

Transaction User Guide

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# 1. About This Manual

## 1.1 Introduction

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

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

## 1.2 Related Documents

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

## 1.3 Audience

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

## 1.4 Organization

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

Chapter	Description
Chapter 1	<i>About This Manual</i> explains the structure, audience, organization, and related documents of this manual.
Chapter 2	<i>Transactions –Maintaining Standing Instructions</i> explains the maintenance of standing instructions for an investor account.
Chapter 3	<i>Transactions –IRA Plans</i> explains the processes involved in the creation of retirement plans in retirement investment products for investors.
Chapter 4	<i>Transactions –Processing Transaction Requests</i> is intended for the Teller users and contains guidelines for the initiation and processing of investor transactions.
Chapter 5	<i>Transactions –Processing Transactions – II</i> explains how to process transactions. It also explains how to retrieve, edit, and view the details of a transaction.
Chapter 6	<i>Transactions – Adjustment and Amount Block Transactions</i> explains the processing of adjustment and amount block / unblock transactions.

## 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





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

### 1.5.2 Keyboard Conventions

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

## 1.6 Glossary of Icons

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

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

## 1.7 Abbreviations and Acronyms

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

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

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

## 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.

---

## 2. Maintaining Standing Instructions

An investor in your AMC may wish to subscribe into any of the funds of the AMC at regular periodic intervals separated by a pre-defined frequency. The investor may want to withdraw investment from any of the funds at regular periodic intervals.

These transactions of subscribing or withdrawing investment could be requested by investors could be based on any regular savings plans or withdrawal plans they have decided upon for the purpose of managing their investment and savings.

Whenever these kind of periodic transactions are to be effected, the investor gives the AMC a standing instruction to carry out the same. This would mean that according to the preferences of the investor, the AMC would automatically enter and process these periodic transactions in the investor's account, without manual intervention from the investor.

A standing instruction given by an investor will always result in a transaction in the investor account.

This chapter contains the following sections:

- [Section 2.1, "Standing Instructions Detail"](#)
- [Section 2.2, "Standing Instructions Summary"](#)
- [Section 2.3, "Unitholder Deal Summary"](#)
- [Section 2.4, "Plan Maintenance Detail"](#)
- [Section 2.5, "Plan Maintenance Summary"](#)

### 2.1 Standing Instructions Detail

This section contains the following topics:

- [Section 2.1.1, "Invoking FCIS Standing Instructions Detail Screen"](#)
- [Section 2.1.2, "SI Basic Info Tab"](#)
- [Section 2.1.3, "SI Fund Info Tab"](#)
- [Section 2.1.4, "SI Intermediary Tab "](#)
- [Section 2.1.5, "SI Payment Tab"](#)
- [Section 2.1.6, "SI Delivery Details Tab"](#)
- [Section 2.1.7, "SI Bank Details Tab"](#)
- [Section 2.1.8, "SI Routing Details Tab"](#)
- [Section 2.1.9, "Additional Information Tab"](#)

#### 2.1.1 Invoking FCIS Standing Instructions Detail Screen

To enter a standing instruction for an investor into the system, you must capture the details of the instruction in the 'FCIS Standing Instructions Detail' screen. You can invoke this screen by typing 'UTDSIN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

---

#### Note

You can enter details regarding standing instructions provided you have checked the 'Allow Systematic Plans' Option in the Transaction Processing Rules screen.

---

In this screen, you must capture the following details for the instruction, as given by the investor:

- The unit holder ID of the investor that is requesting the standing instruction.
- The description of the standing instruction.
- The level at which you are entering the standing instruction; plan level or fund level.
- If you have chosen Plan Level, indicate the funds in which the transactions resulting from the standing instruction would be put through, in the investor's account. However, if you are entering the standing instructions for a single fund then indicate the SI Level as fund Level and indicate the fund in which the transactions resulting from the standing instruction would be put through, in the investor's account.
- At this stage, all the fields will be available in the screen.
- The type of transaction that would result when the standing instruction is processed.
- Whether the processing of the standing instruction must result in the generation of authorized transactions in the investor's account.
- The mode in which the resulting transaction of the specified type must be accepted.
- The currency for the resulting transaction.
- The value of the transaction, to be reckoned in the preferred mode.
- Whether the loads for the resulting transactions must be applied on a gross basis or net basis.
- The brokers, if any, identified for the transactions, with their appropriate split percentages.
- For certificate option funds and scrip-based funds, the certificate details.
- The start and end dates that signify the period during which the standing instruction must be processed, at the specified frequency.
- The frequency at which the standing instructions must be processed, during the defined period.
- The period, in days, during which reminders must be generated for the standing instruction.
- The details of any desired escalation in transaction values.
- The details of payment, if any, for the transactions.
- Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

After you specify all these details, click 'Ok' button. The record of the instruction is saved and the Standing Instructions Number is generated and displayed to you, for future reference.

If a transaction type has been suspended for the fund you have selected, standing instructions related to the fund for that transaction are also suspended. The system, however, allows you to maintain exceptions for which the suspension will not be applicable.

The transaction date will be derived based on the application received date and time recorded at the transaction level.

For switch in transaction, the application received date and time stamp recorded at switch transaction will be considered.

The process of saving standard instructions, if suspension rules and exemptions have been maintained, is as follows:

- At the time of saving, the system checks if a suspension rule applies for the given fund and transaction type selected for the SI.

- If suspension is applicable, then system would check if reference type applicable for standing instruction (reference type for standing instruction 41) is exempt from the suspension rule.
- If the reference type is exempt from the suspension rule, then system checks the value of field 'Suspension applicability for SI'.
- If the value is 'N' (New) or 'B' (Both), the system allows the save. Else, it displays the following error message as "Transaction Type is Suspended".
- For more details on maintaining exceptions for suspended transactions, please refer the chapter 'Setting Up Fund Rules (II)'

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Standing Instruction screen.

## 2.1.2 SI Basic Info Tab

The system retrieves the name of the selected unit holder and displays it alongside this field when you click the Validate link.

Click 'SI Basic Info' tab to enter the details.

## **Client Information Section**

In this section, specify the details of the CIF Account or the investor that has requested for the standing instruction.

To retrieve a CIF Account number or a unit holder number, click Find.

### **Unit Holder ID**

*Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder for whom the standing instruction request is being entered. The system retrieves the name of the selected unit holder and displays it alongside this field, when you click the Validate link.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in this field. You can make your choice from this list.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

### **Unitholder Name**

The system retrieves the name of the selected unit holder and displays it alongside this field, when you click the Validate link.

### **CIF Number**

*Display*

The system displays the CIF number.

This section is not applicable to any other transaction type other than transfer.

### **To Unit Holder ID and To Unitholder Name**

*Display*

The system displays the unit holder ID and Name.

### **To CIF Number**

*Display*

The system displays the To CIF number.

## **SI Details Section**

In this section, capture all details pertaining to the standing instruction itself.

### **SI Number**

*System Generated Information*

This is a unique identifier that is given to each standing instruction by the system, for all future reference.

This number is generated automatically by the system when you have entered all the mandatory information for the standing instruction in this screen, and saved it.

### **Description**

*255 Character Maximum, Alphanumeric, Optional*

Narrate a brief description of the standing instruction. This description could typically be indicative of the nature and impact of the standing instructions.



## SI Level

*Alphanumeric, Optional*

Select the option 'Fund Level' if the standing instruction is applicable for an individual fund. Else, select 'Plan Level' to indicate that the standing instruction is applicable for a savings plan.

By default, the SI level will be Fund level.

---

### Note

Depending on SI Level that you select, certain fields will be displayed.

---

## KIID Compliant

Select if the standing instruction is KIID compliant or not from the drop-down list. Following are the options available:

- Yes
- No

If SI is maintained for a single fund, then for the UH and Fund selected, the system will default 'Yes/No' value based on UH level mapping. In case the fund is selected is a non UCITS fund or if there is SI maintained for multiple funds at SI Fund Info tab, then this field will be blank.

In case there is no UH mapping for the UCITS fund selected, the system will default the value to 'No'. While saving this record, then the system will display an error message as 'The Unit holder has not received the KIID'

If the field is set to 'Yes', then the UH will receive the KIID. These entries where the KIID compliant is made as 'Yes' during maintenance will be available as part of 'UCITS-KIID Received SI Report'.

## SI Status

After a standing instruction is authorized, it could be:

- Active: This means that the instruction is still being processed, and transactions have been put through.
- Paused: This means that the authorized instruction record exists in the database, but no processing is taking place in respect of the same.
- Cancelled: This means that the instruction has been annulled and no processing is scheduled to take place in respect of the same.

## Fund ID

*6 Character Maximum, Alphanumeric, Mandatory*

Select the fund in which any transactions resulting from the standing instruction must be put through. When you specify the fund, the ISIN Code of the fund is displayed in the ISIN Code field along with the fund name.

---

### Note

This field will be displayed only if the SI level is 'Fund Level'.

---

## Plan Code

*Alphanumeric, Mandatory*

Select the plan for which the standing instruction will be applicable. Any transactions resulting from the standing instruction will be put through in the funds maintained in the plan. When you specify the plan, the description of the plan is displayed alongside.

---

### Note

This field will be displayed only if the SI level is 'Plan Level'.

---

## No. Of Consecutive Payment Rejections

*Display*

Displays the number of times the SI payments have been consecutively rejected. As and when the payment is rejected, the count is incremented by one and it is reset to zero when a payment is successful.

The standing instruction status will be set to 'Cancel, if the number of payment rejected is more than the SI payment rejections allowed. In this case the further SI transactions will not be generated.

## No. Of Cumulative Payment Rejections

*Display*

Displays the total number of times the SI payments have been so far rejected. As and when the payment is rejected, the count is incremented by one.

The standing instruction status will be set to 'Cancel, if the number of payments rejected is more than or equal to the SI payment rejections allowed. In this case the further SI transactions will not be generated.

## Description

*Display*

This field displays the reason for rejection of the SI payments.

## SI Auto-Termination Cumulative Counter

*Optional*

Specify the maximum number of times the SI payment rejections are allowed before the auto termination. If you have not maintained any value, then on saving/modifying the SI transaction, the system defaults the value maintained at the 'Plan Maintenance' screen, if the SI level is 'Plan'. Similarly, if the SI level is 'Fund', then the system defaults the value maintained in the 'Transaction Processing Rule – Detail' screen. However, the value available here is considered for auto termination of the standing instruction.

