options is displayed.



Enter the following details:

- Output: Select any one of the following output:
  - View
  - Spool
- Format :Select any one of the following format:

- HTML
- RTF
- PDF

Enter the printing options and Click 'Ok' button to print.

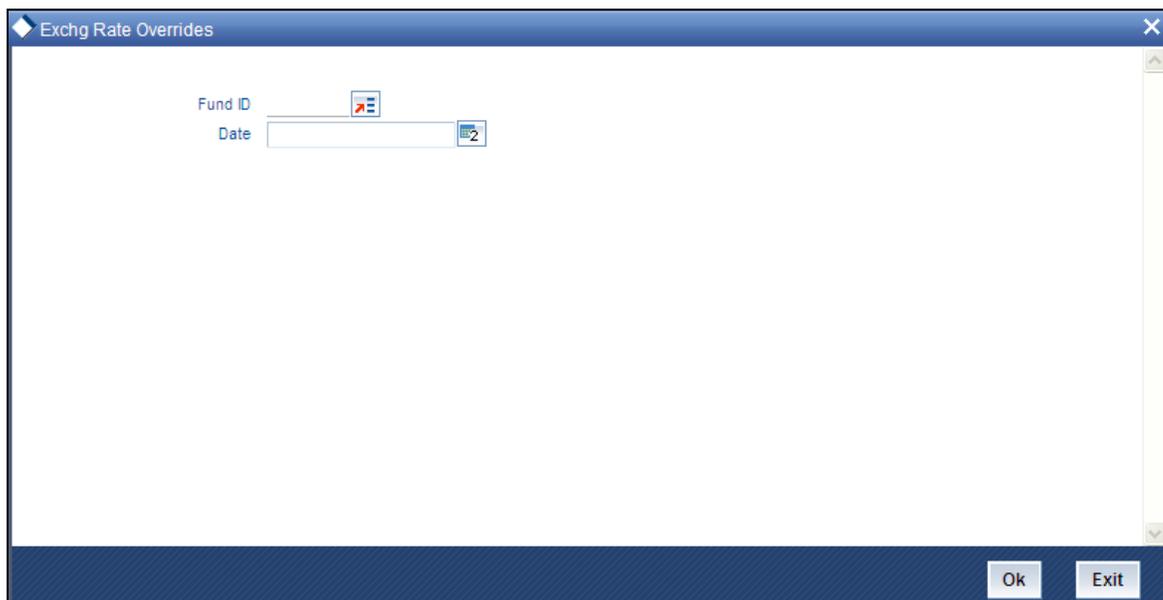
### 3.16 Exchange Rate Override Report

This report displays details of overridden exchange rates for a fund on a given date. The details are displayed grouped by each Agent Code.

The following details are displayed:

- Transaction Number
- Applied Exchange Rate
- Overridden Exchange Rate
- The Variance percentage
- The Source ID of the Source from which the applied exchange rate was derived.

The 'Exchange Rate Override Report generation' screen is as shown below. You can invoke the 'Exchange Rate Overrides' screen by typing 'UTR00065' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The ID of the fund, for which the exchange rate override was performed, in the Fund ID field.

- The date on which the exchange rate was overridden, in the Date field.
- The language in which the report must appear, in the Report Language field.

After making your specifications, click 'Ok' button. The report details are displayed.

### 3.17 Fund Price Report

This report will contain all the data with respect to the Fund Price maintenance. It will contain details of the Real NAV per unit, Declared NAV, Total assets, Outstanding Units, Total Foreign Investors Outstanding Units, Total number of Unit Holders. It also has details of the base prices of the all the transactions that are operational with the fund as of that particular date.

The 'Fund Price Report generation' screen is as shown below. You can invoke the 'Fund Price Details' screen by typing 'UTR00040' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

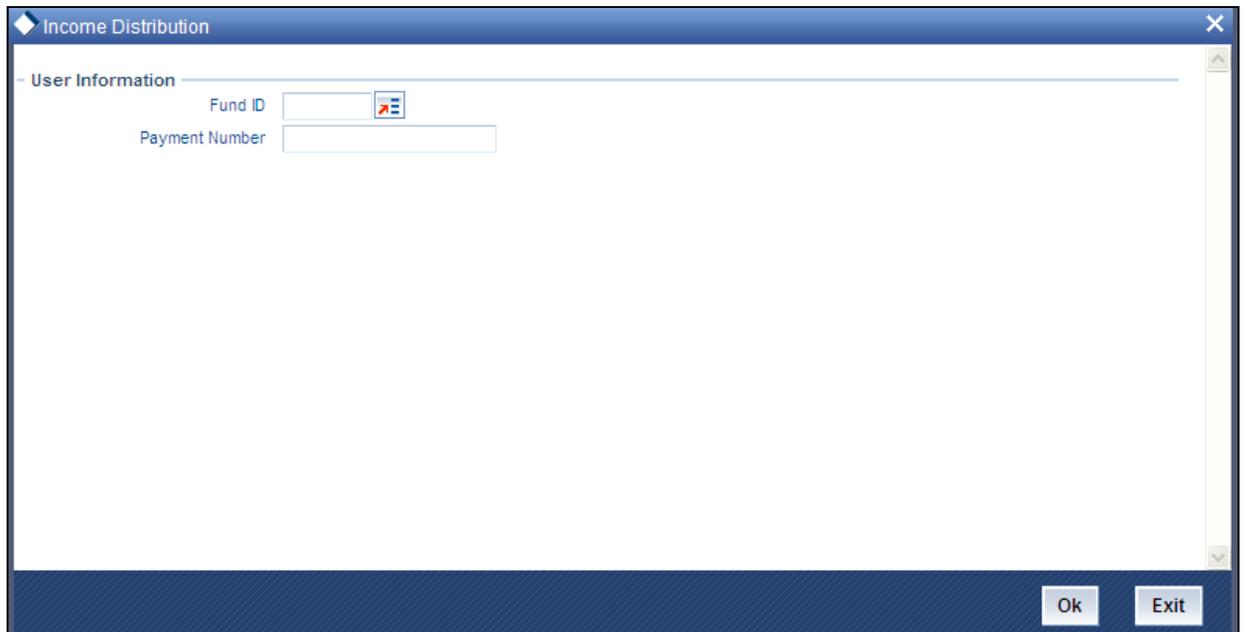
- The ID of the fund, for which you want to view the price details, in the Fund ID field. (this is not a mandatory specification)
- The date on which you want to view the price details, in the Date field.
- The language in which the report must appear, in the Report Language field.

After making your specifications, click 'Ok' button. The report details are displayed.

### 3.18 IDS Summary Report

To obtain a summary of income distribution payments made for a fund, you can use this report.

The 'Income Distribution Summary Report generation' screen is as shown below. You can invoke the 'Income Distribution' screen by typing 'UTR00115' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a software window titled "Income Distribution". Inside the window, there is a section labeled "User Information" which contains two input fields: "Fund ID" and "Payment Number". The "Fund ID" field has a small icon to its right. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The ID of the fund, for which you want to view the price details, in the Fund ID field.
- The number of the payment made as a result of the income distribution cycle, in the Payment Number field.
- The language in which the report must appear, in the Report Language field.

After making your specifications, click 'Ok' button. The report details are displayed.

### 3.19 Income Advice Report

The Income Advice Report generation screen is as shown below. You can invoke the 'Income Advice Detail' screen by typing 'UTR00110' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The ID of the fund for which the income payment was made, in the Fund ID field.
- The number of the payment made as a result of the income distribution cycle, in the Payment Number field.

You can also specify any of the following to fine tune your search:

- The ID of the unit holder for whom the income payment was made, in the Unit Holder field.
- The details of the payment, such as the Payment Mode and the Payment Date.

After making your specifications, click 'Ok' button. The report details are displayed.

### 3.20 **LOI Non Fulfillment Report**

This report displays details of Letter of Intent indemnifications by unit holders that have not been fulfilled in the LOI Period.

The 'LOI Non Fulfillment Report generation' screen is as shown below. You can invoke the 'LOI Non Fulfillment' screen by typing 'UTR00104' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify any of the following as sorting parameters for the generation of the report:

- The ID of the unit holder that has not fulfilled the LOI indemnification amount, in the Unit Holder field.
- The customer or CIF number under which the unit holder that has not fulfilled the LOI is placed, in the Customer field.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### Transaction Load Override Report

This report presents a list of all transactions that have overridden loads, and have been entered from the branch where it is being generated. The details of each override such as the original percentage/amount, override percentage/amount and the load calculation method are displayed.

The report may be generated based on the Transaction From Date and To Date.

### **3.20.1 Fields in Transaction Load Override Report screen**

*Transaction Number*

*Display Only*

In this field, the transaction numbers of the transactions for which the load is applicable are displayed.

*Transaction Date*

*Display Only*

The dates of the concerned transactions are displayed here.

*Unit Holder Number*

*Display Only*

The ID of the unit holder who has made the transaction is displayed here.

*Unit Holder Name*

*Display Only*

The name of the unit holder who has made the transaction is displayed here.

*Fund ID*

*Display Only*

The Fund ID of the transaction, if any, is displayed here.

*Broker Code*

*Display Only*

The Code of the Broker that is involved in the transaction, if any, is displayed here.

*Load ID*

*Display Only*

The IDs of the loads that are applicable to the given transaction is displayed here.

*Transaction Mode*

*Display Only*

This shows whether the transaction is based on Units or Transaction Amount

*Value Applied*

*Display Only*

The transaction amount, upon which the load has been computed, is displayed here.

*Original Load Percentage*

*Display Only*

If the load is computed as a percentage, the original percentage that had been applicable before the override is displayed here.

*Override Load Percentage*

*Display Only*

If the load is computed as a percentage, the percentage became applicable after the override is displayed here.

*Original Load Amount*

*Display Only*

If the load is computed as an amount, the new amount that had been applicable before the override is displayed here.

*Override Load Amount*

*Display Only*

If the load is computed as an amount, the new amount that became applicable after the override is displayed here.

*Date Allotted*

*Display Only*

If the transaction has been allotted, the date on which the allotment took place is displayed here.

*Units Allotted*

*Display Only*

If the transaction has been allotted, the number of units that were allotted at the time of allotment is displayed here.

*Maker ID*

*Display Only*

The ID of the user who actually entered the override is displayed here.

*Checker ID*

*Display Only*

The ID of the user who actually authorized the override is displayed here.

*Agent Code*

*Display Only*

The Agent Code of the Agency from where the override was performed and entered into the system is displayed here.

*Branch Code*

*Display Only*

The Branch Code of the Agency from where the override was performed and entered into the system is displayed here.

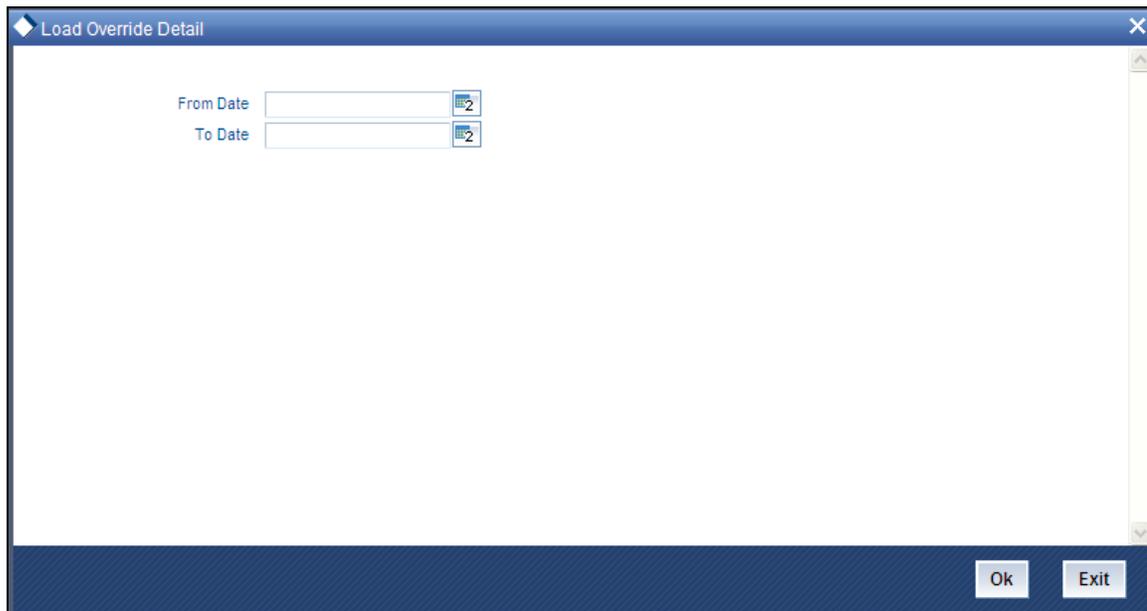
*Override Module*

*Display Only*

The Module (FUNDMANAGER/AGENCY BRANCH) where the override was actually done is displayed here.

### **3.20.2 Generating Load Override Report**

The Load Override Report generation screen is as shown below. You can invoke the 'Load Override Detail' screen by typing 'UTR00094' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the the dates that enclose the period during which you want to view the details of load overrides that have been performed, in the From Date and To Date fields as sorting parameter for the generation of the report.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.20.3 Trailing Commission Report**

This report displays details of the trailing commissions paid to brokers, across all funds, for a given period.

The following details are displayed:

- The Transaction Number
- Last Processed on Date
- The From and to Branches

- The Basis Amount
- The equivalent basis amount in Euro Currency
- The Load Amount
- The equivalent load amount in Euro Currency
- The Referral Entity
- The Load ID
- The To Entity Type and To Entity ID.
- The From Entity Type.

The Trailing Commission Details Report generation screen is as shown below. You can invoke the 'Trailing Commission' screen by typing 'UTR00152' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The dates that enclose the period during which you want to view the details of trailing commission accruals, in the From Date and To Date fields.
- The entity that is the recipient for the proceeds of the trailing commission, in the To Entity field
- The language in which the report must appear, in the Report Language field.

You can also choose the ID of the fund for which you want to view the details of trailing commission accruals, in the Fund ID field.

After making your specifications, click 'Ok' button. The report details are displayed.

## 3.21 Transaction Summary Report

This report displays all the transactions of any selected type received for a given date for which units have been allotted, between any two dates. It must typically be printed by the AMC at the end of the day after the unit price is allotted.

The details are ordered according to agent / branch / transaction numbers. The report is printed fund-wise.

Sub totals of total units subscribed, amount subscribed, total fee and consideration for each branch is also calculated and printed for the same.

Grand totals of total units subscribed, amount subscribed, total fee and consideration across all branches for the agent are also calculated and printed for the transactions.

### 3.21.1 Transaction Summary Report Information

For each transaction type, the following details are displayed:

#### *Unit Holder ID*

The IDs of the unit holders who have entered into transactions of the selected type for the day.

#### *Unit Holder Name*

The Full Name (Title, First Name, Last Name and Middle Name) of the unit holders who have entered into transactions of the selected type for the day.

#### *Agent Code*

The code of the Agent where transactions of the selected type were entered into the system.

#### *Branch Code*

The code of the Agency Branch where transactions of the selected type were entered into the system.

#### *Broker*

The code of the broker involved in the transaction.

#### *Sub Broker*

The code of the sub-broker involved in the transaction.

#### *Amount or Units*

Enter the mode of the transaction.

#### *Transaction Value*

Enter the value of the transaction, in amount, units or percentage of holdings, as applicable to the transaction mode and the transaction type.

#### *Net Units Allotted*

Enter the actual number of units that have been allotted for the transaction.

#### *Total VAT %*

The rate of VAT charged on the fee for the transaction.

#### *Total Fee*

Enter the sum of all the fees applicable for the transaction.

#### *Total Incentive*

Enter the sum of all the Incentives applicable for the transaction.

#### *Gross Fee*

Enter the total fee applicable for the transaction. It is the sum of the total fees and the total VAT % that is applicable for the transaction.

#### *Net Consideration*

Enter the net consideration for the transaction. It is the total amount applied (Transaction Amount) minus the gross fee.

#### *Total Amount*

Displays the total amount value of transactions for the transaction type made for the day.

#### *Remarks*

Enter the Remarks for the transaction.

### **3.21.2 Generating Summary Report**

The 'Transaction Summary Report generation' screen is as shown below. You can invoke the 'Transaction Summary' screen by typing 'UTR00001' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

This report displays all the transactions of any selected type received for a given date for which units have been allotted, between any two dates. It must typically be printed by the AMC at the end of the day after the unit price is allotted.

The details are ordered according to agent / branch / transaction numbers. The report is printed fund-wise.

Sub totals of total units subscribed, amount subscribed, total fee and consideration for each branch is also calculated and printed for the same.

Grand totals of total units subscribed, amount subscribed, total fee and consideration across all branches for the agent are also calculated and printed for the transactions.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The basis for the dates that will form the period for which you want details of all allotted transactions. Specify this in the Date Basis field.
- The dates that enclose the period during which you want to view the details of transactions that have been allotted, in the From Date and To Date fields.