If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment and the SI status maintained as 'Cancel'. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected.

---

### Note

After automatically terminating the SI, the system will set the description for the SI to 'Cancelled due to exceeding cumulative payment rejections'.

---

## Transaction Category

### *Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

## SI Auto Termination Consecutive Counter

### *Optional*

Specify the maximum number of times consecutive SI payment rejections are allowed before the SI is automatically terminated. If you have not maintained any value, then on saving/modifying the SI transaction, the system defaults the value maintained at the 'Plan Maintenance' screen, if the SI level is 'Plan'. Similarly, if the SI level is 'Fund', then the system defaults the value maintained in the 'Transaction Processing Rule – Detail' screen. However, the value available here is considered for auto termination of the standing instruction.

If you set this counter to zero, then the SI is cancelled on the very first rejection of the payment. If there is no value maintained, then the SI will not be automatically terminated if the payment is rejected.

---

### **Note**

After automatically terminating the SI, the system will set the description for the SI to 'Cancelled due to exceeding consecutive payment rejections'.

---

## No. of SI Transactions Generated

### *Display*

The system displays the number of SI transactions generated for the fund/plan. If this value is found to be equal to the limit set for the fund (in 'Fixed No of SI Installments' field in the Transaction Processing Rules) and the SI Level is 'Fund', then the SI will be cancelled. Similarly, where the SI Level is 'Plan', an SI will be cancelled if the number of SI transactions generated is found to be equal to the 'Fixed no of SI installments' for any of the funds under that plan".

In both cases, after cancelling the SI, the system will update the SI Status to 'Cancel' and the SI Description field to 'Cancelled due to exceeding number of maximum transactions allowed'.

## Default Intermediary

Click 'Default Details' button to capture the remaining details for the standing instruction, if any. These details could include:

- Details of transactions that could result when the standing instruction is processed.
- Details of any brokers identified for the transactions.
- Details of the instructions given for the transactions.
- Details of any escalation for the standing instruction.
- Details of any payment made for the processing of standing instructions.

The Standing Instructions Other Details screen is opened when you click this link.

## Transaction Details

In this section, specify the details of any transactions that would result when the standing instruction is processed in the system.

## Transaction Type

*Mandatory*

From the list, select the type of transaction that must be generated when the standing instruction is processed.

Standing instructions can be processed for the following transaction types – IPO, Subscription, Redemption, Switch From and Transfer.

If you select the option 'Switch From', the following fields will be displayed:

- To Fund ID
- To ISIN
- Phase In
- Phase In Type

These fields have been explained later in this User Manual.

---

### Note

If you have chosen Plan Level as the SI level then the transaction type is defaulted as 'Subscription'. You will not be allowed to change this.

---

## Transaction Currency

*Alphanumeric, Mandatory*

From the list, select the currency in which the transactions generated in respect of the standing instruction will be processed. In case, the unit holder does not have an account for the transaction currency, you can choose the multi-currency account in SI Bank Details screen – if the mode of payment is 'Transfer' and payment type is 'Self'.

## Gross or Net

*Mandatory*

Specify whether the transaction is a gross or net transaction.

---

### Note

If you have chosen Plan Level as the SI level then this field defaulted as 'Gross'. You will not be allowed to change this.

---

## Currency Description

*Display Only*

The system displays the currency name of the specified SI Transaction Currency based on the details maintained at 'Currency Maintenance' level.

## Transaction Mode

*Alphanumeric, Mandatory*

Indicate the mode in which the transaction value is to be reckoned, for transactions generated in respect of processing of the standing instruction. The mode you choose could either be Amount, Units or Percentage (of holdings).

---

### Note

If you have chosen Plan Level as the SI level then the transaction mode is defaulted as 'Amount'. You will not be allowed to change this.

---

### **First Generation Date**

*Date, Optional*

Enter a date on which the system should a transaction apart from generating on the Standard Instruction start date. This date should be lesser than the Standard Instruction start date and Greater than or equal to the application date.

The date specified here cannot be edited or amended once you save the transaction.

### **Amount**

Indicate the value of the transaction that is to be generated in respect of the instruction, whether an amount, number of units, or a percentage of holdings.

If you specify an amount or a number of units in this field, the value must always be within the Minimum, Maximum and Step Transaction Amount or Units ranges specified for the relevant transaction for standing instructions in the Transaction Processing Rules, and the amount or units specified for the investor category to which the selected unit holder belongs, in the fund Investor Category Limits.

### **Generate Auth Txns**

*Optional*

Select the option Yes/No from drop-down list to indicate whether authorized/unauthorized transactions generates when the standing instruction is processed

This specification is applicable and enabled only for scrip-less funds, and for funds in which the Aging Policy is based on Transaction Receipts (from the Transaction Processing Rules for the fund). This option is not applicable for certificate-option funds in which the unit holder has requested for certificates.

### **Delivery Option**

Select the delivery option from the drop down list.

### **Phase In**

The 'Phase In' field is enabled only if the 'Transaction Type' field is set to 'Switch'.

Select 'Yes', if you want the system to allow Multiple Fund Transfer, i.e. moving fund amount from many funds to another.

The 'Phase In' switch feature is generally used by the Investment Frontiers. You would not be able to capture the ratio from these funds as these would be phased out in same number of occurrences. For example, if Fund1 is phased in to Fund3 and Fund4 with Phase occurrence of 5, say, after 2 occurrences, the investor cannot phase in to Fund 5 and Fund 6, as the process will be duplicated.

---

### **Note**

The following points need to be considered:

- If a particular date a phase-in has been scheduled is a holiday the transaction will be generated on the next working day.
  - If the 'From' and the 'To' funds belong to two different AMC's the switch will be considered a normal switch and not a pseudo switch.
  - Many to Many Funds feature will not be supported for the following:
    - Pensions
    - Unit Trust Standing Instructions
-

**Example**

An investor John wants to invest amount 3000 on Funds, say FUND1 and FUND2. He has set 'Phase In Occurrences' to 5, and frequency as Monthly, i.e., the fund will be divided into 5 units on monthly basis.

'To Fund Ratio' has been set to 50%, i.e., FUND1 is equally divided into FUND 3 and FUND4. Similarly, FUND 2 is also equally divided into FUND3 and FUND4.

This is displayed in the table as shown:

From Funds	To Funds	To Fund Ratio
FUND1	FUND3	50%
FUND2	FUND4	50%

Unit balances can be set for every month manually shown as follows:

Month	Fund	Units
1 <sup>st</sup>	FUND1	1000
	FUND2	2000
2 <sup>nd</sup>	FUND1	850
	FUND2	1700
3 <sup>rd</sup>	FUND1	630
	FUND2	1260
4 <sup>th</sup>	FUND1	450
	FUND2	850
5 <sup>th</sup>	FUND1	250
	FUND2	500

For the first month, the phase occurrence value is 5. The unit for the first month for FUND1 is  $1000/5 = 200$  and for FUND2 is  $2000/5 = 400$ . Similarly, for second month, the unit for FUND1 is  $850/4 = 212.5$  and for FUND2 is  $1700/4 = 425$  and so on.

The unit details for 5 phase occurrences are as shown in the table:

Policy SI Details				Fund Split Details		
Ref No	Month	Mode	Value	Fund	Units	Remaining Occurrences
Ref 1	1	Units	0	FUND1	200	5
				FUND2	400	
Ref 2	2	Units	0	FUND1	212.5	4
				FUND2	425	
Ref 3	3	Units	0	FUND1	210	3
				FUND2	420	

Policy SI Details				Fund Split Details		
Ref No	Month	Mode	Value	Fund	Units	Remaining Occurrences
Ref 4	4	Units	0	FUND1	225	2
				FUND2	425	
Ref 5	5	Units	0	FUND1	250	1
				FUND2	500	

Since the 'To Fund Ratio' is set to 50%, the units obtained in the above table are equally divided into FUND3 and FUND4.

The Unit Transaction details are as shown in the table below:

Ref No	Month	From Fund	To Fund	Units
SW1	1	FUND1	FUND3	100
SW2		FUND1	FUND4	100
SW3		FUND2	FUND3	200
SW4		FUND2	FUND4	200
SW5	2	FUND1	FUND3	106.25
SW6		FUND1	FUND4	106.25
SW7		FUND2	FUND3	212.5
SW8		FUND2	FUND4	212.5
SW9	3	FUND1	FUND3	105
SW10		FUND1	FUND4	105
SW11		FUND2	FUND3	210
SW12		FUND2	FUND4	210
SW13	4	FUND1	FUND3	112.5
SW14		FUND1	FUND4	112.5
SW15		FUND2	FUND3	212.5
SW16		FUND2	FUND4	212.5
SW17	5	FUND1	FUND3	125
SW18		FUND1	FUND4	125
SW19		FUND2	FUND3	250
SW20		FUND2	FUND4	250

## Phase In Type

*Mandatory if the 'Transaction Type' is 'Switch'*

Selecting the 'Phase In Type' to 'Holdings', the system will switch out the fund holdings within the specified number of occurrences to the selected fund.

## To Fund ID

Select the fund to which the selected unit holder has requested to switch the investment. If you specify the code of a fund, the ISIN Code of the fund is displayed in the To ISIN field.

## Fund Name

*Display Only*

The system displays the fund name of the specified 'To Fund ID' based on the details maintained at 'Fund Rule Maintenance' level.

## Certificates Required?

*Optional*

For funds that have the certificate option as specified in the Shares Characteristics rules, specify whether the selected unit holder has requested certificates for the standing instruction transaction. If yes, then choose the Yes option in this field, and specify the number of certificates requested in the Number of Certificates field.

## Single Certificate?

*Mandatory only if you have chosen the 'Yes' option in the Certificate Required field.*

Select the denomination of certificates, whether single or multiple, that will be involved in the transaction, if certificates have been requested.

- For IPO and subscription, specify whether the unit holder has requested a single certificate or multiple certificates.
- For redemption, switch and transfer, specify whether a single certificate or multiple certificates are being redeemed, switched or transferred. For transfer transactions, specify whether the transferee unit holder has requested single or multiple certificates.

If you choose the 'Multiple' option in this field, then the certificates involved in the transaction will be reckoned in denominations governed by the maximum and minimum certificate denominations specified for the fund in the Shares Characteristics rule.