You can also obtain the details specific to a particular transaction type, or a fund, or both, by selecting the transaction type in the Transaction Type field, and / or the ID of the fund in the Fund ID field.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

## 3.22 Queries

You can use this section of the Reports to query the database for any details regarding the following information:

- Unit holder accounts or CIF customer accounts
- Fund rules
- Fund prices
- Jobs that have been scheduled through the Scheduler Services

## 3.23 Consolidated Inquiry

You can view any details related to any unit holder account or CIF customer account at any point of time using the Consolidated Inquiry query. The number of unit holders that you are able to access depends upon the agency branches you are mapped to and the groups of unit holders that you are restricted to.

Each time you query a UH in this screen, the system displays all details pertaining to the UH only if you are mapped to the following:

- The agency branch of the UH
- The group to which the default intermediary agent of the UH belongs

If you are mapped to all the groups, then you can view the information of all the unit holders within the mapped agency branches.

The details regarding the account that you can view include the following:

- Unit holder / CIF information
- Investor fund balance
- Certificates
- Standing Instructions
- Income Distribution Setup
- Summaries of transactions entered into by the unit holder / CIF account customer

### 3.23.1 Retrieving Unitholder / CIF Basic Details in Client Enquiry Screen

- To retrieve a CIF customer account, check the CIF No radio button in the Find For section.
- To retrieve a non-CIF unit holder account, check the Unit Holder ID radio button in the Find For section.

- Specify the search parameters for the unit holder or CIF customer, in the Find On section. You can specify a Client ID, First, Middle or Last Name, Reference Number or Identification Number. Specify the value for this parameter in the Search Value field and click the View Information button. The Client Enquiry Find Results screen is opened, with the results of your search displayed as a list.
- Click the Unit Holder ID of the account for which you want to view the details. The details are displayed in the main Client Enquiry screen, in the Unit Holder Basic Details section.

### 3.23.2 Viewing Details of Investor Fund Balances

After you have retrieved the details of the account so that it is displayed in the main Client Enquiry screen, click the Investor Fund Balances button to view the holdings balance of the investor in each of the funds of the AMC.

You can also invoke 'Investor Fund Balance Summary' screen by typing 'UTDFNBAL' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

The screenshot shows a software window titled 'Unit Holder ID'. At the top, there is a search bar labeled 'Unit Holder ID'. Below it is a 'Financer Details' section with a table. The table has columns for 'Financer', 'Fund ID', 'Fund Name Short', and 'Units'. There is a checkmark in the first row of the 'Financer' column. Below the table is a section labeled 'Total Blocked Units' with a sub-label 'Total Units Blocked' and an empty input field. At the bottom right of the window is a 'Cancel' button.

Financer	Fund ID	Fund Name Short	Units
<input checked="" type="checkbox"/>			

Total Blocked Units  
Total Units Blocked

In addition to viewing the fund details of a unit holder, you can perform the following operations through the links in this screen:

- Purchase – On clicking this link, the 'Subscription' screen gets displayed for the selected unit holder and fund combination. You can then input the transaction amount, mode of payment and settlement date and then save the subscription transaction.
- Redeem – On clicking this link, the redemption screen gets displayed to capture a new redemption for the selected unit holder and fund combination. This process validates the zero balance in the fund. Here too you need to input minimal mandatory information to save the transaction.
- Switch – On clicking this link, the 'Switch' screen gets displayed to capture a switch transaction for that unit holder and fund combination. The selected fund is treated as a 'From Fund'. This also validates the zero balance in the 'From Fund'.

- New SI – Through this link you can invoke the 'SI' screen for the selected unit holder and fund combination. You can set up a new SI from here.
- Modify SI – This link opens the SI summary screen in 'Amend' mode and lets you amend an existing SI for the selected fund.

You can also view financier and fund-wise blocked units and total number of units blocked in the 'Total Block Units' screen. You can invoke this screen by clicking the 'Total Blocked Units' button in the 'Investor Fund Balance Summary' screen. The screen is displayed below:

During block transaction, if the financier name is not maintained, then all the records will be categorized and consolidated under financier as 'others'.



You will be able to open the subscription /redemption/switch/SI screens from the Client Enquiry Fund Balances screen provided you have the SMS rights to open and transact in those screens.

### 3.23.3 Viewing Other Details

After you have retrieved the details of the account so that it is displayed in the main Client Enquiry screen, fine tune your query as follows:

- To retrieve transaction information for the unit holder, check the Transactions radio button in the Information section.
- To retrieve information related to the account profile of the unit holder, check the Static radio button in the Information section
- To view a history of the data, which will show the details of changes made since the account was opened, check the History radio button in the Data section.
- To view data that is the latest for the account (the effective data present in the database as on the date of query) check the Live radio button in the Data section.

- To view data pertaining to the last month, check the Last Month radio button in the Time Basis section. For data in the last quarter, check the Last Month radio button.
- After you have made all these specifications, click the Show button.
- The following additional buttons appear at the bottom of the screen, in the Transaction Information - Live section:
  - Standing Instructions
  - Certificates
  - Help Desk
  - Income Distribution Setup
  - Transaction Summary
  - Entity Note Pad Capture
  - Entity Note Pad View
- To capture information about any entity involved in the transaction, click on the Entity Note Pad Capture button.
- Click on the appropriate button to view the required data.

### **3.24 Fund Price Inquiry**

You can view all the details regarding the fund prices for any fund on a given business date, using this query. The View Fund Price screen is as shown below. You can also invoke 'Investor Fund Balance Summary' screen by typing 'UTDFPRIC' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

**Fund Price Detail**

Fund ID \*   Effective Date \*  

Fund Base Currency  ISIN No

**NAV Computation**

Net Asset Value  
 Total Assets  
 Formula Builder

NAV Lot

Real NAV/Lot \*  Total Net Assets \*

Floor Price \*  No. of Unit Holders \*

FI Outstanding Units \*  Declared NAV/Lot \*

Outstanding Units \*  Ceiling Price \*

Reflect In Trading  Amend Transactions

High Water Mark (HWM)

Hurdle Rate

HWM + Hurdle

OK

**Fund Price Transaction Details** | Fund Price Components | Additional Information

Transaction Details

<input type="checkbox"/>	Effective Date *	Transaction Type	Base Price *	Base Price Constant	Allocation Vs. Register Capital

Input by: \_\_\_\_\_      DateTime: \_\_\_\_\_      Mod No: \_\_\_\_\_  
 Authorized by: \_\_\_\_\_      DateTime: \_\_\_\_\_      Open: \_\_\_\_\_  
 Authorized: \_\_\_\_\_

Ok      Cancel

Select the fund for which you want to view the fund prices, in the Select Fund From List field. Also specify the date for which you want to view details of the prevalent price as on that date, in the Effective Date field. Click the View button to trigger the query.

The details of the fund price prevalent for the selected fund on the specified date are displayed in the Fund Setup Details section and the Fund Price Transaction Details section.

In the Fund Setup Details section, the fund price record that would have been entered for the selected fund in the Fund Price screen in the Fund Manager component on the specified date is displayed. In the Fund Price Transaction Details section, the details for each transaction type are displayed.

### 3.25 Fund Rules Inquiry

You can view all the details regarding the authorized fund rules defined for any fund that are effective on the application date, using this query.

You can invoke 'Fund Rule' screen by typing 'UTDFNDRL' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

The View Fund Rule screen is opened.

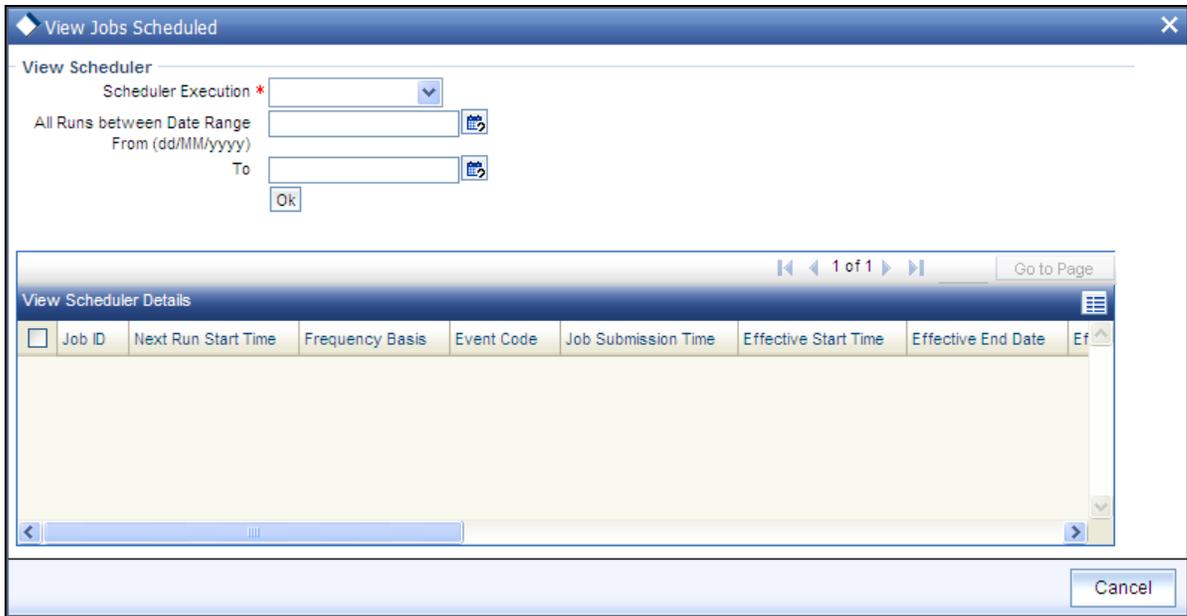
Select the fund for which you want to view the fund rules, in the Select Fund From List field. Click the View button to trigger the query.

The details of all the fund rules that are effective for the selected fund on the specified date are displayed in the screen.

Click on any of the links to see the details for any of the fund rules for the fund.

### 3.26 View Jobs Scheduled

You can view details regarding any scheduler activities, using this query. This includes details of jobs that are scheduled for execution as on the application date. You can invoke the 'View Jobs Scheduled' screen by typing 'UTDJBVIW' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Select the fund for which you want to view the fund rules, in the Select Fund From List field. Also specify the date range for which you want to view details of the scheduler activity, in the All Runs between Date Range Between fields. Click 'Ok' button to trigger the query.

The details of all the scheduled jobs as on the application date are displayed in the screen.

Click the Show Future Runs button to see the details for any future scheduled executions of the jobs.

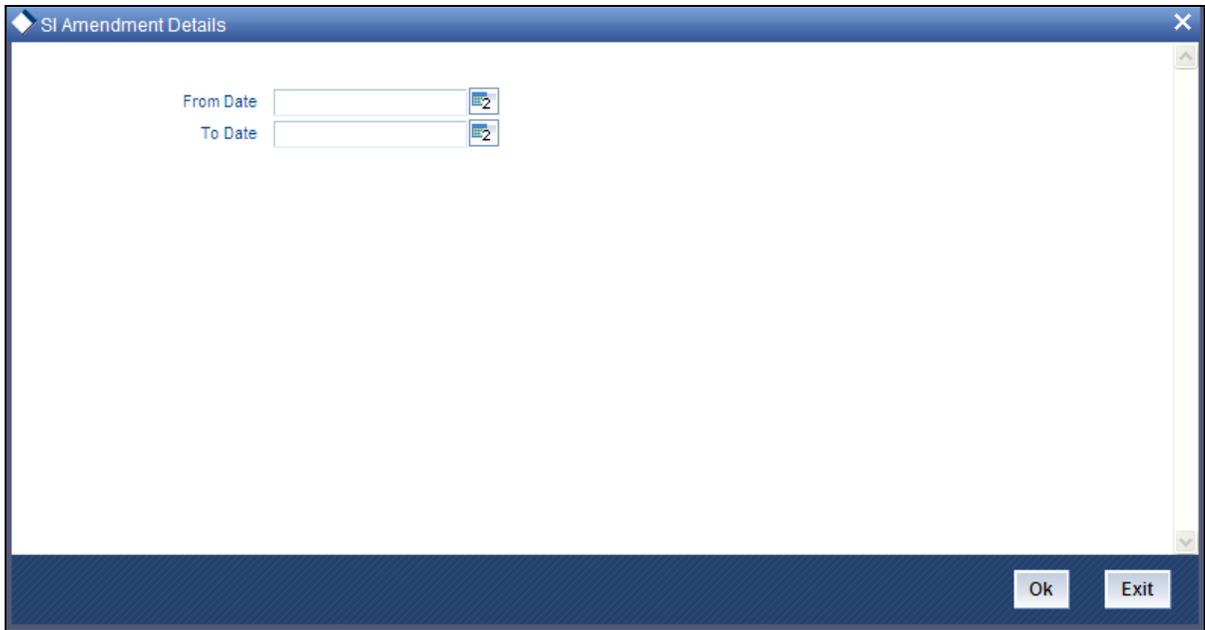
### 3.27 **SI Reports**

These reports display details of standing instructions maintained for investors.

### 3.28 **Standing Instructions Amendments**

You can use this report to view details about amendments to standing instructions maintained for investors that were affected between any two dates.

The SI Amendment Report generation screen is as shown below. You can invoke the 'SI Amendment Details' screen by typing 'UTR00078' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



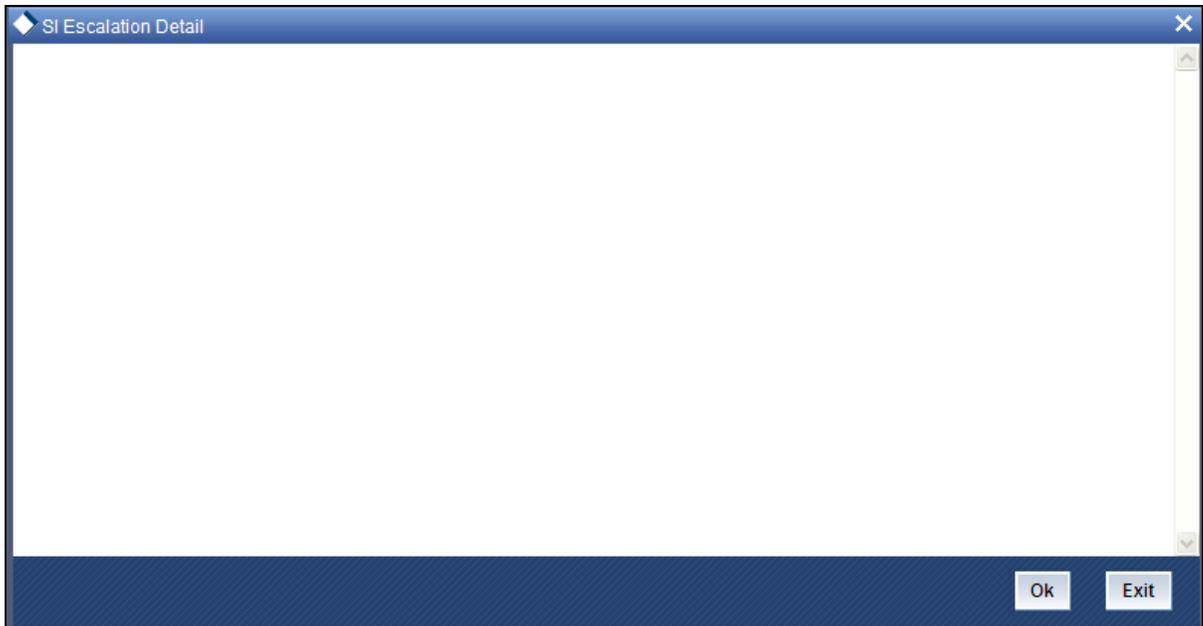
In this screen, you must specify the dates that enclose the period during which the amendments were made any standing instructions maintained for any investor, in the From Date and To Date fields as the sorting parameter for the generation of the report.

Click 'Ok' button .after making your specifications. A screen with print options is displayed. Enter the printing options and click 'Ok' button to print.

### **3.29 Standing Instructions Escalations**

You can use this report to view details about escalations to standing instruction amounts for investors.