## From Issued Balances

*Optional*

Select 'Yes' from the adjoining option list, if you need to process transactions from issued balances. The system defaults the value as 'No'.

## Campaign Code

*Optional*

You can link the campaign to the subscription and switch transaction type of standing instruction. Specify the campaign to be mapped. You can also select the campaign code from the option list. The campaign codes with the start and the end date in between the first payment date or the SI generation date (if the first payment date is not mentioned) is displayed in the option list.

---

### Note

- You can edit the campaign code but cannot amend it if there is even a single transaction already generated due to this SI.
- The system will not validate that the selected campaign code is linked to the unit holder or not.



- The system will not validate that the selected campaign code is linked to the selected funds or not.
  - The system will not consider the campaign code attached to the SI if the campaign code end date is passed before the transaction generation. In this case, you have to manually amend the campaign code and extend the end date.
- 

## **Dates and Reminders Section**

In this section, specify the period during which the standing instruction is to be processed for the unit holder, as well as the frequency at which it must be processed.

### **SI Start Date DD/MM/YYYY**

*Date, Mandatory*

Specify the date on and following which the standing instruction must be processed, at the defined frequency. You can select the date using the system provided calendar.

### **SI End Date DD/MM/YYYY**

*Date, Mandatory*

Specify the date until which the standing instructions must be processed, at the defined frequency. You can select the date using the system provided calendar.

### **Frequency**

*Alphanumeric, Mandatory*

From the list, select the frequency at which the standing instruction must be processed, within the period defined between the start and end dates.

---

#### **Note**

If the SI Cut-Off Day function is applicable for this installation, it will be effective only if the frequency specified in this field is 'monthly' or higher.

---

### **Reminder Period**

*3 Characters Maximum, Numeric, Mandatory*

Enter a value in days to specify the requirement of reminder before the processing of the standing instruction.

### **Last Processed DD/MM/YYYY**

*Date, Optional*

The system displays the date when this standing instruction was last processed. For a new standing instruction, this field will be blank.

### **Reminder Before Action?**

*Mandatory*

If you select the option as 'Yes', then the Unit Holder will be intimidated before SI generation

### **No. Of SI Transactions**

Specify the number of SI transactions for Monthly, Quarterly, Half yearly and Yearly frequencies.

## **Escalation Details Section**

Unit holders may need to have the values of transactions generated for a standing instruction to be escalated at a pre-defined frequency. This is known as escalation.

Escalation is possible only for certain transaction types like IPO and subscription.

You can capture the details pertaining to any such desired escalation in the Escalation Details section.

**Escalation Start Date**

*Date, Optional*

Specify the date on which the escalation of the instruction will begin. This date has to be later than the SI Start date, but earlier than the SI End Date.

**Escalation End Date**

*Date, Optional*

Specify the date on which the escalation of the instruction will cease. This date has to be later than the SI Escalation Start Date, but earlier than the SI End Date.

**Escalation Frequency**

*Alphanumeric, Optional*

Specify the frequency at which the escalation is to take place. You can select the desired frequency format from the drop down list.

The escalation frequency must always be greater than or equal to the standing instruction frequency.

**Escalation Type**

*Alphanumeric, Optional*

Specify whether the escalation is an amount/units-based escalation or a percentage escalation. Select the desired type from the drop down list.

**Next Escalation Date**

*Date, Optional*

This is the date on which the next escalation will take place. It is updated by the system based on the standing instructions start date and the escalation frequency in the case of a new record. For records retrieved in the Amend mode, this date may be altered in the amend session. If this date is overridden manually, then next escalation will take place on the date amended by the user. If Next Escalation Date is updated, then this field given priority over Escalation Start Date

---

**Note**

If escalation is requested, then you must specify ALL the details in this section as mandatory information, to enable the system to process the escalation.

---

**Escalation Value**

*Optional*

Enter the value by which the standing instruction transaction value must be escalated.

### 2.1.3 SI Fund Info Tab

This section is displayed only if the SI level is 'Plan Level'. In this section, specify the details of all the funds in which any transactions that would result when the standing instruction is processed in the system will be put through.

The screenshot shows the 'FCIS Standing Instructions Detail' window with the 'SI Fund Info' tab selected. The window has a 'Save' button at the top left. Below the tab bar, the 'SI Fund Details' section contains a table with the following columns: Fund ID, Fund Name, From Issued Balances, Certificate Required?, Single Certificate?, Minimum Holding Check Required?, and Price Basis. The first row of the table is highlighted in blue and contains the following values: a checked checkbox, a magnifying glass icon, an empty Fund Name field, a 'No' dropdown for From Issued Balances, a 'No' dropdown for Certificate Required?, a 'No' dropdown for Single Certificate?, a 'No' dropdown for Minimum Holding Check Required?, and a magnifying glass icon for Price Basis. The bottom of the window shows a status bar with fields for Input by, Authorized by, DateTime (10/24/2016 10:54:21), Mod No, Open, Authorized, Unauthorized, and a 'Cancel' button.

Fund ID	Fund Name	From Issued Balances	Certificate Required?	Single Certificate?	Minimum Holding Check Required?	Price Basis
<input checked="" type="checkbox"/>		No	No	No	No	

#### Fund ID

*6 Character Maximum, Alphanumeric, Mandatory*

Select the fund in which any transactions resulting from the standing instruction must be put through. When you specify the fund, name of the fund is displayed in the Fund Name field. The option list displays all the funds that are mapped to the savings plan.

#### From Issued Balances

You can select 'Yes' to set 'From Issued Balances'. Else, select 'No'.

#### Certificate Required?

*Optional*

For funds that have the certificate option as specified in the Shares Characteristics rules, specify whether the selected unit holder has requested certificates for the standing instruction transaction. If yes, then choose the Yes option in this field, and specify the number of certificates requested in the Number of Certificates field.

#### Single Certificate?

*Mandatory only if you have chosen the 'Yes' option in the Certificate Required field.*

Select the denomination of certificates, whether single or multiple, that will be involved in the subscription transaction, if certificates have been requested.

## **Minimum Holding Check Required?**

*Optional*

You can use this field to indicate whether the system must perform the minimum holdings validation when the subscription transactions in respect of the standing instruction are generated.

If this option is selected for a standing instruction, the system validates that the current holdings of the investor either equal or exceed the minimum holdings value specified in the Limit for Standing Instructions defined for the fund, when the subscription transactions in respect of the standing instruction are generated.

This specification can be maintained only if the Minimum Holdings Check has been indicated as applicable for the fund for which the standing instructions are being entered.

## **Price Basis**

*Alphanumeric, Mandatory*

The default price basis defined in the Distributor Price Basis Setup, if any, for the fund, transaction type, distributor and investment account type involved in the standing instruction, is displayed in this field.

If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the fund and transaction type for the instruction, from the fund rules, is displayed here.

## **Contribution Percentage**

*Numeric, Optional*

Indicate the percentage of holdings of the transaction that is to be generated in respect of the instruction.

## **Contribution Amount**

*Numeric, Mandatory*

Indicate the value of the contribution of the investor for the subscription transaction that is to be generated in respect of the instruction.

---

### **Note**

The amount specified here should be greater than or equal to the minimum contribution amount specified for the savings plan. The sum of the contribution amount for all funds must be equal to the transaction value.

---

## **Contribution Percentage**

*Numeric, Optional*

Indicate the percentage of holdings of the transaction that is to be generated in respect of the instruction.

## **KIID Compliant**

*Optional*

Select if the Standing Instruction is KIID compliant or not from the drop-down list. Following are the options available:

- Yes
- No
- Blank

Based on Fund and UH selected, the system will default 'Yes', 'No', 'Blank' values in multiple record. In case, there is no UH mapping for the UCITS fund selected, the system will default the value to 'No'. While saving this record, the system will display an error message as 'The Unit holder has not received the KIID for the fund'.

In case of multiple funds, the system will show the error message listing all the fund ID, if the KIID field is set to 'No'. If you select 'Yes', then the UH will be received to KIID. These entries where the KIID Compliant is made as Yes during maintenance will be available as part of UCITS-KIID Received SI report. The transaction generated by the system will log all the transactions in the -KIID Received override report until the UH- UCITS fund mapping is complete for that Unit Holder.

## 2.1.4 SI Intermediary Tab

In this section, specify any brokers that are to be deemed as applicable for the transactions generated for the standing instruction.

Any identified brokers for the selected unit holder are displayed here, from the unit holder account profile, along with the parent brokers and the split percentages. You can alter this list, or add to it.

The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.

If brokers are designated as mandatory for the fund in which the standing instruction transactions are to be put through, you must specify at least one broker in this section, s mandatory information. Click 'SI Intermediary' tab to enter the details.

The screenshot shows the 'FCIS Standing Instructions Detail' window with the 'SI Intermediary' tab selected. The window has a 'Save' button at the top left. Below the tabs, the 'SI Intermediary Details' section is visible. It includes a table with columns: 'Entity Type', 'Broker/Intermediary', 'Entity Name', and 'Split Percentage'. The table has one row with 'Not Selected' in the 'Entity Type' column and a search icon in the 'Broker/Intermediary' column. At the bottom, there is a footer section with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized Unauthorized', along with a 'Cancel' button.

Entity Type	Broker/Intermediary	Entity Name	Split Percentage
Not Selected			

Input by: \_\_\_\_\_ DateTime: 10/24/2016 10:54:21 Mod No: \_\_\_\_\_ Open: \_\_\_\_\_  
 Authorized by: \_\_\_\_\_ DateTime: \_\_\_\_\_ Authorized Unauthorized: \_\_\_\_\_ Cancel

*Mandatory*

**Broker/ Intermediary**

You can also select the broker preferred by the investor from the list, and the corresponding information regarding the Intermediary and Parent Broker Name will automatically be populated in the adjoining fields on selection of the Broker Name.

*Percentage Format, Mandatory for each selected broker code*

The split percentages that you specify for all brokers you choose for the transactions must sum up exactly to one hundred percent.

*Optional*

Select the From or To leg from the drop down.

Details of the checks used to pay for the standing instructions can be captured here. Click 'SI Payment' to enter the details.

FCIS Standing Instructions Detail

Save

SI Basic Info

SI Fund Info

SI Intermediary

SI Payment

SI Delivery Details

SI Bank Details

SI Routing Details

Additional Information

Populate Check Details

SI Check Payment Details

1 of 1

Go

+ - ☰

<input checked="" type="checkbox"/>	Check Number	Payment Date	Processed
<input checked="" type="checkbox"/>		MMDDYYYY	No

Input by

Authorized by

Date/Time

10/24/2016 10:54:21

Mod No

Open

Authorized

Unauthorized

Cancel

In this screen, click the 'Populate Check Details' button. The system will display the 'Check Details' screen where you can fill in the relevant details.

The screenshot shows a dialog box titled 'FCIS Standing Instructions Detail' with a sub-header 'Check Details'. Inside the dialog, there are three input fields: 'Starting Check Number', 'Number Of Check Leaves', and 'Check Start Date'. The 'Check Start Date' field is pre-filled with 'MM/DD/YYYY' and has a calendar icon to its right. At the bottom right of the dialog, there are two buttons: 'Ok' and 'Cancel'.

Specify the following in this screen:

**Starting Check Number**

Specify the check number of the starting check used for the standing instruction.

**No. of Check Leaves**

Specify the number of checks that will be used for the standing instruction.

**Check Start Date**

Specify the date for the starting check.

After you enter the requisite details and click 'OK'. The system will display the check number and check date for all checks in the range i.e. from the starting check till the last check (starting check number + no of check leaves -1) in the 'SI Check Payment Details' pane in the 'SI Payments' tab . The check dates will be derived from the 'Check Start Date' and the Standing Instruction frequency. If the frequency has not been specified, the dates will not be displayed.

## 2.1.6 SI Delivery Details Tab

The screenshot shows the 'FCIS Standing Instructions Detail' window with the 'SI Delivery Details' tab selected. The window has a 'Save' button at the top left. Below the tab bar, the 'Delivery Details' section contains fields for 'Delivery Type' (a dropdown menu), 'Clearing Agent/Custodian Bank' (with a search icon), 'Account Name', 'Address Type', 'BIC Code', 'Address Line 1', 'Address Line 2', and 'Description'. To the right of these fields are fields for 'IBAN', 'Account Number', 'Bank Name', 'City', 'Country', 'Zip Code', and 'COUNTRY', along with a 'Populate' button. Below the delivery details is a 'Certificate Denominations' section with a table. The table has two columns: 'Certificate Denominations' and 'Certificate Description'. The first row is checked. At the bottom of the window, there is a status bar with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized Unauthorized', and a 'Cancel' button.

Input by	Authorized by	DateTime	Mod No	Open	Authorized Unauthorized
		10/24/2016 10:54:21			

Specify the following SI delivery details:

### **Delivery Details**

#### **Delivery Type**

Indicate the type of delivery from the drop-down list. The options available are:

- Self
- Third Party

#### **IBAN**

Specify the IBAN number.

#### **Clearing Agent/ Custodian Bank**

Specify the clearing agent or custodian bank. The adjoining option list displays the valid clearing agent /custodian bank list. You can choose the appropriate one.

#### **Account Number**

Specify the account number.

#### **Account Name**

Specify the account name.

#### **Bank Name**

Specify the name of the bank.



**Address Type**

Specify the address type.

**City**

Indicate the name of the city.

**BIC Code**

Enter the BIC code.

**Country**

Indicate the name of the country.

**Description**

The system displays the description of the specified country

**Address Line1,2**

Specify the address information in the two lines available.

**Zip Code**

Specify the zip code.

**Certificate Denominations****Certificate Denominations**

Enter the certificate denominations.

**Certificate Description**

Enter a description of the certificate.

**2.1.7 SI Bank Details Tab**

The details of the payments made for the standing instruction transactions can be captured here. This information is only applicable for IPO, Subscription and Redemption transaction types.

Click 'SI Bank Details' tab to enter the details.

SI Basic Info | SI Fund Info | SI Intermediary | SI Payment | SI Delivery Details | **SI Bank Details** | SI Routing Details | Additional Information

**Payment Details**

Mode Of Payment

Payment Type

Payment Mode Description

Payment Branch

Payment Bank Code

Branch Name

Bank Name

**Transfer Details**

Account Type

Account Number

Account Holder Name

IBAN

**Third Party Details**

Third Party Reference

Third Party Address Line 1

Third Party Address Line 2

Third Party Address Line 3

Third Party Address Line 4

Third Party Zip Code

Third Party US State

Third Party Details

BIC Code

Country

Input by  DateTime 11/17/2016 10:12:12 Mod No  Open

Authorized by  DateTime  Authorized Unauthorized

**Cancel**

The following screen shows the SI Bank Details:

The payment details include the following:

- The mode through which the payment is made, either check or transfer
- The type of payment, that is, whether the payment is being made by the unit holder that has requested the transaction or by an external third party.
- The details of the bank and branch of the bank for the payment
- The details of any payment instruments such as checks, the number and date.
- In the case of payment by account transfer, the details of the bank account to which / from which the payment is being made from:
  - The maintained accounts in the Transfer Details option list in case of payment through transfer
  - The accounts in the Payment Bank Account option list in case of payment through cheque

---

#### Note

The system fetches bank accounts based on the payment currency and Mode of Payment (specified in SI bank Details). If the payment currency account is not maintained, you can choose the multi-currency account available.

---

**Mode of Payment**

You can select it as cheque or money transfer.

**Payment Type**

*Alphanumeric, Mandatory*

The payment type refers to whether the payment is being made by the unit holder who has requested for the transaction or by an external third party. Accordingly, select “self” if the payment is being made by the unit holder, and select “third party” if the payment is being made by an external party other than the unit holder.

**Payment Bank Code**

Payment Bank Code is the Bank ID of the Unit Holder.

**Bank Name**

*Display Only*

The system displays the Bank name of the specified payment bank based on the details maintained at ‘Entity Maintenance’ level.

**Payment Branch**

Payment Branch is the branch code of the bank selected.

**Branch Name**

*Display Only*

The system displays the Branch name of the specified payment branch based on the details maintained at ‘Entity Maintenance’ level.

**IBAN**

*40 Characters Only; Alphanumeric; Optional*

Specify the IBAN (International Bank Account Number) of the account holder.

**Transfer Details Section**

*Transfer Details*

**A/c Holder Name**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the name of the holder of the transfer account is displayed here.

**Account Type**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the type of the transfer account is displayed here.

**Account Number**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the account number of the transfer account is displayed here.

**Third Party Details Section**

When you select the ‘Mode of Payment’ as Third Party, you will be able to capture the details pertaining to third party. Following are the fields in the Third Party Details section.

- Third Party Details
- Third Party Address Line 1-4

- Third Party Reference
- Third Party US State
- Country
- Third Party Zip Code
- BIC Code

## 2.1.8 SI Routing Details Tab

The screenshot shows the 'SI Routing Details' tab of the 'FCIS Standing Instructions Detail' form. The form has a header bar with a 'Save' button and a tabbed interface. The tabs are: SI Basic Info, SI Fund Info, SI Intermediary, SI Payment, SI Delivery Details, SI Bank Details, **SI Routing Details** (selected), and Additional Information. Below the tabs, there are two dropdown menus: 'Swift Format' and 'Bank Charged'. The form is divided into several sections: 'Beneficiary Details' with fields for Beneficiary, Beneficiary Add1, Beneficiary Add2, Beneficiary Add3, Beneficiary IBAN, Beneficiary BIC Code, Beneficiary Acct No, Beneficiary Code, and Beneficiary Info; 'Intermediary Details' with fields for Intermediary, Intermediary Add1, Intermediary Add2, Intermediary Add3, Intermediary IBAN, Intermediary BIC Code, Intermediary Acct No, Intermediary Code, and Intermediary Info; 'Further Credit Details' with fields for Further Credit Name and Further Credit Acct No; and 'Reference' with fields for Reference1 and Reference2. At the bottom, there is a status bar with fields for 'Input by', 'DateTime' (10/24/2016 10:54:21), 'Mod No', 'Open', 'Authorized by', and 'Authorized Unauthorized', along with a 'Cancel' button.

You need to maintain the following details:

### Swift Format

*Optional*

At the time of transaction input, the routing details specified here are picked up for the combination of fund, transaction type and transaction currency.

### Bank Charged

*Optional*

Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two.

### Beneficiary Details

#### Beneficiary

Specify beneficiary details.

**Beneficiary Add1,2,3**

Enter beneficiary address. There are three lines available for this information.

**Beneficiary IBAN**

Enter the IBAN account number of the beneficiary.

**Beneficiary BIC Code**

Enter the BIC code of the beneficiary.

**Beneficiary ACC No**

Enter the account number of the beneficiary.

**Beneficiary Code**

Enter the code of the beneficiary.

**Beneficiary Info**

Enter more information about the beneficiary.

**Intermediary Details****Intermediary**

Specify Intermediary details.

**Intermediary Add1,2,3**

Enter Intermediary address. There are three lines available for this information.

**Intermediary IBAN**

Enter the IBAN account number of the intermediary.

**Intermediary BIC Code**

Enter the BIC code of the Intermediary.

**Intermediary ACC No**

Enter the account number of the Intermediary.

**Intermediary Code**

Enter the code of the Intermediary.

**Intermediary Info**

Enter more information about the Intermediary.

**Further Credit details****Further Credit Name**

Specify the further credit name.

**Further Credit Acc No**

Specify the further credit account number.

**Reference****Reference1**

Provide the first reference.

**Reference2**

Provide the second reference.

## 2.1.9 Additional Information Tab

Click 'Additional Details' tab to enter the details.

The screenshot shows the 'FCIS Standing Instructions Detail' window with the 'Additional Information' tab selected. The window has a 'Save' button at the top left. Below the tabs, there is a table titled 'Additional Information Details' with two columns: 'Other Info Field' and 'Field Value'. The table has a 'Go' button and a '1 of 2' indicator. The 'ADDRESS' field is checked and has the value 'BTP'. Other fields like 'CONTACT NUMBER', 'CONTACT PERSON', 'CONTACT PERSON ADDR', 'DATE OF CORRESPONDENCE', and 'INFO1' are unchecked and empty. At the bottom, there is a status bar with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', 'Authorized', 'Unauthorized', and a 'Cancel' button.