The SI Escalation Report generation screen is as shown below. You can invoke the 'SI Escalation Detail' screen by typing 'UTR00073' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

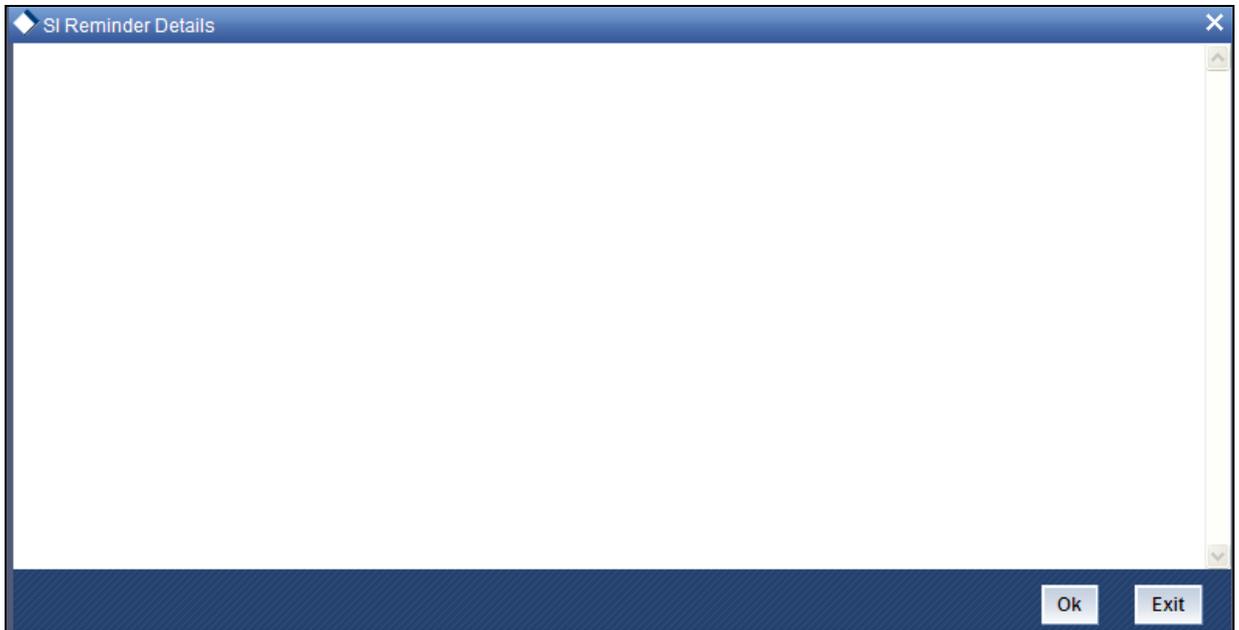


Click 'Ok' button to generate the report. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### 3.30 **Standing Instructions Reminders**

This report will print the reminders for any standing instructions for the given fund. It is generated based on the reminder action period. This is a word interface document with standard template. It will contain information telling that SI has been generated and needs to be processed.

The SI Reminder Report generation screen is as shown below. You can invoke the 'SI Reminder Details' screen by typing 'UTR00079' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the language in which the report must appear, in the Report Language field for the generation of the report:

After making your specifications, click 'Ok' button . A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.30.1 Standing Instructions Transaction Details Report**

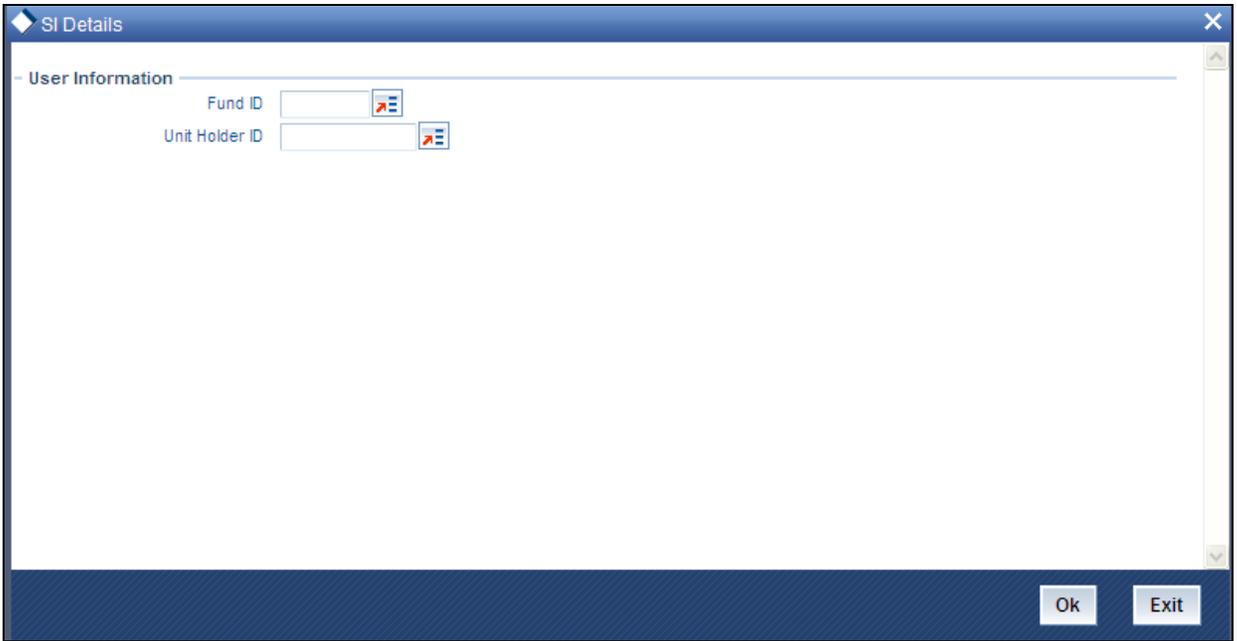
This report will print all the standing instructions for the given fund as of that date. It will only print the details of those standing instructions that are effective as of that date. Details of elapsed standing instructions will not be printed.

This report is typically printed as a monthly or quarterly report.

Details of the transactions that have been generated for the standing instructions are also printed. The data is ordered according to the standing instructions ID.

Along with the transaction details, any applicable fees, details of check numbers and dates for post dated checks, provided this option is available. Escalation details and the unit holder contact address details are also displayed.

The SI Report generation screen is as shown below. You can invoke the 'SI Details' screen by typing 'UTR00067' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can view any standing instructions maintained in any fund for any unit holder, by specifying the required fund in the Fund ID field and the ID of the unit holder in the Unit Holder ID field.

After making your specifications, click 'Ok' button . The report details are displayed.

### 3.31 **Transaction Reports**

The Transaction reports displays information about transactions of any type received from investors on any given business day.

You can invoke 'IPO Confirmation' screen by typing 'UTR00103' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

The 'transaction type confirmation report generation' screen is as shown below.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The status of the transaction, whether authorized or unauthorized, in the Unauthorized / Authorized field.
- The dates that enclose the period during which the transactions were received, in the From Date and To Date fields. To indicate a business day, specify the same date in both fields.

You can also specify a unit holder to retrieve transactions received only for the unit holder on the business day.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### 3.32 Transaction Enquiry Report

The Transaction Enquiry report displays all the transactions details made by all the unit holders maintained in the system on a desired search criteria.

You can invoke the 'Transaction Enquiry Report' screen by typing 'UTR00228' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

Enter the search criteria and click 'Ok' button to generate the report.

Based on the selected criteria, the following details are displayed in the report:

- Transaction Number
- Old Transaction Number
- Reference Number
- Unit Holder
- Fund Name
- Transaction Type
- Transaction Date
- Transaction Currency
- Transaction Mode
- Transaction Value
- Current Transaction Status
- AMC ID
- Dealing Date

### **3.32.1 Fields in Transaction Enquiry Report Screen**

#### *Unit Holder ID*

Enter the ID of the unit holder for whom the transaction report is being generated.

*From Maker Date, To Maker Date*

Enter the date range to generate a report displaying all the transactions created by all the unit holders maintained in the system.

*From Transaction Date, To Transaction Date*

Enter the date range to generate a report displaying all the transaction details made by all the unit holders maintained in the system.

*From Allocation Date, To Allocation Date*

Enter the date range to generate a report displaying all the allotted transactions made by all the unit holders in the system.

*AMC*

Select the AMC to generate a report displaying all the transactions made by all the unit holders in the selected AMC.

*Distributor*

Select the distributor to generate a report displaying all the transactions made by all the unit holders for a selected distributor.

*Fund ID*

Select the fund ID to generate a report displaying all the transactions made by all the unit holders for a selected fund ID.

*Transaction Type*

Select the type of transaction for which the transaction enquiry report is being generated.

*Currency*

Select the currency for which the transaction enquiry report is being generated.

### **3.33 Daily IPO transactions**

This report will print all the IPO transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

#### **3.33.1 By Fund**

Click the IPO – By Fund option to group the transactions fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each type of payment for every fund.
- Total amount received for every fund.
- Total amount received for the day.

### **3.33.2 By Payment Mode**

Click the IPO – By Payment option to group the transactions according to the mode of payment as well as fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each fund for that payment type.
- Total amount received for each payment type.
- Total amount received for the day.

## **3.34 Daily Subscription Transactions**

This report will print all the subscription transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

### **3.34.1 By Fund**

Click the Purchases – By Fund option to group the transactions fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each type of payment for every fund.
- Total amount received for every fund.
- Total amount received for the day.

### **3.34.2 By Payment Type**

Click the Purchases – By Payment option to group the transactions according to the mode of payment as well as fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each fund for that payment type.
- Total amount received for each payment type.
- Total amount received for the day.

### **3.35 Daily Redemption Transactions**

This report will print all the redemption transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

#### **3.35.1 By Fund**

Click the Sales – By Fund option to group the transactions fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each type of payment for every fund.
- Total amount received for every fund.
- Total amount received for the day.

#### **3.35.2 By Payment Type**

Click the Sales – By Payment option to group the transactions according to the mode of payment as well as fund-wise.

Totals and sub totals will be shown at the following levels:

- Amount received for each fund for that payment type.
- Total amount received for each payment type.
- Total amount received for the day.

### **3.36 Daily Switch Transactions**

This report will print all the switch transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units switched for every fund.
- Total units switched across all the funds.

### **3.37 Daily Transfer Transactions**

This report will print all the transfer transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units transferred for every fund.
- Total units transferred across all the funds.

### **3.38 Daily Block Transactions**

This report will print all the block transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units blocked for every fund.
- Total units blocked across all the funds.

### **3.39 Daily Unblock Transactions**

This report will print all the unblock transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units unblocked for every fund.
- Total units unblocked across all the funds.

### **3.40 Daily Split Transactions**

This report will print all the split transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch. Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units split for every fund.

- Total units split across all the funds.

### **3.41 Daily Consolidation Transactions**

This report will print all the consolidation transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units consolidated for every fund.
- Total units consolidated across all the funds.

### **3.42 Daily Reissue Transactions**

This report will print all the transfer transactions (both authorized and unauthorized transactions) received on the current business day at the Agency Branch.

Typically, the Agency Branch prints this report at the end of the day.

Totals and sub totals will be shown at the following levels:

- Units reissued for every fund.
- Total units reissued across all the funds.

### **3.43 UH Info Reports**

These reports display information regarding unit holder / CIF accounts.

### **3.44 Acknowledgment**

Use this report to list the acknowledgement reports generated for new unit holder accounts.

The Unit Holder Acknowledgement Report generation screen is as shown below. You can invoke the 'Acknowledgement' screen by typing 'UTR00095' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can generate a report specific to a unit holder account, or the authorization status of the accounts, or to any unit holder account opened on a certain date, by specifying:

- The date on which you want to view all the unit holder accounts opened, in the Account Opening Date field.
- The ID of the unit holder whose specific account you want to generate an acknowledgement for.
- The authorization status, in the Unauthorized / Authorized field.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### 3.44.1 Unit Holder Dividend Details Report

This report may be generated to view previous dividend payments for a unit holder in a fund. The payment details are presented, along with the reinvestment details and EPU component breakups. The following information is presented:

- The name, address and ID of the unit holder whose dividend payment details are being displayed in this report.
- The name of the fund for which the dividend declaration and payment was made.
- The payment date for the payment cycle that is being viewed.
- The total dividend paid to the unit holder, the tax deducted and the net dividend paid out for the particular payment cycle. (This represents the dividend distributed for the payment cycle under view)
- The payment details as under the following:

- Total payment amount (i.e., the pay out component of the dividend)
- Amounts paid out by check and amounts paid out by transfer.
- The check details (Bank and branch of issue, date of issue and check number)
- The transfer details (Bank and branch name, account type and account number)
- The reinvestment details as under the following:
  - The Reinvestment Unit Holder ID and Name
  - The Reinvestment Fund ID and Name
  - The amount reinvested in each Unit Holder ID/Fund combination
  - The reinvestment transaction numbers
- The earnings by components as under:
  - The ID and description of the component which the unit holder has derived a portion of his income from.
  - The breakup of the earnings of the unit holder by component. Each figure in the breakup represents the summation of the product of the component value and the Freeze Holding Units for each declaration in the Payment Cycle.

The Unit Holder Dividend Details Report generation screen is as shown below. You can invoke the 'Dividend Details' screen by typing 'UTR00070' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Dividend Details". Inside the window, there are five input fields arranged vertically on the left side, each with a small icon to its right:

- Fund Id
- Fund Identification Number
- Payment Number
- Corporate Action
- UnitHolder ID

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The number of the dividend payment, in the Payment Number field.
- The fund for which the dividend was declared, that resulted in dividend payment to unit holders, in the Fund ID field.

You can also obtain this report specific to a unit holder by specifying the ID of the unit holder account in the Unit Holder ID field.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.45 Unit Holder Zero Balance Report**

This report will print the summary of the list of unit holders whose balances have become zero for the given fund along with the date on which the balances touched zero.

#### **3.45.1 Unit Holder Zero Balance Report Information**

*Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

This is the ID of the unit holder whose balance has become zero.

*Unit Holder Name*

*12 Character Maximum, Alphanumeric, Display*

This field displays the Name of the unit holder whose balance has become zero.

*Date*

*Date, Display*

This is the Date as of which the unit holder balance became zero.

#### **3.45.2 Generating Zero Balance Report**

The Unit Holder Zero Balance Report generation screen is as shown below. You can invoke the 'Zero Balance Details' screen by typing 'UTR00044' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The date on which the last transaction for the unit holder was accepted, in the Last Transaction field.
- The fund, in the Fund ID field.

After making your specifications, click 'Ok' button. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### 3.46 Unit Holder Reports

### 3.47 Printing Account Statements

For the given fund, the Account Statement of all the Unit Holders is printed. By availing of the Holdings Statement option, the Holdings Statement can be printed along with the Account Statement. It is printed as per the Account Statement Period. Account statements can either be printed as of the latest market value or as of the market value on the end date of the account statement period.

You must specify the Fund ID, unit holder ID range, date range and report language as mandatory information to generate the report. Also, indicate whether the market value of the investor's holdings is 'Latest' or as of the report's 'To date'. You can invoke the 'Acc. Statement' screen by typing 'UTR00137' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Acc. Statement" with the following fields and controls:

- Fund ID: Text input field with a search icon.
- Fund Identification Number: Text input field.
- From Unit Holder Id: Text input field.
- To Unit Holder Id: Text input field.
- From Date: Date input field with a calendar icon.
- To Date: Date input field with a calendar icon.
- Market Value: Dropdown menu set to "Latest".
- Include Related Parties: Unchecked checkbox.
- Buttons: "Ok" and "Exit" at the bottom right.

### 3.47.1 Fields in Account Statement screens

*AMC Name*

*40 Character Maximum, Alphanumeric, Display*

The Name of the Asset Management Company to which the Fund belongs is displayed.

*AMC Address*

*255 Character Maximum, Alphanumeric, Display*

The Address of the Asset Management Company, to which the Fund belongs, is displayed.

*Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

The ID of the Unit Holder, for whom the Account Statement is to be printed, is displayed.

*Unit Holder Name*

*100 Character Maximum, Alphanumeric, Display*

The Name of the Unit Holder, for whom the Account Statement is to be printed, is displayed.

*Unit Holder Address*

*255 Character Maximum, Alphanumeric, Display*

The Address of the Unit Holder, for whom the Account Statement is to be printed, is displayed.

*Fund ID*

*Alphanumeric, Display*

The ID of the Fund, for which the Account Statement is to be printed, is displayed.

*Fund Name*

*Alphanumeric, Display*

The Full Name of the Fund, for which the Account Statement is to be printed, is displayed.

*Transaction Date*

*Display*

Displays the date on which the transaction took place.

*Transaction Type*

*25 Character Maximum, Alphanumeric, Display*

The type of transaction that has affected the Unit Holder balance is displayed.

*Units Transacted*

*Numeric, Display*

The Number of Units transacted for the given transaction is displayed.

*Transaction Number*

*Display*

This displays the transaction number.

*Price*

*Alphanumeric, Display*

Displays the price at which the transaction was affected.

*Unit Balance*

*Numeric, Display*

The balance Number of Units at the end of the given transaction is displayed.

U:\AccStmReport.pdf - Adobe Reader

Page 1 of 2

Unit Holder Name: Mr. Steve7 Jonson  
 Contact Address: NA  
 City:  
 State:  
 Zip Code:

CIF Number: 990000242  
 Unit Holder No: AGTR132  
 Date: 11/01/2008

**UNIT HOLDER ACCOUNT STATEMENT**

FOR THE PERIOD 01/01/2007 To 31/03/2008

Market Value of total investments held at	OMSTA	as on 11/01/2008	ZAR	0.00
---	-------	------------------	-----	------

Date	Transaction Type	Book Value	Unit Price	Units Transacted	Unit Balance	Market Value	Gross amount	Net amount(In Fundbase) currency)	Load amount
* All Book Values are in ZAR									
	Opening Balance	0.00			0.00				
1/10/2007	Normal Purchase	10000.000.00		1000.00	1000.00		10000.00	10000.00	
1/10/2007	UT Interest Transaction - Original	1000.000.00		100.00	100.00		1000.00	1000.00	
1/10/2007	UT Interest Transaction - Reversal	1000.000.00		(100.00)	1000.00		1000.00	1000.00	
1/10/2007	UT Interest Transaction - Amended	0.000.00		0.00	1000.00		0.00	0.00	

### 3.48 Auto Investment Reminder Report

This report will print the details of redemption transaction for which payment is held back due to the unit holder being FICA non-compliant. The report also displays the Auto Investment date i.e. the date on which the redemption will be automatically invested back in the fund. You can invoke the 'Auto Invest Reminder' screen by typing 'UTR00212' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Auto Invest Reminder

Fund Id

UnitHolder ID

Ok Exit

You must specify the Fund ID, the unit holder, report language as mandatory information, and click 'Ok' button to generate the report. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.48.1 Fields in Auto Investment Reminder Report Screen**

#### *Fund ID*

*6 Character Maximum, Alphanumeric, Display*

This field displays the Fund ID and the Name of the fund for which the report is to be printed.

#### *Unit Holder*

*12 Character Maximum, Alphanumeric, Display*

*Display Only*

The ID of the unit holder who has made the transaction is displayed here.

#### *Transaction Number*

*Display Only*

In this field, the transaction numbers of the transactions for which the unit holder is FICA non-compliant are displayed.

#### *Transaction Date*

*Display Only*

The dates of the concerned transactions are displayed here.

#### *Allocation Date*

*Display Only*

If the transaction has been allotted, the date on which the allotment took place is displayed here.

#### *Investment Date*

*Display Only*

This field displays the date on which the amount must be reinvested into the fund if the investor continues to be FICA non-compliant.

#### *Reminder Date*

*Display Only*

This field displays the date on which the reminder must be sent out to the FICA non-compliant investor.

### 3.49 Unit Holder Register Report

This report will print the details of Fund Holdings of the Unit holder. The mailing label of the selected Unit holders can also be printed. You can invoke the 'Unitholder Register' screen by typing 'UTR00127' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Unitholder Register". The window contains a form with the following fields and controls:

- Fund ID: Text input field with a search icon.
- Domicile: Dropdown menu with "Local" selected.
- Top: Text input field.
- Sort On: Dropdown menu with "Zip Code" selected.
- Unit Holder ID: Text input field.
- Date Basis: Dropdown menu with "Allocation Date" selected.
- Date: Text input field with a calendar icon.

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can use this screen to:

- Generate Unit Holder Register Report.
- Print Unit Holder Register Report.
- Preview Unit Holder Register Report.

You can specify the Fund ID, Domicile of the unit holder and report language as mandatory information and the top number of records with sort parameters, to generate the report.

You can specify the date, as on which the details must be displayed in the report. You can opt for details as of:

- the Allocation Date, Transaction Date or Price Date (select the required option in the Date Basis field)
- a required date of your choosing (select the required date in the Date field)

The Report has Totals / subtotals for Number of Unit holders, Total of Holdings, Percentage of Holdings.

### **3.49.1 Fields in Unit Holder Register Report screen**

#### *Fund ID*

*6 Character Maximum, Alphanumeric, Display*

This field displays the Fund ID and the Name of the fund for which the Unit holder holding details are to be printed.

#### *Fund Name*

*20 Character Maximum, Alphanumeric, Display*

Enter the Fund ID and the Name of the fund for which the Unit holder holding details are to be printed.

#### *Date*

*Date, Display*

This displays the Date on which the Report is printed.

#### *Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

This displays the ID of the Unit holder for whom the Fund Holdings are being printed.

#### *Unit Holder Name*

*85 Character Maximum, Alphanumeric, Display*

This displays the Full Name (Title + First Name + Last Name) of the Unit holder for whom the Fund Holding details are being printed.

#### *Type of Investor*

*1 Character Maximum, Alphanumeric, Display*

This displays the type of the Unit holder, whether Individual or Corporate, for whom the Fund Holding details are being printed.

#### *Corresponding Address*

*1 Character Maximum, Alphanumeric, Display*

This displays the Address of the Unit holder for whom the Fund Holding details are is being printed. This could be the permanent or the secondary address of the Unit holder as per the Unit holder's instructions as to where his correspondence is to be made.

#### *Telephone Number*

*1 Character Maximum, Alphanumeric, Display*

This displays the Telephone Number of the Unit holder for whom the Fund Holding details are being printed.

*Country of Residence*

*3 Character Maximum, Alphanumeric, Display*

This displays the Country of residence of the Unit holder for whom the Fund Holdings are being printed.

*Agent Code*

*3 Character Maximum, Alphanumeric, Display*

This displays the Agent Code, where the corresponding Unit Holder account was opened.

*Total Holdings*

*Numeric, Display*

This shows the Unit Balance of the unit holder on the date when the report was printed.

*Percentage of Holdings*

*Numeric, Display*

This shows the percentage of holdings of the unit holder. This is a derived field based on the Total Holdings of the unit holder.

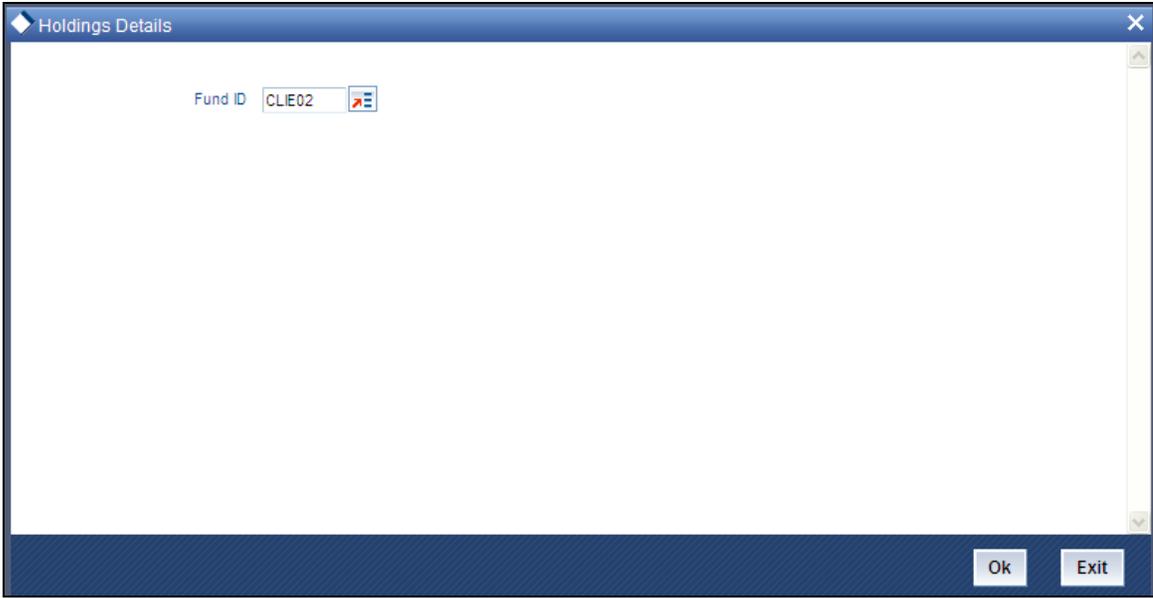
### **3.50 Unit Holder Holdings Summary Report**

This report will print details of the Unit Holder Holdings in terms of distribution by Nationality or distribution by holdings.

This report will have two parts:

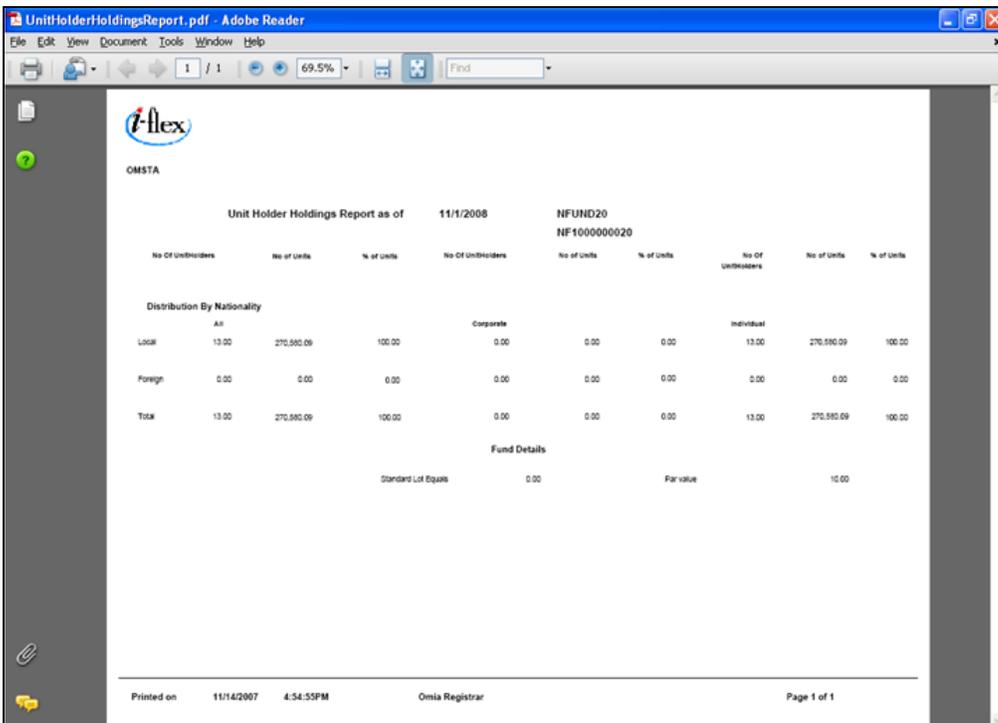
- Distribution By Nationality
- Distribution By Holdings

You can invoke the 'Holdings Details' screen by typing 'UTR00124' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The Report takes the Fund ID as the input. It has Totals / Sub-totals for the Number of Unit Holders, Number of Units and Percentage of Units.

### 3.50.1 Fields in Unit Holder Holdings Summary Report Screen



*Fund ID*

*6 Character Maximum, Alphanumeric, Display*

This is the Fund ID of the fund for which the unit holder holdings summary report is to be printed.'

*Fund Name*

*20 Character Maximum, Alphanumeric, Display*

This displays the Name of the fund for which the Unit Holder holdings Summary Report is to be printed.

*Part A (Main)*

*Distribution by Nationality*

*Type*

*1 Character Maximum, Alphanumeric, Display*

This indicates the category of the unit holder (Local or Foreigner).

*Number*

*Numeric, Display*

This shows the number of the unit holder that falls in this category.

*Units*

*Numeric, Display*

This displays Number of Units that fall under this category type.

*Percentage of Units*

*Numeric, Display*

This shows the percentage based on Units.

*Part A (Sub)*

*Distribution by Investor type*

*Type*

*1 Character Maximum, Alphanumeric, Display*

This indicates the category of the unit holder (Corporate or Individual)

*Number*

*Numeric, Display*

This is the number of the unit holders who fall into this category type.

*Units*

*Numeric, Display*

This is the Number of Units that fall under this category type.

*Percentage of Units*

*Numeric, Display*

This displays the percentage based on Units.

*Part B (Main)*

*Distribution by Holdings*

*Type*

*1 Character Maximum, Alphanumeric, Display*

This indicates the category of the unit holder. Type is based on the unit holder's holdings based on units.

- Holdings over 0.5 Percentage
- Holdings not over 0.5 Percentage but more than one board lot
- Holdings not over one board lot

*Number*

*Numeric, Display*

This is the number of the unit holders who fall into this category type.

*Units*

*Numeric, Display*

This is the Number of Units that fall under this category type.

*Percentage of Units*

*Numeric, Display*

This is the percentage based on Units.

*Part B (Sub)*

*Distribution by Investor type*

*Type*

*1 Character Maximum, Alphanumeric, Display*

This indicates the category of the unit holder (Corporate or Individual).

*Number*

*Numeric, Display*

This is the number of unit holders who fall into this category type.

*Units*

*Numeric, Display*

This is the Number of Units that fall under this category type.

*Percentage of Units*

*Numeric, Display*

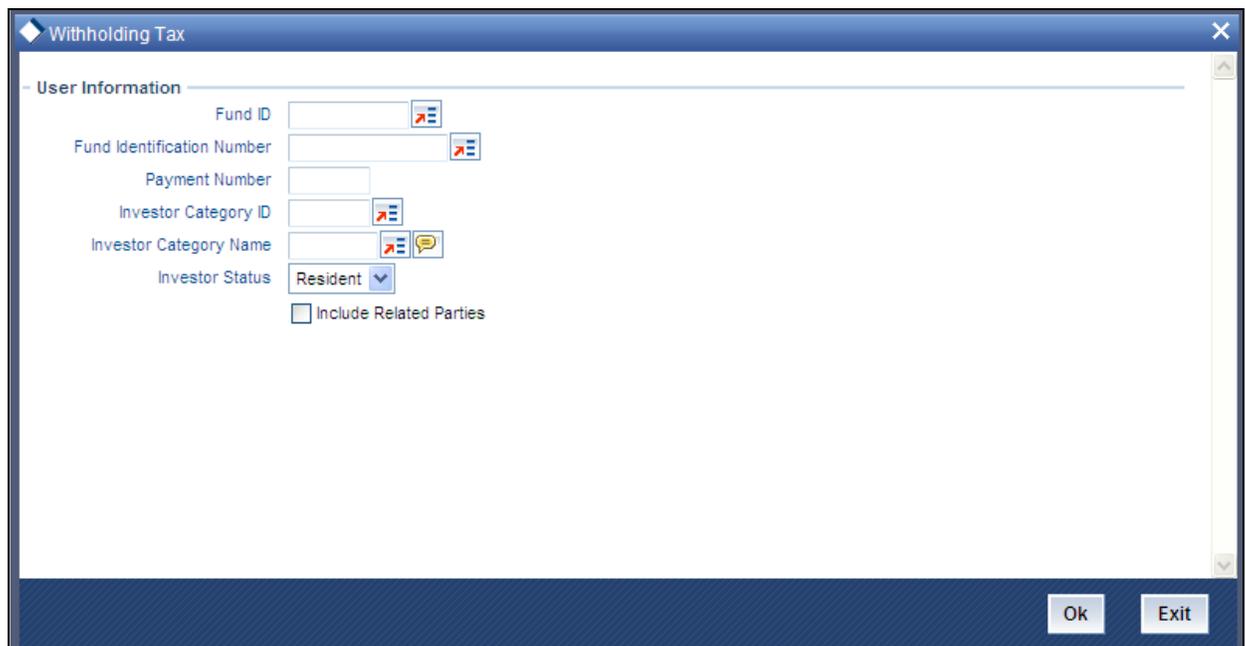
This is the percentage based on Units.

### 3.51 Unit Holder Withholding Tax Report

Based on the Unit Holder Dividend Payment information, the withholdings tax certificate / form can be printed for those unit holders who have requested for tax to be deducted at source.

This report will print the number of units, the dividend rate per unit, the total dividend, minus the income tax net payable and dividend reference number for every unit holder. This is printed for each Dividend Payment Period and is ordered by the unit holder.

You can invoke the 'Withholding Tax' screen by typing 'UTR00134' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You must specify the ID of the fund, dividend payment number and report language as mandatory information to generate the report. You can also specify the Investor Category and the Investor Status.

## **3.51.1 Fields in Withholdings Tax Report screen**

### **3.51.1.1 User Information**

#### *Fund ID*

*6 Character Maximum, Alphanumeric, Display*

This is the ID of the fund for which the Unit Holder Withholdings tax screen is printed.

#### *Fund Name*

*20 Character Maximum, Alphanumeric, Display*

This is the Name of the fund for which the Unit Holder Withholdings tax form is printed.

#### *Date*

*Date, Display*

This is the date of issuance of the Withholdings Tax form.

#### *Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

This is the ID of the unit holder for whom the Tax form is being printed.

#### *Unit Holder Name*

*12 Character Maximum, Alphanumeric, Display*

This is the Name of the unit holder for whom the Tax form is being printed.

#### *Address*

*255 Character Maximum, Alphanumeric, Display*

This is the Address for correspondence with the unit holder, for whom the Fund Holdings details are being printed. This could be the Permanent address or the secondary address of the unit holder depending upon the unit holder's instructions.

#### *Zip Code*

*6 Character Maximum, Alphanumeric, Display*

This is the Zip Code of the unit holder's address.

#### *Unit Holder Tax ID*

*12 Character Maximum, Alphanumeric, Display*

This is the Tax ID of the unit holder for whom the Tax form is being printed.