Other Info Field	Field Value
<input checked="" type="checkbox"/> ADDRESS	BTP
<input type="checkbox"/> CONTACT NUMBER	
<input type="checkbox"/> CONTACT PERSON	
<input type="checkbox"/> CONTACT PERSON ADDR	
<input type="checkbox"/> DATE OF CORRESPONDENCE	
<input type="checkbox"/> INFO1	

You can specify the following details:

### Other Info Field

*Alphanumeric; 10 Characters; Optional*

Specify any other information, if required.

### Field Value

*Alphanumeric; 8 Characters; Optional*

Specify the field value.

---

### Note

After updating the fields in 'Standing Instruction Details' screen, if 'OK' button is not available in the bottom of the screen, you can use the 'Save' button available on the top of the screen to save the data.

---

## 2.2 Standing Instructions Summary

This section contains the following topics:

- [Section 2.2.1, "Retrieving Standing Instruction in Summary Screen"](#)
- [Section 2.2.2, "Viewing Standing Instruction"](#)
- [Section 2.2.3, "Deleting Standing Instruction"](#)
- [Section 2.2.4, "Authorizing Standing Instruction"](#)
- [Section 2.2.5, "Amending Standing Instruction"](#)
- [Section 2.2.6, "Authorizing Amended Standing Instruction"](#)

### 2.2.1 Retrieving Standing Instruction in Summary Screen

After you have saved a standing instruction record in the Standing Instruction Detail screen, you can perform the following operations:

- Edit the instruction record as many times as necessary before having it authorized. Only the user that has entered the record can edit it.
- Have another user authorize the record.
- Delete the record.

To either edit, authorize or delete an unauthorized standing instruction, use the 'FCIS Standing Instructions Summary' screen. You can invoke this screen by typing 'UTSSIN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Standing Instructions Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

SI Number  Unit Holder ID

Fund ID  Transaction Type

Status  Start Date

End Date  Escalation Start Date

Escalation End Date  Last Processed Date

Agent Code  Gross or Net

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Status	SI Number	Unit Holder ID	Fund ID	Transaction Type	Status	Start Date	End Date	Escalation
------------	------	--------	-----------	----------------	---------	------------------	--------	------------	----------	------------

Find UH | Authorize | Delete | Cancel | Pause

Exit

You can retrieve a previously entered record in the Standing Instructions Summary screen, as follows:

- Specify any or all of the following details in Standing Instructions Summary screen:
- The status of the record in the Authorized field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- The status of the record in the Open field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- The SI Number
- The Unit Holder ID
- The Fund ID
- The Transaction Type
- The Status
- The Start Date
- The End Date
- The Escalation Start Date
- The Escalation End Date
- Last Processed Date
- Agent Code
- Gross or Net

Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by doing query in the following manner:

- Press F7
  - Input the Unit Holder ID.
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

## **2.2.2 Viewing Standing Instruction**

To view a record that you have previously entered, you must retrieve the same in the Standing Instructions Summary screen, as follows:

- Invoke the Standing Instructions Summary Screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click ‘Search’ button. All records with the specified details are retrieved and displayed in the lower portion of the screen.



- Double click the record that you want to view in the list of displayed records. The Standing Instructions Detail screen is displayed in View mode.

### **2.2.3 Deleting Standing Instruction**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Standing Instructions Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Standing Instructions Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **2.2.4 Authorizing Standing Instruction**

An unauthorized Standing Instructions record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Standing Instructions Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Standing Instructions Detail screen is displayed. Select Authorize operation from Action.

When the checker authorizes a record, details of validations, if any, that were overridden by the maker of the record during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### **2.2.5 Amending Standing Instruction**

After a Standing Instructions record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the Standing Instructions Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Standing Instructions in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Standing Instructions Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

#### **Changes during amendment**

During an amendment, you can change any of the following details of a standing instruction:

### **Escalation Details**

The escalation details such as SI Escalation Frequency, Next Escalation Date, Escalation Type and Escalation Value may be amended.

### **Transfer bank details for account transfer payments**

The transfer bank account details can be altered only for those standing instructions for which the Mode of Payment is Transfer.

### **Payment mode and check details**

The Mode of Payment can be amended from Transfer to Check or vice versa during amendment of a standing instruction.

The check details cannot be altered if the checks are still unprocessed.

### **Broker details**

The broker may be altered during amendment.

### **Unit Holder Bank Details**

You can change the bank details of an active standing instruction. If the modified bank are attached to any active Income Distribution Setup (IDS), Standing Instruction Setup or Policy SI (Premiums or Annuities), the system displays a warning message.

### **Cancelling / pausing / reactivating a Standing Instruction**

After a standing instruction is authorized, it could be:

- Active: This means that the instruction is still being processed, and transactions have been put through.
- Paused: The authorized instruction record exists in the database, but no processing is taking place in respect of the same
- Cancelled: The instruction has been annulled and no processing is scheduled to take place in respect of the same

During amendment of an authorized standing instruction in this screen, you can change the status of the record. You can

- Pause an active instruction, by changing the status from Active to Paused in the Instruction Status field. In such a case, all future processing in respect of the instruction will be held back and not put through, till further notice
- Cancel an active instruction, by changing the status from Active to Cancelled in the Instruction Status field. In such a case, the instruction is deemed as annulled, and future processing and scheduling for the same is stopped indefinitely. Once you cancel an active instruction, you cannot make it active again.
- Re-activate a paused instruction, by changing the status from Paused to Active in the Instruction Status field. When you do so, processing for the instruction will begin again.

## **2.2.6 Authorizing Amended Standing Instruction**

An amended Standing Instructions record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

The process of authorization is subsequently the same as that for normal transactions.

## **2.3 Unitholder Deal Summary**

This section contains the following topics:

- [Section 2.3.1, "Retrieving Deals for Investors "](#)
- [Section 2.3.2, "Viewing Deals for Investors "](#)
- [Section 2.3.3, "Deleting Deals for Investors "](#)
- [Section 2.3.4, "Authorizing Deals for Investors"](#)
- [Section 2.3.5, "Amending Deals for Investors"](#)
- [Section 2.3.6, "Authorizing Amended Deals for Investors"](#)
- [Section 2.3.7, "Processing Back Data Propagation for SI Transactions"](#)

### 2.3.1 Retrieving Deals for Investors

You can view the details of all the deals set up for the unit holder in the 'Unitholder Deal Summary' menu. You can invoke this screen by typing 'UTSUHDEL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can retrieve a previously entered record in the Unitholder Deal Summary screen, as follows:

- Specify any or all of the following details in the Unitholder Deal Summary screen:
- The status of the record in the Authorized field. If you choose the "Blank Space" option, then all the record that involves the specified unit holder are retrieved.
- The status of the record in the Open field. If you choose the "Blank Space" option, then all the records that involve the specified unit holder are retrieved.

- The Unit Holder / CIF Number
- The Apply At CIF Level
- The Apply Deal At
- The Load ID

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by doing query in the following manner:

- Press F7
  - Input the Load ID
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Confirm operation by selecting from the Action list.

---

You can also search the record by using combination of % and alphanumeric value.

### **2.3.2 Viewing Deals for Investors**

To view a record that you have previously entered, you must retrieve the same in the Unitholder Deal Summary screen, as follows:

- Invoke the Unitholder Deal Summary Screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The UNITHOLDERDEAL Detail screen is displayed in View mode.

### **2.3.3 Deleting Deals for Investors**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Unitholder Deal Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Unitholder Deal Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### 2.3.4 **Authorizing Deals for Investors**

An unauthorized Unitholder Deal records must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Unitholder Deal Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Unitholder Deal Detail screen is displayed. Select Authorize operation from Action.

When the checker authorizes a record, details of validations, if any, that were overridden by the maker of the record during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### 2.3.5 **Amending Deals for Investors**

After an Unitholder Deal record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the Unitholder Deal Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Unitholder Deal in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Unitholder Deal Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

### 2.3.6 **Authorizing Amended Deals for Investors**

An amended Unitholder Deal record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

The process of authorization is subsequently the same as that for normal transactions.

When you retrieve a deal record for the purpose of amendment in this screen, it is displayed in the UH Deal Setup Detail screen, in Amend mode. All the non-editable field values are displayed as labels, while the editable fields are enabled for data entry changes.

---

#### **Note**

When you make changes to any authorized record in the system database through the amendment operation, the record with the amended information is saved as an unauthorized record in the system. For your amendment changes to be effective, the amended record must be subsequently authorized. When it is authorized, it is saved in the system database as an authorized record with the amendment information, and is effective.

---

You can cancel an existing negotiated deal by changing the status to cancel. When you authorize this change, the deal set up is nullified.

You can invoke the 'Unitholder Deal Maintenance Detail' screen by typing 'UTDUHDEL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The Unit holder deal records matching the search criterion specified is displayed in row lists in the lower grid portion of the screen. From this results list, choose the unit holder deal that you want to view by double clicking on a record. The Unit Holder - Deal Setup screen is invoked in View mode as shown below, where you can view the details of the record.

For further information on this screen, refer *Deals for an investor Section* of the “Setting Up Investor Preferences” chapter.

### 2.3.7 Processing Back Data Propagation for SI Transactions

You can correct erroneous transactions as well as enter those that have been missed out and compute the effect these have on the current holdings of the unit holder through the back data propagation process. To facilitate this propagation process, two schemas are used – the business (or normal) schema and the report schema. You are required to enter the correct data in the business schema for the required transactions and select these for propagation, again from the business schema. The transactions will be simulated in the report schema and the results can be viewed in the business schema.

Refer the chapter ‘Back Data Propagation’ for more details on the back data propagation process.

## 2.4 Plan Maintenance Detail

This section contains the following topic:

- [Section 2.4.1, "Invoking Plan Maintenance Detail Screen"](#)

### 2.4.1 Invoking Plan Maintenance Detail Screen

Templates are particularly useful when you are entering standing instructions for multiple funds with the same characteristics for a unit holder, wherein options and rules are applicable to all funds belonging to the investor.

Use the 'Plan Maintenance Detail' screen to create templates for standing instructions. You can invoke this screen by typing 'UTDRSPM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Plan Maintenance screen.