*Body of the Letter*

*Units*

*Numeric, Display*

This is the Unit Balance for the fund on the Book Closing Date

*Pay per Unit*

*Numeric, Display*

This is the Rate of Dividend per Unit

*Total*

*Numeric, Display*

This is the Unit Balance multiplied by the Rate of Dividend per Unit

*Tax*

*20 Character Maximum, Alphanumeric, Display*

This is the Withholdings Tax percentage multiplied by Total.

*Net*

*20 Character Maximum, Alphanumeric, Display*

This is the Total minus the Withholdings Tax

*Reference Number*

*20 Character Maximum, Alphanumeric, Display*

This is the Dividend reference Number

Other information like the name of the issue, the designation, the division and the contact number are printed at the end of the report.

### **3.52 Reinvestment Report**

This report will print the list of unit holders who have requested for reinvestment of their dividend earnings.

This report will print the list of all the unit holders who have requested for reinvestment for a given fund. This Report is printed ad-hoc or before dividend payment and is ordered by unit holder ID.

You can invoke the 'ReInvestment Details' screen by typing 'UTR00128' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You must specify the date on which the reinvestment transaction was authorized. Click 'Ok' button to generate the report. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.52.1 Fields in Reinvestment Report screen**

#### **3.52.1.1 Reinvestment**

*Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

This is the ID of the unit holder who has requested for reinvestment.

*Unit Holder Name*

*85 Character Maximum, Alphanumeric, Display*

This is the Name of the unit holder who has requested for reinvestment.

*Fund ID*

*12 Character Maximum, Alphanumeric, Display*

The Fund ID in which the unit holder wants to reinvest.

### **3.53 Certificate Inquiry**

You can use this screen to query about certificates issued in respect of allocated transactions.

Select the fund, Certificate Status and Allocation Date for whom the Certificate details are to be viewed or printed using the Find option. This screen shows the Certificate details for the specified criteria.

### **3.53.1 Fields in Certificate Inquiry Screen**

#### *Fund ID*

*6 Character Maximum, Alphanumeric, Display*

The ID of the fund whose Certificate Details are to be viewed or printed, is displayed.

#### *Certificate Status*

*1 Character Maximum, Alphanumeric, Display*

The Status of the Certificate is displayed.

#### *Transaction Number*

*12 Character Maximum, Alphanumeric, Display*

The Transaction Number of the Certificate, whose details are to be viewed or printed, is displayed.

#### *Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

The ID of the unit holder, whose Certificate details are to be viewed or printed, is displayed.

#### *Certificate Number*

*Numeric, Display*

The Number of the Certificate, whose details are to be viewed or printed, is displayed.

#### *Units*

*Numeric, Display*

The Number of certified units of the Certificate, whose details are to be viewed or printed, is displayed.

#### *Envelope Number*

*15 Character Maximum, Alphanumeric, Display*

The Number of Envelope generated by the Franking Machine for the Certificate, whose details are to be viewed or printed, is displayed.

*New Envelope Number*

*15 Character Maximum, Alphanumeric, Display*

The New Number of Envelope generated by the Franking Machine for the Certificate, whose details are to be viewed or printed, is displayed.

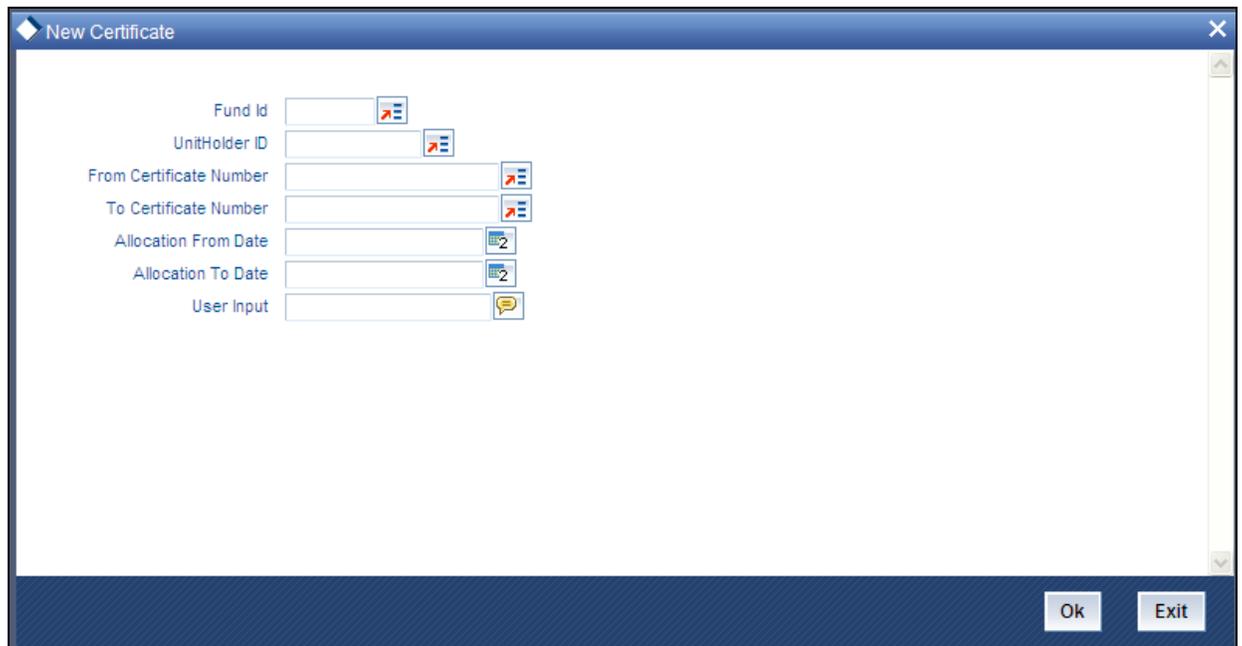
### 3.54 **Certificate Printing**

Here we discuss how you can print certificates.

### 3.55 **Print New Certificates**

The certificates are printed once the allocation of units is made for the unit holder. These are certificates that are being printed for the first time. This report will print certificates for the given range and fund.

You can invoke the 'New Certificate' screen by typing 'UTR00129' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The image shows a screenshot of a software application window titled "New Certificate". The window has a blue header bar with a diamond icon on the left and a close button (X) on the right. Below the header, there are seven input fields arranged vertically. Each field has a label to its left and a small icon to its right. The labels are: "Fund Id", "UnitHolder ID", "From Certificate Number", "To Certificate Number", "Allocation From Date", "Allocation To Date", and "User Input". The icons are: a red arrow pointing right, a blue arrow pointing right, a red arrow pointing right, a red arrow pointing right, a calendar icon, a calendar icon, and a speech bubble icon. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You must specify the Fund ID, the certificate number range, and the date range within which the transaction was authorized, to generate the report. You can also specify the unit holder ID as a parameter for the generation of the certificates.

Click 'Ok' button to generate the report. A screen with print options is displayed. Enter the printing options and Click 'Ok' button to print.

### **3.55.1 Fields in Printing New Certificates screen**

*Fund*

*12 Character Maximum, Alphanumeric, Optional*

Select the Fund Name for which the new certificates are to be printed, from the list provided.

*Unit Holder ID*

*12 Character Maximum, Alphanumeric, Optional*

Enter the ID of the unit holder for whom the Certificate is being printed.

*From Certificate Number*

*Numeric, Optional*

Enter the beginning of the range of new certificates to be printed.

*To Certificate Number*

*Numeric, Optional*

Enter the end of the range of new certificates to be printed.

*From Allocation Date*

*Date, Optional*

Enter the start date for the Allocation.

*To Allocation Date*

*Date, Optional*

Enter the end date for the Allocation.

*User Input*

*Alphanumeric, Mandatory*

Enter any characteristic or remark relating to the certificate.

If no options are chosen for either of the above, then, on clicking 'Ok' button the system automatically prints all the certificates.

### **3.56 Printing Duplicate Certificates**

The certificates are printed once the allocation of units is made for the unit holder. These are certificates are printed after the first print. This report will print certificates for the given range and fund.

You can invoke the 'Dup. Certificate' screen by typing 'UTR00130' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Dup. Certificate" with a blue header bar. Inside the window, there are several input fields arranged vertically on the left side. From top to bottom, they are: "Fund ID" (with a dropdown arrow icon), "From Certificate Number", "To Certificate Number", "Allocation From Date" (with a calendar icon), "Allocation date" (with a calendar icon), "Unit Holder ID" (with a dropdown arrow icon), and "User Input" (with a speech bubble icon). At the bottom right of the window, there are two buttons: "Ok" and "Exit".

### **3.56.1 Fields in Dup. Certificate Screen**

#### *Fund*

*12 Character Maximum, Alphanumeric, Mandatory*

Select the Fund Name for which the duplicate certificates are to be printed, from the list provided.

#### *Unit Holder ID*

*12 Character Maximum, Alphanumeric, Optional*

Enter the ID of the unit holder for whom the duplicate certificate is being printed.

#### *From Certificate Number*

*Numeric, Mandatory*

Enter the beginning of the range of duplicate certificates to be printed.

#### *To Certificate Number*

*Numeric, Mandatory*

Enter the end of the range of duplicate certificates to be printed.

*From Allocation Date*

*Date, Mandatory*

Enter the start date for the Allocation.

*To Allocation Date*

*Date, Mandatory*

Enter the end date for the Allocation.

*User Input*

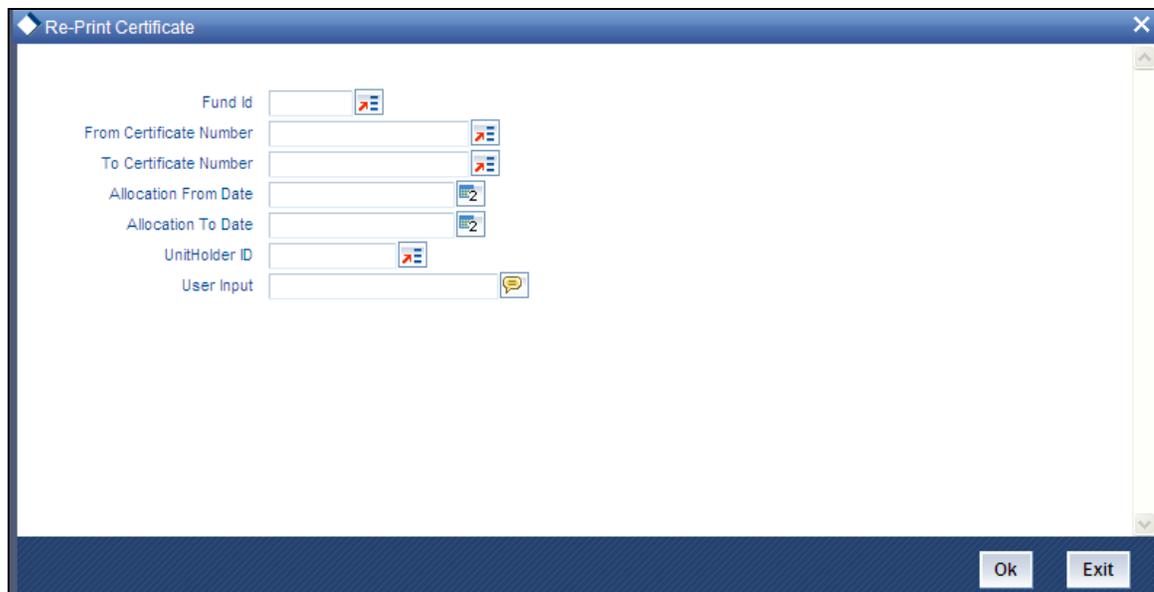
*Alphanumeric, Optional*

Enter any characteristic or remark relating to the duplicate certificate.

### 3.57 Reprinting Certificates

The certificates are printed once the allocation of units is made for the unit holder. These are certificates that are reprinted. This report will print certificates for the given range and fund.

You can invoke the 'Re-Print Certificate' screen by typing 'UTR00131' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a software window titled "Re-Print Certificate". The window contains the following fields and controls:

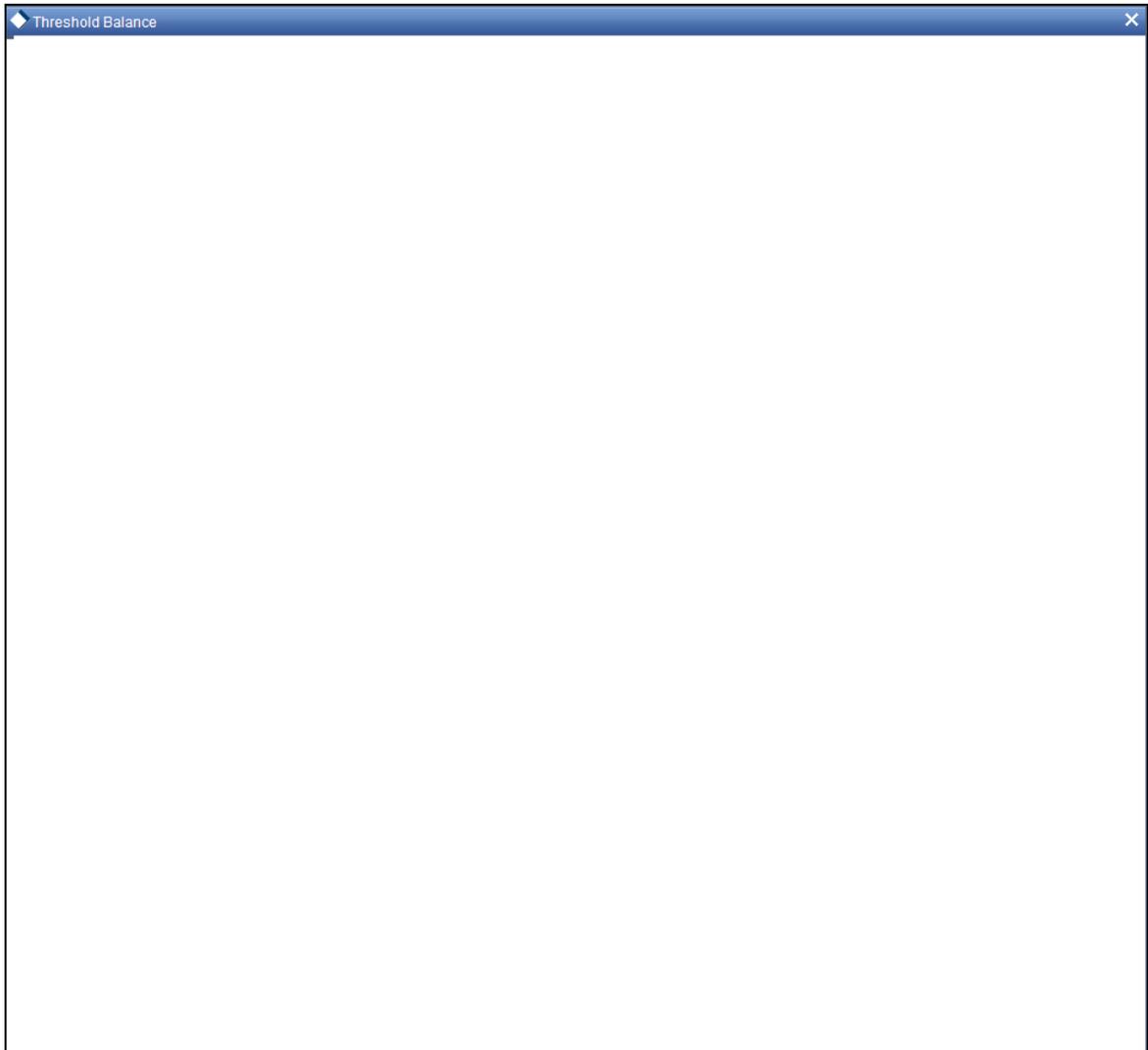
- Fund Id: Text input field with a dropdown arrow icon.
- From Certificate Number: Text input field with a dropdown arrow icon.
- To Certificate Number: Text input field with a dropdown arrow icon.
- Allocation From Date: Text input field with a calendar icon.
- Allocation To Date: Text input field with a calendar icon.
- UnitHolder ID: Text input field with a dropdown arrow icon.
- User Input: Text input field with a speech bubble icon.
- Buttons: "Ok" and "Exit" buttons at the bottom right.

### 3.58 Threshold Balance Report

This report will print the Unit Balance of the Unit holders whose Balances fall below a specified limit entered in terms of Units / Amount. If the Calculation Mode is in terms of Amount, the number of units for the entered Amount as per the latest Fund Price is calculated. This Report is printed at a Fund Level.

### 3.59 By Amount

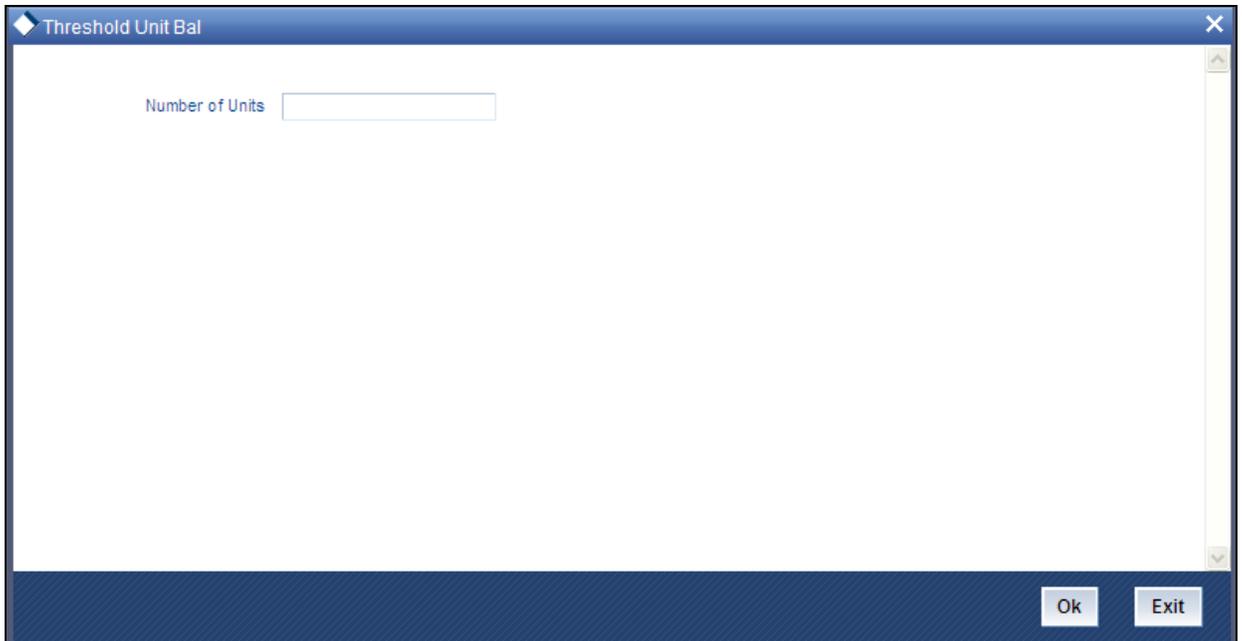
You can invoke the 'Threshold Balance' screen by typing 'UTR00126' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enter the search criteria and click 'Ok' button to generate the report.

### 3.60 By Units

You can invoke the 'Threshold Unit Bal' screen by typing 'UTR00132' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Enter the search criteria and click 'Ok' button to generate the report.

### **3.60.1 Fields in Threshold Balance Report screen**

*Calculation Mode*

*1 Character Maximum, Alphanumeric, Mandatory*

Select the Calculation Mode (Units / Amount) of the Unit holder.

*Value*

*Numeric, Mandatory*

Enter the Threshold value based on which the Report is generated.

*Number of Units*

*Numeric, Display*

This is the Number of Units held by the unit holder in the given fund, on the day of book closing.

*Total Dividend*

*Numeric, Display*

This is the Total Dividend that is applicable to the unit holder for the given fund, based on the Units held.

*Dividend Date*

*Date, Display*

This is the Date of Dividend Payment.

*Net Paid*

*Numeric, Display*

This is the Net amount paid to the unit holder after tax.

*Tax Withheld*

*Numeric, Display*

This is the Amount of Withholdings tax deducted from the unit holder dividend.

*Authorized Signatory*

*20 Character Maximum, Alphanumeric, Display*

This is the name of the person who is the Authorized signatory for Withholdings Tax.

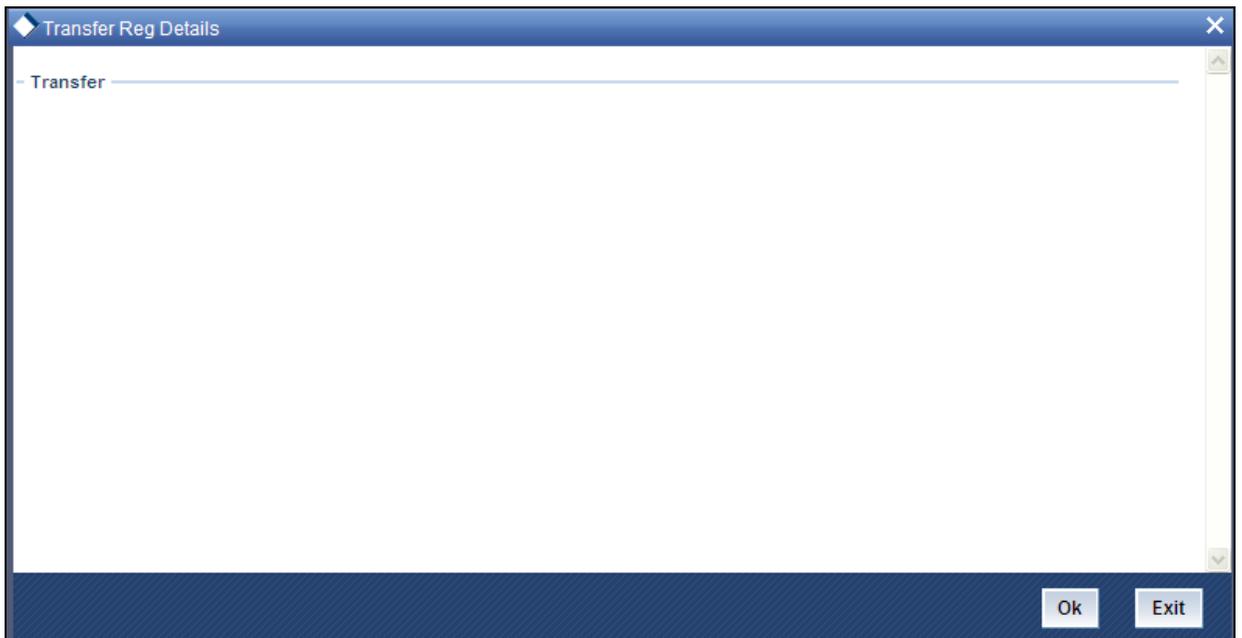
*Date*

*Date, Display*

This is the date of reporting, usually the date when the report is being generated.

### 3.61 **Transfer Register Report**

This report will print the details of all Transfers affected by the Registrar. The Registrar will print this report. You can invoke the 'Transfer Reg Details' screen by typing 'UTR00121' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



Click 'Ok' button to generate the report.

### **3.61.1 Fields in Transfer Register Report screen**

#### **3.61.1.1 Transfer Register Report**

##### *Unit Holder ID*

*12 Character Maximum, Alphanumeric, Display*

The ID of the Unit holder that has transferred the units is displayed here.

##### *Transaction Date*

*Date, Display*

Enter the date on which the transaction occurred is shown here.

##### *Transfer Deed Number*

*12 Character Maximum, Alphanumeric, Display*

This is the Reference number or deed reference number of the Transaction.

##### *Transaction Number*

*12 Character Maximum, Alphanumeric, Display*

This is the Transaction Number generated by the system for this transaction.

##### *Transfer Number*

*12 Character Maximum, Alphanumeric, Display*

This is the Transfer Number provided by the Registrar.

##### *Transfer Date*

*Date, Display*

This is the date of the Transfer provided by the Registrar.

##### *Units Transferred*

*Numeric, Display*

This is the Number of Units transferred.

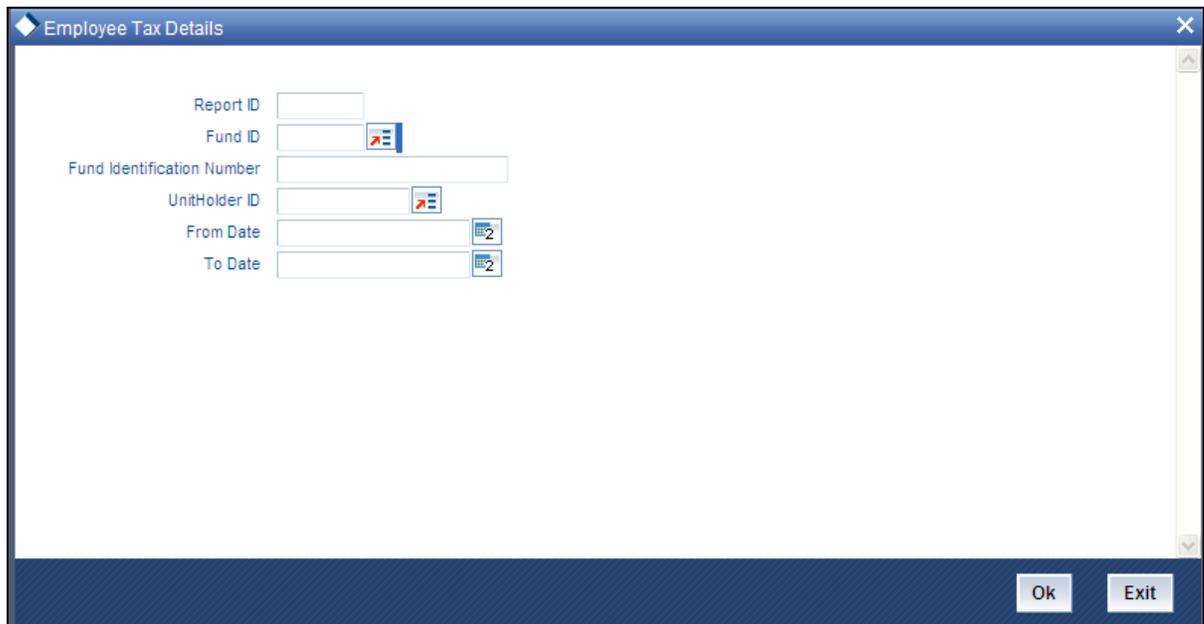
### **3.62 Tax Statements Reports**

Here we discuss how you can print tax statements and certificates.

### 3.62.1 Employee Tax IT 3(a) Report

This report will be printed for redemption transactions confirmed allocated within the specified period for a given fund and unitholder. Only those redemption transactions whose settlement amount is lesser than or equal to 2000 reckoned in the fund base currency will be considered.

The Employee Tax 3(a) Report screen allows you to enter search criteria for the generation of an Employee Tax Report. You can invoke the 'Employee Tax Details' screen by typing 'UTR00216' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a window titled "Employee Tax Details" with a blue header and footer. The main area contains several input fields with labels: "Report ID", "Fund ID", "Fund Identification Number", "UnitHolder ID", "From Date", and "To Date". The "Fund ID" and "UnitHolder ID" fields have small icons to their right. The "From Date" and "To Date" fields have small icons to their right. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, the following are the parameters for the generation of the report:

- The type of report to be printed.
- The ID of the fund, for which redemption transaction was performed, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ID of the unit holder for whom the tax statement is to be printed, in the UnitHolder field.
- The dates that specify the period between which you want to view the tax statement details, in the From Date and To Date fields.
- The language in which the report must appear.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

#### 3.62.1.1 Details in Employee Tax IT3(a) Reports

The following details are printed in the report:

- The fund in which the unit holder has requested the transaction.

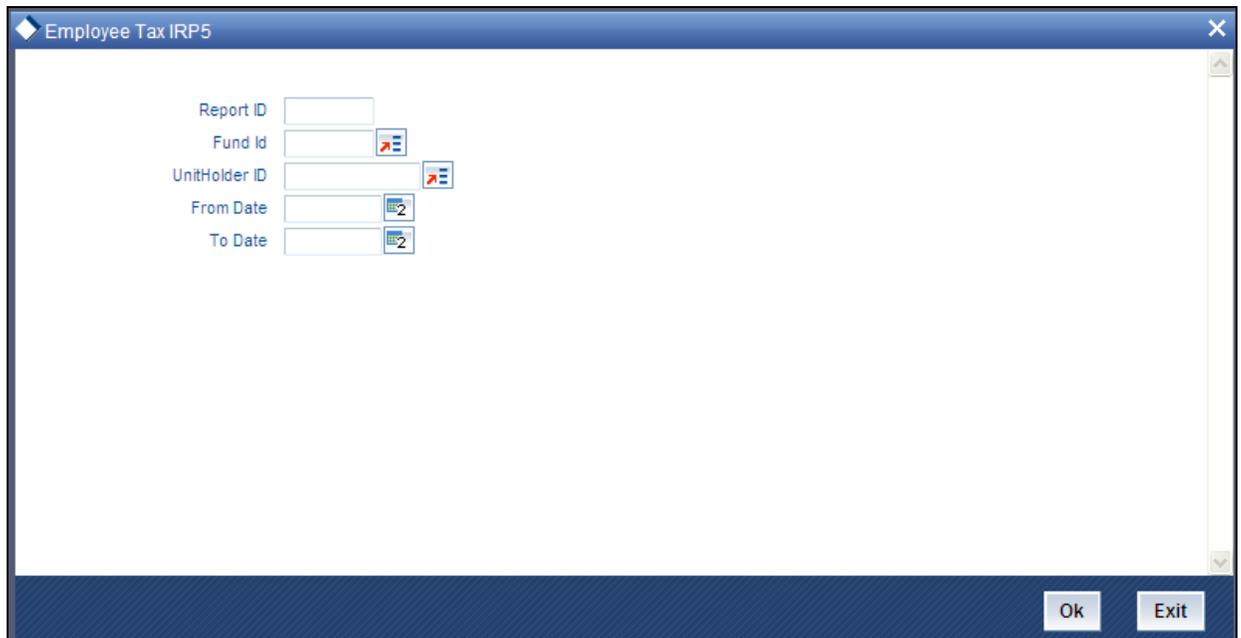
- A unique Eight digit IT3(a) code generated by FC-IS
- The PAYE reference number captured for each fund
- The tax assessment end date
- The address details of the unitholder's employer.
- The following employee details
  - First, Middle and Last name of the unit holder
  - Identification Type and Number
  - Passport Number
  - Date of Birth
  - Residential address details
  - Income tax number
  - Unit Holder Account Number
  - Date of employment
  - Employment period
- The details of the income sources and the redemption settlement amount in terms of the fund base currency
- The gross remuneration details
- Tax deduction details

### **3.62.2 Employee Tax IRP5 Report**

This report will be printed for redemption transactions confirmed allocated within the specified period for a given fund and unitholder. Only those redemption transactions whose settlement amount is greater than 2000 reckoned in the fund base currency will be considered.

The Employee Tax IRP5 Report screen allows you to enter search criteria for the generation of an Employee Tax Report.

You can invoke the 'Employee Tax IRP5' screen by typing 'UTR00217' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The type of report to be printed.
- The ID of the fund, for which redemption transaction was performed, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ID of the unit holder for whom the tax statement is to be printed, in the UnitHolder field.
- The dates that specify the period between which you want to view the tax statement details, in the From Date and To Date fields.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

### **3.62.2.1 Details in Employee Tax IRP 5 Reports**

The following details are printed in the report:

- The fund in which the unit holder has requested the transaction.
- A unique Eight digit IRP 5 code generated by FC-IS
- The PAYE reference number captured for each fund
- The tax assessment end date
- The address details of the unitholder's employer.

- The following employee details
  - First, Middle and Last name of the unit holder
  - Identification Type and Number
  - Passport Number
  - Date of Birth
  - Residential address details
  - Income tax number
  - Unit Holder Account Number
  - Date of employment
  - Employment period
- The details of the income sources and the redemption settlement amount in terms of the fund base currency
- The gross remuneration details
- Tax deduction details

### 3.62.3 Tax Deduction Directive A&D Report

This report will be printed for switch transactions confirmed allocated within the specified period for a given fund and unitholder. This report is applicable on death/retirement of a member.

The Tax Deduction Directive A&D Report screen allows you to enter search criteria for the generation of a request for tax deduction directive. You can invoke the 'Tax Ded. Directive' screen by typing 'UTR00213' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Tax Ded. Directive". The window contains the following fields and controls:

- Report ID: A text input field.
- Fund Id: A text input field with a dropdown arrow icon to its right.
- Fund Identification Number: A text input field.
- UnitHolder ID: A text input field with a dropdown arrow icon to its right.
- From Date: A text input field with a date picker icon to its right.
- To Date: A text input field with a date picker icon to its right.