The screenshot displays the 'Plan Maintenance Detail' application window. At the top, there is a 'Save' button. The main area is divided into four sections: 'Plan Details', 'Contribution Details', 'Bank Details', and 'Fund Details'. The 'Plan Details' section includes fields for 'Plan Code \*' and 'Plan Description \*'. The 'Contribution Details' section includes fields for 'Minimum Contribution Amount \*', 'Contribution Frequency \*', 'Contribution Frequency Description', 'SI Auto-Termination Cumulative Counter', 'SI Auto-Termination Consecutive Counter', 'Contribution Currency \*', 'Currency Name', 'Minimum Contribution Period \*', 'Min Contribution Period Name', and 'Value \*'. The 'Bank Details' section includes fields for 'Bank', 'Branch', 'Account Number', 'Account Name', 'Pay Code', 'Payment Due Date' (with a date picker), 'Branch Name', 'Auto Pay Credit', 'Bank Name', and 'IBAN'. The 'Fund Details' section features a table with columns for 'Fund ID \*', 'Fund Name', and 'Fund ISIN'. The table has a 'Go' button and a '1 of 1' indicator. The bottom of the screen contains a footer with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', along with a 'Cancel' button.

### **2.4.1.1 Plan Details Section**

#### **Plan Code**

*6 Characters Maximum, Alphanumeric, Mandatory*

Provide a unique identification for the new template you are creating, in this field.

#### **Plan Description**

*60 Characters Maximum, Alphanumeric, Mandatory*

Enter descriptive text, a short phrase that qualifies the plan.

### **2.4.1.2 Contribution Details Section**

In this section, specify the period during which the standing instruction is to be processed for the unit holder, the minimum contribution amount, as well as the frequency at which it must be processed.

#### **Minimum Contribution Amount**

*Numeric, Mandatory*

Indicate the minimum value of the transaction amount that is to be generated in respect of the instruction.

#### **Contribution Currency**

*Alphanumeric, Mandatory*

From the list, select the currency in which the transactions generated in respect of the standing instruction will be processed.

#### **Contribution Frequency**

*Alphanumeric, Mandatory*

From the list, select the frequency at which the standing instruction must be processed. The value specified here will be defaulted to all the underlying standing instructions.

#### **SI Auto-Termination Cumulative Counter**

*Optional*

Specify the maximum number of times the SI payment rejections are allowed before the auto termination.

#### **SI Auto Termination Consecutive Counter**

*Optional*

Specify the maximum number of times consecutive SI payment rejections should be allowed before the SI is automatically terminated.

#### **Currency Name**

*Display*

The system displays the currency name.

#### **Minimum Contribution Period**

*Alphanumeric, Mandatory*

From the list, select the unit in which minimum period between the Start Date and End Date of the standing instructions is to be reckoned.

#### **Min Contribution Period Name**

*Display*

The system displays the minimum contribution period name for the selected period.



**Value**

*Numeric, Mandatory*

Specify the value of the minimum contribution period between the Start Date and End Date of the standing instructions.

---

**Note**

Minimum Contribution Period and Value should be proportionate to Contribution Frequency. For example, if the Contribution Frequency is 'Months' then the Minimum Contribution Period and value should be above a month's time.

---

**2.4.1.3 Bank Details Section**

In this section, you specify details of any bank accounts operated for the savings plan.

**Bank**

*Alphanumeric, Optional*

From the list, select the name of the bank in which the account is held.

**Bank Name**

*Display*

The system displays the name of the bank.

**Branch**

*Alphanumeric, Optional*

From the list, select the name of the branch of the bank in which the account is held.

**Branch Name**

*Display*

The system displays the branch name.

**Account Number**

*Alphanumeric, Optional*

Specify the number of the account for the plan in the selected bank.

**Account Name**

*100 Character Maximum, Alphanumeric, Optional*

Specify the name in which the account is maintained for the plan.

**Pay Code**

*Alphanumeric, Optional*

Enter the pay code of the bank in which the account is held.

**Payment Due Date (DD/MM/YYYY)**

*Date Format, Optional*

Specify the date on which the payment is due. The payment date cannot be back dated.

**Auto Pay Credit**

*20 Character Maximum, Alphanumeric, Optional*

Specify the auto pay credit number for the savings plan.

**IBAN**

*40 Characters Only; Alphanumeric; Optional*

Specify the IBAN (International Bank Account Number) of the account holder.

**2.4.1.4 Fund Details Section****Fund ID**

*Alphanumeric; Mandatory*

Select the fund in which the transactions resulting from the standing instruction would be put through, in the investor's account.

You can select multiple funds. However, all the funds should be from the Same AMC (or Agent in the Distributor installation).

**Fund Name**

*Display*

The name of the fund that you select will be displayed.

**FUND ISIN**

*Display*

The Fund ISIN of the fund you have chosen will be displayed.

**Delete**

You can delete a record by clicking delete icon.

---

**Note**

You can check more than one 'Delete' box and then click on the link Delete.

---

After specifying the above details, click 'Ok' button to save the savings plan template.

**2.5 Plan Maintenance Summary**

This section contains the following topics:

- [Section 2.5.1, "Retrieving Savings Plan in Summary screen"](#)
- [Section 2.5.2, "Editing Savings Plan"](#)
- [Section 2.5.3, "Viewing Savings Plan "](#)
- [Section 2.5.4, "Deleting Savings Plan"](#)
- [Section 2.5.5, "Authorizing Savings Plan"](#)
- [Section 2.5.6, "Amending Savings Plan"](#)
- [Section 2.5.7, "Authorizing Amended Savings Plan"](#)

**2.5.1 Retrieving Savings Plan in Summary screen**

To either edit, authorize or delete an unauthorized savings plan, use the 'Plan Maintenance Summary' screen. You can invoke this screen by typing 'UTSRSPM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The following screen is invoked:

Plan Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Plan Code  Plan Description

Contribution Currency  Contribution Frequency

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Status	Plan Code	Plan Description	Contribution Currency	Contribution Frequency	Minimum Contribution Amount
------------	------	--------	-----------	------------------	-----------------------	------------------------	-----------------------------

Authorize | Delete

Exit

You can retrieve a previously entered record in the Plan Maintenance Summary screen, as follows:

- Specify any or all of the following details in the Plan Maintenance Summary screen:
- The status of the transaction in the Authorized field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- The status of the record in the Record Status field. If you choose the “Blank Space” option, then all the records that involve the specified unit holder are retrieved.
- The Plan Code
- The Plan Description
- The Contribution Currency
- The Contribution Frequency

Click ‘Search’ button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### Note

You can also retrieve the individual record detail from the detail screen by doing query in the following manner:

- Press F7
  - Input the Plan Code
  - Press F8
-

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

### **2.5.2 Editing Savings Plan**

You can modify the details of Plan Maintenance parameters that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Plan Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Plan Maintenance Detail screen is displayed.
- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. Plan Maintenance Detail screen is closed and the changes made are reflected in the Plan Maintenance Summary screen.

### **2.5.3 Viewing Savings Plan**

To view a record that you have previously entered, you must retrieve the same in the Plan Maintenance Summary screen, as follows:

- Invoke the Plan Maintenance Summary Screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen, and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Plan Maintenance Detail screen is displayed in View mode.

### **2.5.4 Deleting Savings Plan**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Plan Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Plan Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **2.5.5 Authorizing Savings Plan**

An unauthorized Plan Maintenance record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Plan Maintenance Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Plan Maintenance Detail screen is displayed. Select Authorize operation from Action.

When the checker authorizes a record, details of validations, if any, that were overridden by the maker of the record during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### **2.5.6 Amending Savings Plan**

After a Plan Maintenance record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the Plan Maintenance Summary screen from the Browser.
- Select the status of the record that you wish to retrieve for amendment. You can only amend only authorized records.
- Specify any or all of the details of the Plan Maintenance in the screen. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The Plan Maintenance Detail screen is displayed in Amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

#### **Changes during amendment**

During an amendment, you can change any of the details of the savings plan except the Plan Id and the Plan Description.

### **2.5.7 Authorizing Amended Savings Plan**

An amended Plan Maintenance record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

The process of authorization is subsequently the same as that for normal transactions

---

## 3. IRA Plans

Your AMC may offer investors retirement planning products. An investor who invests in a retirement planning product invests into the underlying funds in the product portfolio.

Under each product, your AMC may offer different patterns of investment. Each such investment pattern is called a plan. It is essentially is an investment into the underlying portfolios of the product, and lays down the guidelines for the desired pattern of investment. A plan inherits the basic attributes defined for the product in which it is purchased.

After you define the different products that you offer to investors, you can accept requests from investors for purchasing or subscribing to plans in the products. An investor can purchase plans in any of the active products defined in the system.

This chapter contains the following section:

- [Section 3.1, "Unit Holders and Unit Holder Accounts"](#)

### 3.1 Unit Holders and Unit Holder Accounts

Any investor who desires to invest in any of the products by purchasing a plan in a product must be a valid unit holder with an account in the system. Therefore, you must set up a unit holder account for such an investor in the system, through the Unitholder menu in the Browser.

You can create policies for both authorized and unauthorized unit holders. If a policy is created for an unauthorized unit holder, the unauthorized account must be authorized before the End of Day process is put through on the date of creation.

For unit holders who wish to invest in IRA plans or retirement plans, you must use a product that has been defined with retirement features.

*For a detailed discussion of the Unit Holder New Account screen, refer the "Managing Investor Accounts"*

---

## 4. Processing Transaction Requests

Transactions are the operations that are requested by investors upon their holdings in any fund, with the prospect of reaping higher returns or distributing their holdings more profitably. To this end, they can enter into any of the following types of transactions:

- IPO
- Purchases (or Subscriptions)
- Sales (or Redemption)
- Switch
- Transfer
- Block
- Unblock
- Consolidation
- Split
- Reissue
- Transaction Enrichment

This chapter enables you to understand how transaction requests are accepted and processed in the FC-IS system. It consists of the following sections:

- Types of Transaction Requests
- Transaction Processing – The flow of events
- Transaction Processing Procedures
- Fields in the Transaction Detail screens
- Fields in the Transaction Summary screens
- Mandatory Information for all transaction types

### **Finding what You Need in this Chapter**

- To understand the different types of transaction requests that may be encountered in an AMC, refer the section Types of Transaction Requests.
- To understand the flow of events according to which transaction requests are accepted and processed in the FC-IS system, refer the section Transaction Processing – The flow of events.
- To understand how to perform any procedures in respect of transaction processing, refer the section Transaction Processing Procedures.
- For a description of all the fields in the Transaction Detail screen, refer the section Fields in the Transaction Detail screens. Similarly, for a description of all fields in the Transaction Summary screen, refer the section Fields in the Transaction Summary screens.
- For an exhaustive list of all mandatory information that you need to capture in the transaction screens, refer the section Mandatory Information for all transaction types.

This chapter contains the following sections:

- [Section 4.1, "Types of Transaction Requests"](#)
- [Section 4.2, "Transaction Processing –Flow of Events"](#)
- [Section 4.3, "Transaction Processing Procedures"](#)
- [Section 4.4, "IPO Subscription Detail"](#)
- [Section 4.5, "IPO Subscription Summary Screen"](#)

- [Section 4.6, "Bulk Transactions"](#)
- [Section 4.7, "Bulk Transaction Summary"](#)
- [Section 4.8, "Subscription Transaction Detail"](#)
- [Section 4.9, "Cancel Transaction Detail"](#)
- [Section 4.10, "Subscription Transaction Summary Screen"](#)
- [Section 4.11, "Redemption Transaction Detail"](#)
- [Section 4.12, "Redemption Transaction Summary"](#)
- [Section 4.13, "Redemption Confirmation"](#)
- [Section 4.14, "Transaction Switch Detail"](#)
- [Section 4.15, "Light Weight Transaction Detail"](#)
- [Section 4.16, "Transaction Switch Summary Screen"](#)
- [Section 4.17, "Transfer Detail"](#)
- [Section 4.18, "Transfer Summary Screen"](#)
- [Section 4.19, "Block Transaction Detail"](#)
- [Section 4.20, "Block Transaction Summary Screen"](#)
- [Section 4.21, "Unblock Transaction Detail"](#)
- [Section 4.22, "Unblock Transaction Summary Screen"](#)
- [Section 4.23, "Split Transaction Detail"](#)
- [Section 4.24, "Split Transaction Summary Screen"](#)
- [Section 4.25, "Consolidation Transaction Detail"](#)
- [Section 4.26, "Consolidation Transaction Summary Screen"](#)
- [Section 4.27, "Reissue Transaction Detail"](#)
- [Section 4.28, "Reissue Transaction Summary Screen"](#)
- [Section 4.29, "Defaulting of Price Date in Transaction Screens"](#)
- [Section 4.30, "Completing Transaction"](#)
- [Section 4.31, "Processing Back Data Propagation for Transactions"](#)

## **4.1 Types of Transaction Requests**

This section contains the following topic:

- [Section 4.1.1, "Types of Transaction Requests"](#)

### **4.1.1 Types of Transaction Requests**

#### **IPO Subscription and Subscription**

When an investor chooses to invest capital into a fund, the investment is typically made by 'buying' units in the fund. This is also known as 'subscribing' into the fund.

The investor can subscribe to a fund either during its Initial Public Offering (IPO) Period, or later. If the subscription is made during the IPO Period, the resulting transaction is an IPO subscription transaction, and the unit price for these transactions is fixed, generally the par value of the units, and not dependent on the prevalent net asset value for the fund.

If the investor's subscription is made after the initial IPO Period, the resulting transaction is known plainly as a subscription transaction, and the unit price for these transactions will vary on a fixed frequency basis, depending upon the prevalent net asset value of the fund.



## **Redemption**

When an investor decides to pull investment out of a fund (or disinvest in a fund), the units held by the investor are sold back to the fund (“redeemed”) at the prevalent Net Asset Value on the date of sale. This kind of a transaction is known as a redemption transaction. An investor can redeem all the holdings (complete redemption) or part of the holdings (partial redemption)

While “redeeming” or selling back units to the fund, the investor recovers the value of the holdings in the fund at that given point in time. It also means that the fund buys back its units from the investor.

An investor can redeem a specified number of units, or a specified amount, or a specified percentage of the holdings in any fund.

The fund may also prompt the investor to partially redeem the holdings under the following circumstances:

- The minimum registered capital has fallen below the minimum limit defined for the fund in the fund rules. In such a case, the redemption transaction is not allocated at all.
- The fund investor category limit falling down to the minimum limit defined for the fund in the fund rules.

Partial redemption may also occur due to other prevailing circumstances.

The AMC can set a limit on the total volume of redemption transactions that would be accepted for a fund on a given business day. The limit could be specified in terms of a percentage or an amount. Redemption transactions that are requested which result in exceeding the limit set for the fund will not be accepted, in such a case.

In the system, if the investor’s balance reduces to zero as an account of a redemption transaction, the investor’s account will be marked as pending closure.

## **Redemption through check writing**

An investor may also request for the check writing facility, for usage of holdings in any of the funds. In such a case, a checkbook is issued to the investor for each fund. The investor may issue checks for payments, to any third party.

When these checks are presented at the specified bank, they are sent to the appropriate clearing house. The bank then sends a file to the AMC, containing used check information from the clearing house.

When the AMC receives details of used checks from the bank, a redemption transaction is initiated in the investor’s account, and units are redeemed in the fund for which the checkbook was issued, to the extent of amount used on each check. No payment details are required for such redemption transactions.

## **Switch**

An investor may choose to “switch” the investment in one fund, to another fund, for any reason. This would mean redeeming the investment in one fund and investing this redeemed capital in the other desired fund. This kind of exchange or switch is called a switch transaction.

In the system, a switch transaction is processed as two separate transactions, the first involving a redemption from the first fund, and the second involving a subscription to the second fund. The switching facility in the system provides for switching either between funds in the same fund family, or between any two funds of the AMC. Switching within the same fund is defined as ‘Bed and Breakfast switch’ (the ‘Switch from’ fund and the ‘Switch to’ fund in a switch transaction is same).

### **Transfer**

An investor may choose to transfer ownership of holdings in any fund to another investor. This kind of a transfer of ownership is called a transfer transaction.

A transfer transaction is different from a switch transaction in the sense that in a transfer transaction, the fund remains the same whereas the unit holder changes.

### **Block / Unblock**

Typically, when lien is noted in respect of an investor's holdings in a fund either in part or entirely, the concerned units are said to be "blocked". These blocked units are subsequently (and temporarily) unavailable to the investor for further transacting. Blocking of units could also occur due to any reason other than lien noting. The process of blocking units is called a block transaction.

To release the blocked units for further transacting, the investor must 'unblock' these units, or the lien must be lifted. This is known as an unblock transaction.

### **Split / Consolidation / Reissue**

In certain funds, the investors receive certificates that are representative of their holdings (investment units) in the fund. These funds are called scrip-based funds. In certain funds, the investors are given units for their investment in the fund, without certificates. These funds are called scrip-less funds.

In certain funds, the investor is given the option of requesting for certificates. If the investor chooses to receive certificates, then the fund furnishes the same. If not, then no certificates are issued. Such funds are termed as certificate-option funds.

In scrip-based funds and certificate option funds where certificates have been requested for, an investor may choose to:

- Split a single certificate into certificates of smaller denominations, resulting in a split transaction.
- Merge many certificates of smaller denominations into a single certificate of their total denomination, resulting in a consolidation transaction.
- Seek a 'reissue' of certificates for reasons of losing a certificate or mutilation of certification etc, resulting in a reissue transaction. In such an event, the reissued certificates are printed with a 'Duplicate' tag on them.

The FCIS system provides the facility to process any of the transaction types enumerated above.

## **4.2 Transaction Processing –Flow of Events**

This section contains the following topics:

- [Section 4.2.1, "Unauthorized Stage"](#)
- [Section 4.2.2, "Authorized Stage"](#)
- [Section 4.2.3, "Amendment Stage"](#)
- [Section 4.2.4, "Allocation of Transactions"](#)

### **4.2.1 Unauthorized Stage**

The transaction is first initiated into the system database when it is entered into the Transaction Detail screen for the required transaction type. In this screen, it is saved as an unauthorized transaction, which means that it is not reflected in the system's financial data stores as yet.

The transaction is given a unique identification called the Transaction Number.

During this unauthorized phase of the transaction, you can edit the details of the transaction as many times as is deemed necessary, using the Edit operation through the Transaction Summary screen. The transaction number is not changed when you edit a transaction.

An unauthorized transaction can only be edited by the user who initiated it into the system.

Due to various reasons, the supervisor can also reject transactions. Any such rejected transaction can also be edited.

## 4.2.2 **Authorized Stage**

When the transaction is authorized, the value of the transaction will be reflected in the system database.

The user who enters the transaction in the system cannot authorize it. A user other than the one that entered the transaction can perform authorization.

When a transaction is authorized, the authorizer must re-key the transaction amount or number of units, which was specified for the transaction during transaction entry. When this is successfully done, the transaction can be authorized.

The events that take place when you authorize a transaction can be understood from the table given below:

<b>Online Allocation facility</b>	<b>Mode of Payment</b>	<b>Check / Credit Card / Transfer allocations on par with cash</b>	<b>Upon Authorization</b>	<b>Allocation of Units</b>
Available	Cash		Confirmed units allocated	Confirmed units allocated upon authorization
Available	Check / Credit Card / Transfer	Available	Provisional Units allocated	Provisional Units allocated upon authorization, confirmed units on the date on which the check / credit card / transfer instrument is cleared in the system
Available	Check / Credit Card / Transfer	Not Available	No allocation at authorization	Confirmed units are allocated only on the date on which the check / credit card / transfer instrument is cleared in the system
Not Available	Cash		Units allocated by End of Day processes on the date of authorization	Units allocated by End of Day processes on the date of authorization

Online Allocation facility	Mode of Payment	Check / Credit Card / Transfer allocations on par with cash	Upon Authorization	Allocation of Units
Not Available	Check / Credit Card / Transfer	Available	Provisional Units allocated by the End of Day processes on the date of authorization	Provisional Units allocated by the End of Day processes on the date of authorization, confirmed units on the date on which the check / credit card / transfer instrument is cleared in the system.
Not Available	Check / Credit Card / Transfer	Not Available	No allocation at authorization	Units allocated by End of Day processes on the date on which the payment instrument is cleared in the system
“*” – as designated in Transaction Processing Rules for the fund				

#### 4.2.3 **Amendment Stage**

After authorization, changes to a transaction request can only be made through an amendment. You can no longer “edit” the transaction through the Transaction Summary screen. You must choose the Amend menu option. Therefore, amendments are operations that you can perform only on authorized transaction records.