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The type of report to be printed.
- The ID of the fund, for which switch transaction was performed, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ID of the unit holder for whom the tax statement is to be printed, in the UnitHolder field.
- The dates that specify the period between which you want to view the tax statement details, in the From Date and To Date fields.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

### **3.62.3.1 Details in Tax Deduction Directive A&D Reports**

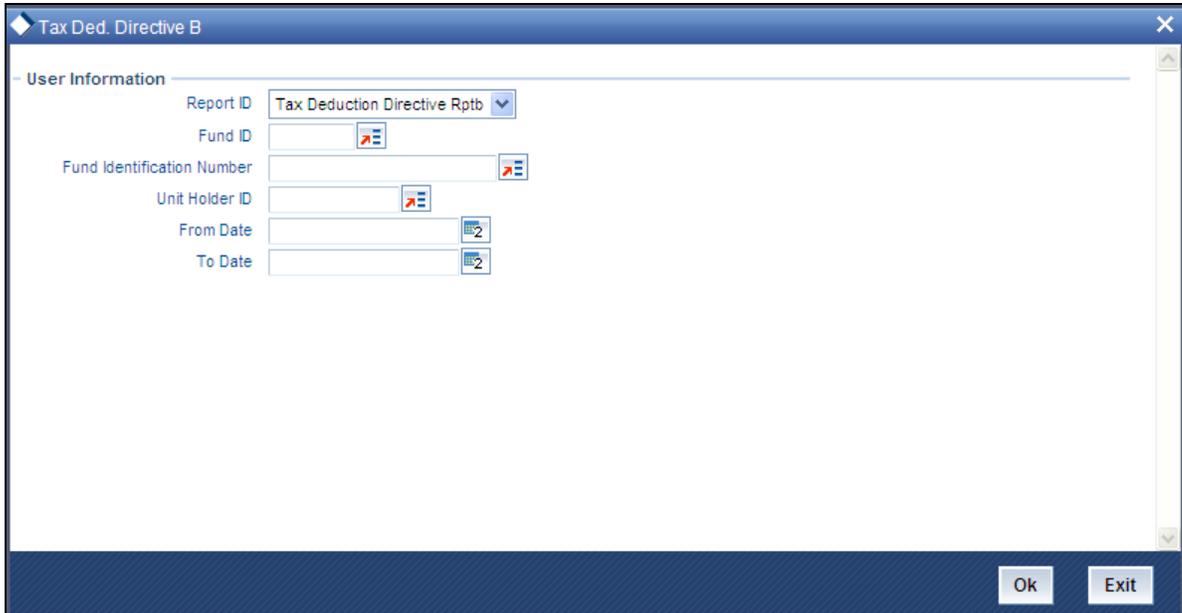
The following details are printed in the report:

- The tax assessment end date
- Unit holder Tax ID
- The following member details
  - First and Last name of the unit holder
  - Identification Type and Number
  - Annual Income
  - Date of Birth
  - Residential address details
- The details of the fund in which the unit holder has requested the transaction. This includes:
  - Contact details, name and type of the fund
  - Fund PAYE reference number
- The details of the gross lump sum due to the unit holder. This includes:
  - Reason for the directive
  - Allocation date of the redemption transaction
  - Gross lump sum amount
  - The dates that specify the period between the unit holder invested into the fund
- The details of the salary earned by the unit holder.
- The contact address details of the unitholder's employer.

### **3.62.4 Tax Deduction Directive B Report**

This report will be printed for switch transactions confirmed allocated within the specified period for a given fund and unitholder. This report is applicable on withdrawal of funds from preservation pension/provident fund.

The Tax Deduction Directive B Report screen allows you to enter search criteria for the generation of a request for tax deduction directive B. You can invoke the 'Tax Ded. Directive B' screen by typing 'UTR00214' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The type of report to be printed.
- The ID of the fund, for which switch transaction was performed, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ID of the unit holder for whom the tax statement is to be printed, in the UnitHolder field.
- The dates that specify the period between which you want to view the tax statement details, in the From Date and To Date fields.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

#### **3.62.4.1 Details in Tax Deduction Directive B Reports**

The following details are printed in the report:

- The tax assessment end date
- Unit holder Tax ID
- The following member details

- First and Last name of the unit holder
- Identification Type and Number
- Date of Birth
- Annual Income
- Residential address details
- The details of the fund in which the unit holder has requested the transaction. This includes:
  - Contact details, name and type of the fund
  - Fund PAYE reference number
- The details of the gross lump sum due to the unit holder. This includes:
  - Reason for the directive
  - Allocation date of the redemption transaction
  - Gross lump sum amount
  - The dates that specify the period between the unit holder invested into the fund
- The details of the salary earned by the unit holder.

### 3.62.5 Tax Deduction Directive C Report

This report will be printed for switch transactions confirmed allocated within the specified period for a given fund and unitholder. This report is applicable retirement annuity funds.

The 'Tax Deduction Directive C Report' screen allows you to enter search criteria for the generation of a request for tax deduction directive C. You can invoke the 'Tax Ded. Directive C' screen by typing 'UTR00215' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Tax Ded. Directive C". Inside the window, there are several input fields for search criteria: "Report ID", "Fund ID", "Fund Identification Number", "UnitHolder ID", "From Date", and "To Date". The "Fund ID" and "UnitHolder ID" fields have small icons to their right, likely for data selection. The "From Date" and "To Date" fields have date pickers. At the bottom right of the window, there are "Ok" and "Exit" buttons.

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

- The type of report to be printed.
- The ID of the fund, for which switch transaction was performed, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.
- The ID of the unit holder for whom the tax statement is to be printed, in the UnitHolder field.
- The dates that specify the period between which you want to view the tax statement details, in the From Date and To Date fields.
- The language in which the report must appear.
- The mandatory box needs to be checked against the fields which are mandatory for the generation of the report.

### **3.62.5.1 Details in Tax Deduction Directive C Reports**

The following details are printed in the report:

- The tax assessment end date
- Unit holder Tax ID
- The following member details
  - First and Last name of the unit holder
  - Identification Type and Number
  - Date of Birth
  - Annual Income
  - Residential address details
- The details of the fund in which the unit holder has requested the transaction. This includes :
  - Contact details, name and type of the fund
  - Fund PAYE reference number
- The details of the gross lump sum due to the unit holder. This includes:
  - Reason for the directive
  - Allocation date of the redemption transaction
  - Gross lump sum amount
  - The dates that specify the period between the unit holder invested into the fund

## **3.63 Investment Simulator**

Oracle FLEXCUBE provides you with the option of investment simulator for both; pension and non pension funds.

### 3.63.1 For Non Pension Funds

For a given period, you can simulate the NAV for various combination of fund IDs and investment amount. Based on the application date (i.e. the date of subscription), redemption date, fund ID and the investment amount, the profit based on the NAV as per the days of subscription and redemption will be calculated by the investment simulator along with the gross amount and displayed.



The investment simulator does not consider any loads or taxes set up in the system.

You can invoke 'Investment Simulator – Non Pension Funds' screen by typing 'UTDHINAV' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

The screenshot shows a software window titled "Investment Simulator-Non Pension Funds". At the top, there are two date input fields: "From Date \*" and "To Date \*", each with a calendar icon. A "Simulate" button is located between these fields. Below the date fields is a "Simulator Details" section with a table. The table has six columns: "Fund ID \*", "Fund ISIN \*", "Investment Amount \*", "From Date NAV", "To Date NAV", and "Gros". The first row of the table contains input fields for each column, with a green checkmark in the first cell. Below the table is a horizontal scrollbar. At the bottom right of the window is a "Cancel" button.

For a given period, you can simulate the NAV for various combination of fund IDs and investment amount. Based on the application date (i.e. the date of subscription), redemption date, fund ID and the investment amount, the profit based on the NAV as per the days of subscription and redemption will be calculated by the investment simulator along with the gross amount and displayed.

#### *From Date*

Specify the date from which you wish to simulate the NAV for various combination of fund IDs and investment amount.

#### *To Date*

Specify the date till which you wish to simulate the NAV for various combination of fund IDs and investment amount.

Click on the '**Simulate**' button to simulate the investment. The following details are displayed:

*Fund ID*

*6 Characters Maximum, Alphanumeric; Mandatory*

Select the ID of the funds which are Historic NAV Based as captured in the General Operating Rules screen.



Only the funds for which the option 'Historic NAV Based' has been selected for the field 'Investment Simulation Method' in the General Operating Rules screen will be listed in the option list provided.

You can not simulate the investment option for the same fund more than once and thus the Fund ID should not be repeated in the panel.

*Fund ISIN*

*12 Characters Maximum; Alphanumeric; Mandatory*

Select the ISIN Code of the selected fund.

*Investment Amount*

*Numeric, Mandatory*

Specify the amount that you wish to invest. The value here should be greater than zero.

*From date NAV*

*Display*

Depending on the selected fund and the From Period, the NAV Value is displayed here.

*To date NAV*

*Display*

Depending on the selected fund and the To Period, the NAV is displayed here.

*Gross Profit*

*Display*

The Gross profit is displayed here and is calculated as follows:

$(\text{To Date NAV} - \text{From Date NAV}) * (\text{Investment Amount} / \text{From Date NAV})$

*Gross Balance*

*Display*

The Gross balance is displayed here and is calculated as follows:

(Investment Amount / From Date NAV) \* To Date NAV.

### 3.63.2 For Pension Funds

You can invoke 'Investment Simulator –Pension Funds' screen by typing 'UTDPENFD' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

Description	Declaration without Pension	Declaration with Pension
INSS Paid in the Year		
Deduction Amount		
IR Calculation Basis		
I.R. Aliquot		
Installment to Deduct		
IR Due		
Annual Earnings		

FCIS also allows you to simulate the tax saving in a pension fund. It demonstrates the value of tax liability of the customer in case no investments are made and compares it with a scenario, where a specified investment is made by the customer.



The investment simulator does not consider any loads or taxes set up in the system.

The following are the fields in this screen.:

*Annual Gross Income*

*Numeric; Mandatory*

Specify the gross annual income of the investor.

*Numeric; Mandatory*

Specify the gross annual income of the investor.

*Pension fund contribution in the year*

*Numeric; Mandatory*

Indicate the pension fund contribution that the investor has made or wishes to make during the year.

*INSS paid in the year*

*Numeric; Optional*

Indicate INSS paid in the year. This field is optional. In case the INSS paid during the year is not specified the same will be calculated based on the Load ID for INSS.

INSS load ID, IR Calculation Basis and IR. Aliquot load are also parameterized in system parameters under 'INVSIMULATOR '. If there is any changes in the load, than the load maintenance should be changed and not the system parameters.

Click on the 'Simulate' button to simulate the investment. Click on the 'Clear' button if you wish to clear the panel of the choices that have been made.

On simulation the following details are displayed.

*INSS paid in the year*

*Display*

The INSS paid as specified above with or without the pension fund is displayed here.

*Deduction amount*

*Display*

The deduction amount is displayed here.

*IR Calculation Basis*

*Display*

The minimum of the two values one of which is arrived at by adding the values of INSS and the Pension fund contribution in the year and the other by calculating the Limit for deduction by applying Percentage Limit for IR Contribution on the annual gross income, is deducted from the gross annual income to get the IR Calculation Basis, which is displayed here.

*I.R. Aliquot*

*Display*

The IR percentage is calculated based on the Load Id for IR and displayed here.

*Installment to Deduct*

*Display*

The Installment to deduct amount is calculated based on the Load Id for IR and displayed here.

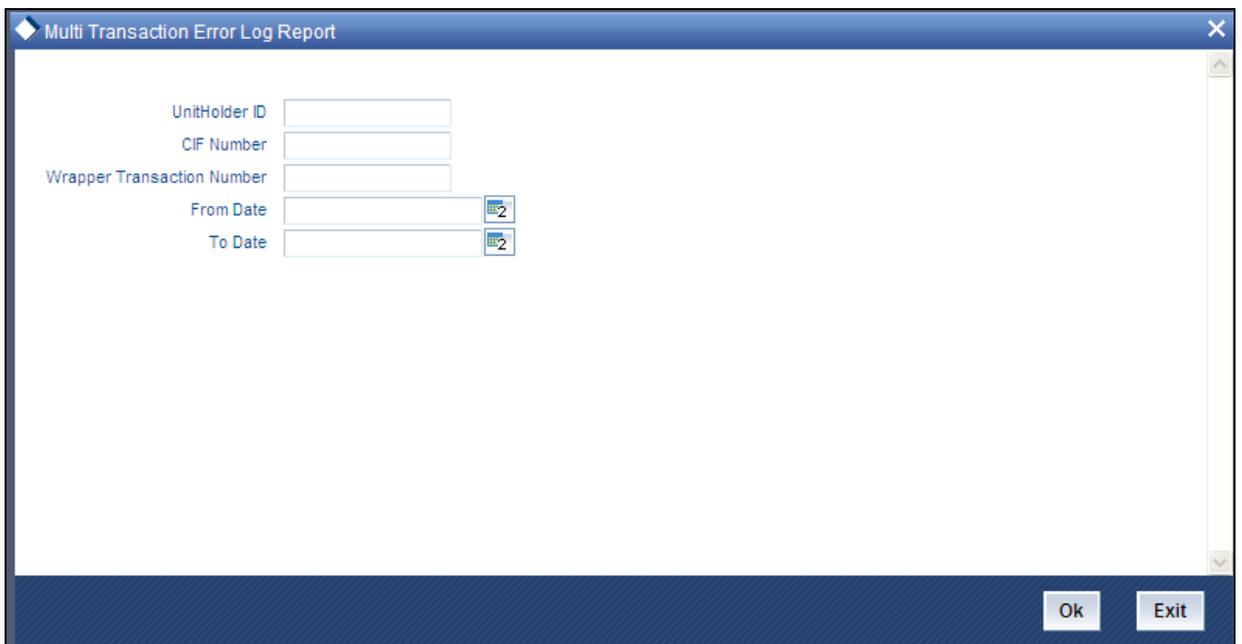
*IR Due*

*Display*

The IR percentage is applied to the IR calculation basis and subtracted from the Installment to Deduct. This result gives the IR amount due from the investor which is displayed here.

### 3.64 **Multi Transaction Error Log Report**

You can view the multiple transactions errors occurred and their status using 'Multi Transaction Error Log Report' screen. You can invoke this screen by typing 'UTR00218' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed below:

The screenshot shows a software window titled "Multi Transaction Error Log Report". The window has a blue header bar with a close button (X) in the top right corner. The main area is white and contains several input fields: "UnitHolder ID", "CIF Number", "Wrapper Transaction Number", "From Date", and "To Date". The "From Date" and "To Date" fields have small calendar icons to their right. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

*Unit Holder*

*Optional*

Specify the unit holder ID for whom you want to generate the report.

*CIF Number*

*Optional*

Specify the customer information number of the unit holder.

*Wrapper Transaction Number*

*Optional*

Specify the wrapper transaction number of the multi transaction for which you want to generate report.

*From Date*

*Date; Optional*

Enter the date from when you want to generate the report.

*To Date*

*Date; Optional*

Enter the date till when you want to generate the report.

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## 4. Appendix A - Reporting for Capital Gains Tax

### 4.1 Processing Capital Gains Tax

The gains made by an investor over investments attract taxation, and the tax applied is called the Capital Gains Tax.

Oracle FLEXCUBE Investor Servicing provides the facility to compute and deduct capital gains tax on a unit holder's gains. Reporting on the computation of the tax, at each transaction level, is also available.

In case transactions are reversed or backdated, appropriate reversal and adjustment transaction entries are initiated and processed, along with adjustments to the gain. A history of transactions, with the appropriate reversals and adjustments, can be obtained as a report.

#### 4.1.1 Maintenance for Capital Gains Tax Computation

To set up the processing of capital gains tax in the system, you must do the following:

- Set up the capital gains tax as a load in the Load Definition screen. The frequency of processing for the tax must be 'Post-allocation'.
- Associate the load with the funds for which capital gains tax processing must be done, in the Fund Load Maintenance profile for each fund.
- In the Entity Maintenance record for the AMC or Distributor, specify the effective date following which capital gains computations must be performed.
- If any expressions for the NAV have been defined in the Fund Formula Maintenance record for a price component for a fund, you can indicate the component that must be excluded in the calculations for capital gains tax, as desired.

#### 4.1.2 Computation of Capital Gains Tax

The computation of capital gains tax applicable on transactions on a fund is triggered as part of the allocation process after the fees; price and units calculations in respect of the transaction are completed.

#### 4.1.3 Weighted Average Unit Cost approach for computing Capital Gain / Loss

The system uses the Weighted Average Unit Cost approach for calculation of capital gains. By this approach, the 'gain' (upon which the tax may be applied) is computed based on the weighted average unit cost for the unit holder.

The Weighted Average Unit Cost (WAUC) is computed for each transaction that results in an inflow (i.e., subscription, switch-to or transfer-to), but not for a transaction that results in an outflow (redemption, switch-from or transfer-from). The gains are computed based on the WAUC, for each outflow transaction.

The computations of WAUC begin from the effective date for capital gains calculations maintained for the entity (AMC or Distributor) in the Entity Maintenance.



It must be remembered that this feature of capital gains computation is only available if your installation has specifically requested for it.

### Some important terms

The following terms must be taken into consideration to understand the process of WAUC or gain calculation for a transaction:

- An 'original transaction' is a normal transaction entered and allocated in the system on any date.
- A 'reversal transaction' is a transaction in which the amount, units or percentage applied for in an original transaction is amended to zero, on a date later than the allocation date of the original transaction.
- A 'backdated transaction' is one that is entered with a transaction date being earlier than the allocation date.
- A 'dependant transaction' is a transaction entered for a unit holder and fund, for which the transaction date is earlier than that of a reversal or backdated transaction for the same unit holder / fund combination.
- An 'adjustment transaction' is an original transaction for which the WAUC or the gain / loss has been recalculated because the transaction was 'dependant' on a reversal or backdated transaction.

From the effective date following which capital gains computation is to be done, the WAUC on every inflow transaction and the gain on every outflow transaction is computed. The system also facilitates the processing of the effect of reversed and backdated transactions on the WAUC and the gain.

A counter is also maintained by the system to identify the order in which transactions are allotted.

### Definitions

The following empirical expressions are employed in the computation:

For WAUC,

$$W(i) = ( W(i-1) * B(i-1) + A(i) ) / ( B(i) )$$

If transaction (i) is an outflow transaction,  $W(i) = W(i-1)$

Capital Gain / Loss is calculated only on outflow transactions. If the transaction (i) is an outflow transaction,

$$G(i) = (U(i) * W(i-1)) - A(i) + C(i)$$

If the transaction (i) is an inflow transaction, then  $G(i) = 0$ .

Where,

Variable	Variable Definition
(i)	A counter maintained by the system to identify the order in which transactions are allotted. It is incremented by 1 each time a transaction is allotted, and in the order in which transactions are allotted in the system.
W(i)	WAUC corresponding to the 'i'th transaction. For instance, W(3) indicates the WAUC corresponding to the third transaction allotted.
W(i-1)	This is computed by summing up the WAUC for transaction (i-1), taking into account the original transaction and any subsequent adjustments due to backdated and / or reversal transactions.
B(i)	The unit balance after the allocation of the 'i'th transaction. It is calculated according to the order in which transactions are allotted.
A(i)	The transaction amount in the 'i'th transaction. This would be Amount Applied, or Switch Amount, Transfer Amount, or Redemption Amount, depending upon the transaction type. For the transaction modes 'units' or 'percentage', it is calculated.
W(0)	The WAUC corresponding to the start of capital gains calculations, i.e., the effective date for capital gains calculations. This could default to zero, but there could be an upload of starting WAUC through the Bulk Upload functions.
B(0)	The unit balance at the start of capital gains calculations (the effective date). If the 1 <sup>st</sup> original transaction occurs after the effective date, this unit balance is zero. If the 1 <sup>st</sup> original transaction occurs before the effective date, this is the sum of units allocated and confirmed for all transactions before the effective date.
G(i)	The Capital Gain (or Loss) corresponding to the 'i'th transaction. A Capital Loss occurs when G(i) is negative.
U(i)	The number of units allotted on the 'i'th Transaction.
C(i)	The excluded price component factor. It is calculated as (sum of excluded price components) * (number of units allotted in the 'i'th transaction)

#### Recalculation of WAUC and Capital Gain / Loss for original and dependant transactions

Reversal and backdated transactions have the effect of causing a recomputation of WAUC and Capital Gain / Loss for any original or dependant transactions that have been entered or allocated after the transaction date of the reversal or backdated transaction.

The recomputation involves initiating adjustment transactions to offset the effect of the reversal or backdating on the WAUC or the Capital Gain / Loss.

The process of recalculation can be summarized in the following steps:

1. Reconstruction of the transaction history with the backdated or reversal transactions
2. Calculation of an opening unit balance and opening WAUC for the reconstructed transaction history
3. Calculation of the Gain / Loss and WAUC for the reconstructed transactions
4. Calculation of the adjustment in Gain / Loss and WAUC in respect of each backdated or reversal transaction
5. Steps 1-4 are repeated for each backdated and reversal transaction on the application date.
6. Calculation of Gain / Loss and WAUC in respect of transactions with transaction date being the application date

The reconstruction of the transaction history will have the following information:

Information head	Remarks
Transaction Number	<p>For an "Original Transaction", this is the transaction number of the "Original Transaction"</p> <p>For a "Reversal Transaction", this is the transaction number of the "Reversal Transaction" that is being reversed.</p> <p>For an 'Adjustment Transaction' this is the transaction number of the 'Original Transaction' which is being adjusted, not the transaction number of the associated 'Reversal' or 'Backdated Transaction'.</p>
Linked Transaction Number (LTN)	<p>For an "Original Transaction", this is null.</p> <p>For a "Reversal Transaction" this is null.</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Reversal Transaction" or "Backdated Transaction" that is associated with that "Original Transaction".</p>
Old Transaction Number (OTN)	<p>For an "Original Transaction" that has been reversed, this is the transaction number of the "Original Transaction".</p> <p>For a "Reversal Transaction" this is the transaction number of the "Original Transaction" that is being reversed.</p> <p>For all other transaction types, this is null</p>

Information head	Remarks
Unit Holder ID (UH ID)	This is the Unit Holder ID associated with the "Transaction Number", above
Fund ID	This is the Fund ID associated with the "Transaction Number", above
Transaction Type Description	<p>For an "Original Transaction" this would be Subscription, Switch In, Transfer To, Redemption, Switch Out or Transfer From.</p> <p>For a "Reversal Transaction" this would be the Transaction Description of the Original Transaction concatenated with the word "Reversal". For instance, "Subscription Reversal"</p> <p>For an "Adjustment Transaction" this should be the Transaction Description of the "Original Transaction" concatenated with the word "Adjustment", for instance, "Redemption Adjustment".</p>
Transaction Amount (Amount)	<p>This is the gross transaction amount associated with the "Transaction Number", above.</p> <p>It will be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p>
Effective Unit Price (Price)	This is the effective transaction price, calculated as (Amount) / (Units), as the Transaction Base Price is stored with the transaction where the fees are mapped as a load to amount. For a reversal transaction, this should be the unit price of the transaction being reversed.
Confirmed Units Allotted (Units)	<p>This is the number of confirmed units allotted associated with the "Transaction Number", above. These are the units switched out of the From Fund for Switch Out transactions and the units switched into the To Fund for Switch In transactions.</p> <p>For Reversal Transactions, this will have the same value but opposite sign of the Original Transaction's units.</p> <p>The Amount must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p>
Unit Balance (Balance)	This is the unit balance after allocation of the current record.
Weighted Average Unit Cost (WAUC)	For Original Transactions, this is the WAUC calculated according to the definition described above.
Excluded Price Components	This is the excluded price component factor. It is computed as (Sum of excluded price components) * (units allotted), and the absolute value is considered. If the sum of excluded price components falls below zero, it is

Information head	Remarks
	defaulted to zero.
Weighted Average Gain or Loss (Gain)	This is gain or loss for the transaction, calculated according to the rules described above.
Transaction Date (Value Date)	This is the transaction date corresponding to the "Transaction Number" transaction.
Date Allotted	The date on which the "Transaction Number" transaction is allocated.
WAUC Adjustment (WAUC Adj)	For an "Original Transaction" this value is zero. For an Adjustment Transaction, this is the WAUC of the Adjusted / Reversed transaction, less the WAUC of the Original Transaction, less the sum of all prior WAUC adjustments in respect of the Transaction Number of the current record.
Gain or Loss Adjustment (Gain Adj)	For an Original Transaction this value is zero.  For an Adjustment Transaction, this is the Gain or Loss calculated on the Adjustment Transaction, less the Gain or Loss on the Original Transaction, less the Gain or Loss Adjustment on all previous transactions where the Transaction Number is the Transaction Number for the Adjustment Transaction, and Transaction Number <> Linked Transaction Number.
Entry Date and Time	This is the server date and time, at which the record is inserted into the database.
Record Indicator	This will be "NML" for normal transactions, "ADJ" for Adjustments and "REV" for Reversals. For Reversals, this code will be "NML" for the Original Transaction.

#### **4.1.4 Computation of EUSD Average Cost/Capital Gain**

To comply with EUSD (European Union Savings Directive), average cost/capital gain must be computed. EUSD came into effect on 1<sup>st</sup> July, 2005. For transactions recorded after 1<sup>st</sup> July, 2005, the Weighted Average Unit Cost approach is applicable for the computation of capital gains. However, for transactions recorded prior to 1<sup>st</sup> July, 2005, the average cost is the first NAV after 1<sup>st</sup> July, 2005.

For every transaction done by the unitholder, system tracks the average cost on the TIS (Taxable Income for the Subscription), maintained as part of fund price formula. During redemption, the difference between the TIS for the redemption's price date and the TIS average cost is the basis on which the gain is computed.

The following expression is used to compute gain:

Gain = Minimum of (TIS Component for the price day – TIS WAC) and (Unit cost or NAV – EUSD WAC)

Unit cost is used for all computations of EUSD WAC and EUSD Gain. However, if the transaction does not have any load (other than the CGT load) then the NAV is used instead of the unit cost.

Even if one of the components is less than or equal to 0, capital gain is treated as 0. The following example illustrates this:

**Example**

Consider the following transaction:

X - NAV per share at subscription date

Y - NAV per share at redemption date

s - Subscription commission (sales charges) in cents

r - Redemption commission in cents

Redemption price A is calculated as:

$$A = Y - r$$

Subscription price B is calculated as:

$$B = X + s$$

Assume the following:

aa - number of shares redeemed

ab - TIS at subscription date

ac - TIS at redemption date

Capital gain is computed as follows:

Capital Gain = 0; If  $(A - B) \leq 0$  (Capital loss, no tax withheld)

Capital Gain =  $((A - B) * aa)$ ; If  $(A - B) > 0$  and If  $(A - B) < (ac-ab)$

Capital Gain =  $((ac - ab) * aa)$ ; If  $(A - B) > 0$  and If  $(A - B) > (ac-ab)$  and If  $[ac-ab] > 0$

Capital Gain = 0 (No tax withheld); If  $(A - B) > 0$  and If  $(A - B) > (ac-ab)$  and If  $[ac-ab] \leq 0$

#### **4.1.5 Computation of Capital Gains for Redemption**

The unit holders, without the joint holders, system will apply the tax on entire capital gain depending on the tax applicability if the RECOVERCGT is checked at Unit holder level.

The unit holders, having joint holders, system will split the Capital gain proportionately amongst all the holders and apply the tax depending on the tax applicability of RECOVERCGT selected as a part of Unit holder/Joint holder set up at Unit holder/Joint holder level.

#### 4.1.6 Computation of Capital Gains for Transfers

If 'Change of Beneficial Ownership' and 'RECOVERCGT' boxes are checked during Transfer transaction as part of Unit holder/Joint holder and if the set up is 1, then system will apply tax on capital gain.

If Change of Beneficial Ownership option is not selected, during Transfer transaction, then system will not apply tax on capital gain.

The tax calculation will be done as follows:

- On transaction unitization date
- Calculation details will be stored separately for each unit holder/ joint holder for information and reporting purposes.
- Settlement Amount at transaction level will reflect the tax deduction
- Capital gains balance check taking place with unit holder fund holdings will not consider provisional holdings in the fund.

#### 4.1.7 Reporting in Respect of Capital Gains Calculations

You can obtain a report of the recalculations of Gain / Loss and the WAUC, in respect of each transaction, in the following format:

Information head	Remarks
Transaction Number	<p>For an "Original Transaction", this is the transaction number of the "Original Transaction"</p> <p>For a "Reversal Transaction", this is the transaction number of the "Reversal Transaction"</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Original Transaction" which is being adjusted, not the transaction number of the associated "Reversal" or "Backdated" Transaction.</p>
Linked Transaction Number (LTN)	<p>For an "Original Transaction", this is null.</p> <p>For a "Reversal Transaction" this is the transaction number of the Reversal Transaction.</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Reversal Transaction" or "Backdated Transaction" that is associated with that specific "Original Transaction".</p>

Information head	Remarks
Old Transaction Number (OTN)	<p>For an “Original Transaction” that has been reversed, this is the transaction number of the “Original Transaction”.</p> <p>For a “Reversal Transaction” this is the transaction number of the “Original Transaction” that is being reversed.</p> <p>For all other transaction types, this is null</p>
Unit Holder ID (UH ID)	This is the Unit Holder ID associated with the “Transaction Number”, above
Fund ID	This is the Fund ID associated with the “Transaction Number”, above
Transaction Type Description (Txn Type)	<p>For an “Original Transaction” this would be Subscription, Switch In, Transfer To, Redemption, Switch Out or Transfer From.</p> <p>For a “Reversal Transaction” this would be the Transaction Description of the Original Transaction concatenated with the word “Reversal”, for example, “Subscription Reversal”</p> <p>For an “Adjustment Transaction” this should be the Transaction Description of the “Original Transaction” concatenated with the word “Adjustment”, for example, “Redemption Adjustment”.</p>
Transaction Amount (Amount)	<p>This is the gross transaction amount associated with the “Transaction Number” above. For Reversal Transactions, this amount would be equal in value to that of the Original Transaction, but opposite in sign</p> <p>The Amount must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p> <p>For “Adjustment Transactions”, the amount must be changed zero.</p>
Effective Unit Price (Price)	The price will be the same as the price used in the calculation above to reconstruct the Transaction History. Note that the price cannot be calculated here, as for Adjustment Transactions, the amount and units are both changed to zero.
Confirmed Units Allotted (Units)	<p>These are the confirmed units allotted associated with the “Transaction Number”, above. These are the units switched out of the From Fund for Switch Out transactions and the units switched into the To Fund for Switch In transactions.</p> <p>For Reversal Transactions, this would take the same value but opposite sign of the Original Transaction’s units.</p> <p>The Units must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow</p>

Information head	Remarks
	transactions.  For "Adjustment Transactions", the units must be changed to zero.
Weighted Average Unit Cost (WAUC)	For Original Transactions, this is the WAUC calculated according to the definition described in this document.  For Reversal or Adjusted Transactions, this is the adjusted WAUC calculated from the reconstructed transaction history.
Excluded Price Components	This is the excluded price component factor. It is computed as (Sum of excluded price components) * (units allotted), and the absolute value is considered. If the sum of excluded price components falls below zero, it is defaulted to zero.
Weighted Average Gain or Loss (Gain)	For an Original Transaction, this is the gain or loss for the transaction, calculated according to the rules described in this document.  For an Adjustment or Reversal transaction, this would be the Gain or Loss Adjustment associated with that transaction.
Transaction Date (Value Date)	This is the transaction date corresponding to the "Transaction Number" transaction.
Date Allotted	The date on which the "Transaction Number" transaction is allocated.
WAUC Adjustment (WAUC Adj)	For an "Original Transaction", this value is zero. For a Reversal Transaction or an Adjustment Transaction, this is the WAUC of the Adjusted / Reversed transaction, less the WAUC of the Original Transaction, less the sum of all prior WAUC adjustments in respect of the Transaction Number of the current record.
Entry Date and Time	This is the server date and time at which the record is inserted into the Transaction History Reconstruction Table.
Record Indicator	This will be "NML" for Normal Transaction, "ADJ" for Adjustments and "REV" for Reversals. For Reversals this code will be "NML" for the Original Transaction.

The following reports may be obtained:

- Weighted Average Gain or Loss Detail Report
- Weighted Average Gain or Loss Detail Report

### Weighted Average Gain or Loss Summary Report

This report is obtained for every Unit Holder ID, Fund Base Currency and Fund ID combination, from the details in the report format explained above. The following details are presented:

- Unit Holder ID
- Fund Currency

- Fund Name (Long Name)
- Opening Weighted Average Cost – The Opening Weighted Average Cost is calculated as (Opening Unit Balance) \* (Opening Weighted Average Unit Cost). The Opening Unit Balance is the unit balance of the transaction where the Entry Date is immediately prior to the “From Date” parameter. The Opening Weighted Average Unit Cost is the Weighted Average Unit Cost of same transaction.
- Inflows – This is the sum of the “Amount” values for inflow transactions added to the sum of the “Amount” values in respect of reversal of inflow transactions. The “Amount” values for reversals of inflow transactions are considered negative, and the “Amount” for Adjustment Transactions is zero. This sum is calculated for transactions where the entry date of the transaction is between the user-entered From and To dates.
- Outflows – This is the sum of the “Amount” values for outflow transactions added to the sum of the “Amount” values in respect of reversal of outflow transactions. The “Amount” values for reversals of outflow transactions are considered negative, and the “Amount” for Adjustment Transactions is zero. This sum is calculated for transactions where the entry date of the transaction is between the user-entered From and To dates.
- Gain or Loss – This is the sum of the Gain or Loss for all transactions where the “Entry Date” is between the user-entered From and To dates.
- Closing WA Cost – The Closing Weighted Average Cost is calculated as (Opening WA Cost) + (Inflows) – (Outflows) + (Gain or Loss)
- Check – The check is to ensure that the Closing WA Cost, as calculated above, balances with the Weighted Average Unit Cost. The check is calculated as (Closing WA Cost) – (Weighted Average Cost associated with the last transaction where the “Entry Date” is less than or equal to the To Date) \* (Unit Balance as at the To Date, calculated by “Entry Date”)

### **Weighted Average Gain or Loss Report**

This report is obtained for every Unit Holder ID, Fund Base Currency and Fund ID combination, from the details in the report format explained above. Totals are presented for amount, units and gain for each fund, and also for all funds of the same currency. The following details are displayed for the reconstructed transaction history:

- Unit Holder ID
- Fund Base Currency
- Fund ID
- Transaction Number
- Transaction Type
- Amount
- Price
- Units
- WAUC
- Gain
- Value Date

- WAUC Adjustment
- Entry Date



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