The amendment facility is not available for the following types of transactions:

- Unblock

You can amend an authorized transaction:

- Before the units in respect of the transaction have been allocated.
- After the allocation of units in respect of the same
- Within the default amendment period specified in the Defaults Maintenance

Subsequently, the amended transaction must be authorized again for it to be effective. The authorization of an amended transaction can be done only from the Fund Manager module.

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#### **Note**

Once a transaction is amended and the amendment has been subsequently authorized, it cannot be amended again.

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#### 4.2.4 **Allocation of Transactions**

Once a transaction is authorized, the units in respect of it must be allocated to the concerned unit holder. The unit holder’s balance holdings in the system database must reflect the changes due to the acquisition or the sale of units due to the transaction. The allocation processes in the system perform this function.

To understand how allocation is performed, refer to the Allocation chapter in Fund Manager User Manual.

Allocation can be performed in any (or all) of the following three ways:

#### **Online Allocation**

The allocation is performed at the time the transaction is authorized, i.e., simultaneously with authorization. This is true for amended transactions for which the amendment is authorized, too. Online allocation is only possible if it is designated as available in the Transaction Processing Rules for the fund.

#### **Allocation by the End of Day processes**

All transactions that have been entered and authorized on a given business day will be automatically allocated by the End of Day processes that are performed at the installation for that business day.

#### **Allocation through the Menu**

You can also manually trigger the allocation for a transaction through the corresponding menu item in the End of Day menu category in the Fund Manager component.

You can use this facility to perform allocation for transactions involving payment instruments, on the clearing date.

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#### **Note**

If the application is offline, you can capture the transaction through web service only if there is an entry for that function ID entry in 'GWTMS\_ AVAIL OPERATIONS' table.

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## **4.3 Transaction Processing Procedures**

This section contains the following topic:

- [Section 4.3.1, "Requesting Transaction"](#)

### **4.3.1 Requesting Transaction**

Before you enter a transaction request from an investor into the system, ensure that the following details have been taken care of:

- All required static data maintenance for the branch in which you are accepting the transaction must be in place, including the user profiles.
- The investor that is requesting the transaction must be set up as a valid unit holder in the system, with a Unit Holder ID and a unit holder account.

You can accept and process an IPO or subscription transaction request for an unauthorized unit holder.

---

#### **Note**

You can accept redemption, transfer and unblock transaction requests from unit holders whose account is pending closure in the system.

- The funds in which the transaction is requested must be authorized funds that are effective in the system as on the date of the transaction.

- The date and time on which you enter the transaction request into the system must be within the Start and End Dates (and Start and End Times) specified for the requested transaction type, in the Transaction Processing Rules.
- 

### **Maintenance for check writing facility**

For investors using check writing facility, you must ensure that the following have been maintained, before you enter check redemption transactions:

- For each unit holder who requests use of the check writing facility, it must be specified as allowed, in the account profile, either while creating the account or through an information change.
- The check vendors who will print the checkbooks for investors using the check writing facility, as entities in the system, through the Entity Maintenance. The vendors must also be associated with the funds for which they would print the checkbooks.
- In the System Parameters, you must maintain 'MMF Check' as one of the communication modes through which a transaction request can be entered.
- The rules that will govern the processing of the check redemption transactions, for each fund. You maintain these rules in the General Operating Rules for a fund.

*For a detailed description of these rules, refer the chapter 'Setting up Fund Rules', in the Fund Setup User manual.*

- The details of checkbooks requested by unit holders for each fund must be maintained, through the Check Book Request screen.
- Interface definitions that will be used to upload details of used checks from the clearing house, as a bulk file. The upload file contains the number of each check that has been issued, as well as the amount on each check.
- Interface definitions that would be used to export details of checkbook requests from unit holders to the designated check vendors, and to import details of checkbooks printed against requests, from the check vendors.

You define these interfaces using the Interface Definition facility in the system. You can use the Online Execution of Interfaces menu option to execute these interfaces. This option would execute each of the following interfaces that you have defined:

- To export details of checkbooks requested by unit holders to the designated check vendors
- To import details of checkbooks printed by check vendors against requests received
- To trigger automatic generation of check redemption transactions based on the information in the upload file sent by the clearing house or bank. You can also manually enter the redemption transactions in the system, in the Transaction Detail screen for Redemption.

### **Specifying Details for Limit Order Transactions**

You can enter limit order transactions in the same manner as you would a normal subscription transaction (for a buy order) or a normal redemption transaction (for a sell order), in the corresponding transaction input detail screens. In other words, you can enter a buy order in the Subscription Detail screen, and a sell order in the Redemption Detail screen in the same manner as you would normal subscription and redemption transactions. You must, however, specify the options for the limit orders, in each case.

After you have initiated the transactions in the corresponding transaction input screens, the orders would be executed according to the options you have specified, either automatically by the end of day processes (if allowed for the fund) or after manual confirmation is received (if automatic processing is not allowed for the fund)

Limit orders can be executed whenever the desired price is prevalent within a specified period (price-based) or on a specified future date (date based).

### **Specifying Delivery Options**

This feature is only available if your installation has requested for it. To learn how to specify delivery options for a transaction, refer the Annexure.

### **Specifying KYC documents details**

You can maintain KYC lists for the combination of country type and the investor category. You can check the documents received from the investor while processing a transaction.

System allows you to save with the transaction even if the unitholder has not submitted all the required KYC documents. However, you will not be allowed to perform the completion operation on that transaction unless all the required documents have been received from the investor.

*For information on setting up KYC lists, refer the chapter 'Maintaining Reference Information' in Reference Information User manual.*

This feature is only available if your installation has requested for it.

## **4.4 IPO Subscription Detail**

This section contains the following topics:

- [Section 4.4.1, "Invoking IPO Subscription Detail Screen"](#)
- [Section 4.4.2, "UH and Fund Tab"](#)
- [Section 4.4.3, "Transaction Tab"](#)
- [Section 4.4.4, "Other Tab"](#)
- [Section 4.4.5, "Intermediary Tab"](#)
- [Section 4.4.6, "Load Override Tab"](#)
- [Section 4.4.7, "KYC and Document Tab"](#)
- [Section 4.4.8, "Add Info Tab"](#)
- [Section 4.4.9, "Fee Payment Tab"](#)
- [Section 4.4.10, "Certificate Tab"](#)
- [Section 4.4.11, "Limit Order Tab"](#)
- [Section 4.4.12, "Settlement Details Button"](#)
- [Section 4.4.13, "Receipt Detail Button"](#)
- [Section 4.4.14, "Project Allocation Details Button"](#)
- [Section 4.4.15, "Allocation Details Button"](#)
- [Section 4.4.16, "Saving Transaction"](#)
- [Section 4.4.17, "Transaction Processing Logic for Currency of Expression Funds"](#)

### **4.4.1 Invoking IPO Subscription Detail Screen**

Enter an IPO transaction request into the system in the following sequence of events:

Invoke 'FCIS IPO Subscription Detail' screen by typing 'UTDTXN01' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the IPO Subscription transaction.

You can specify the following details:

## **Transaction Information**

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

When you specify the unit holder,

1. The IPO funds in which the specified unit holder can transact are displayed in the Fund Id list of values.
2. The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.



Click 'Find UH' button to open 'Unit Holder Find Options' screen. You can get the Unit holder details by entering the required values in that screen.

**Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Order Received Date**

*Date Format; Optional*

Specify the order received date.

**Transaction Date**

*Date Format; Mandatory*

Specify the order received date.

**Payment Mode**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Payment Mode Description**

*Display*

The system displays the description for the mode of payment selected.

**Transaction Number**

*Display*

The system displays the transaction number.

**Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned.

Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

**Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Order Received Time (HH24:MI)**

*Time Format; Optional*

Specify the order received time.

**Transaction Type**

*Alphanumeric; Mandatory*

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

**Description***Display*

The system displays the description for the selected Transaction type.

**Transaction Category***Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

This field is enabled after you click 'Enrich' button.

**Transaction Value****Transaction Mode***Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units
- Percent

**Units Applied***Display*

The system displays the units applied details.

**Amount Applied***Display*

The system displays the amount applied details.

**Percent Applied***Display*

The system displays the percent applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click 'Reset Transaction' button. Using this option, the system will clear all

the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

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**Note**

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
  - If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled.
-

## Deriving the order received date and time

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012
14:00	14-Oct-2012	15:15	15-Oct-2012

### 4.4.2 UH and Fund Tab

Click UH & Fund tab in FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'UH & Fund' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes Transaction Mode (Amount), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- UH & Fund Tab:** Includes fields for CIF Number (with a 'UH Deal' button), Unit Holder Name (with a 'UH Signature' button), ISIN No, Fund Name, Fund Base Currency, Price Currency, and Currency of Expression Transaction (a dropdown menu).
- Settlement Details:** Includes Receipt Details, Project Allocation Details, and Allocation Details.
- Footer:** Includes Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, Open, and buttons for 'Ok' and 'Cancel'.

Click on the UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

Choose the unit holder deal that you want to view by clicking on the View button alongside the record. The Unit Holder - Deal Setup screen is invoked in View mode, where you can view the details of the record.

The system displays the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

### 4.4.3 Transaction Tab

Click on Transaction tab in the FCIS IPO Subscription Detail screen.

The screenshot displays the 'FCIS IPO Subscription Detail' window with the 'Transaction' tab active. The interface is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (calendar icon), Transaction Date (set to 03/10/2016), Payment Mode (with a magnifying glass icon), Payment Mode Description, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type (with a magnifying glass icon), Description, and Transaction Category (dropdown menu).
- Transaction Value:** Includes Transaction Mode (dropdown), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Bar:** Shows tabs for UH & Fund, Transaction (selected), Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, and Limit Order.
- Additional Fields:** Includes Gross or Net (dropdown), Communication Mode (dropdown, set to Direct (In Person)), Delivery Option (dropdown, set to Investment Account), and a 'Details' button.
- Exchange Rate Details:** Includes Source ID (BLOOMB), Amount Applied, FX Deal Date (calendar icon), Exchange Rate Applied, Override Exchange Rate? (dropdown, set to No), FX Value Date (calendar icon), and a 'Calculate' button.
- Interest Details:** Includes a 'Details' button.
- Settlement Details:** Includes tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details.
- Footer:** Includes fields for Input By, Authorized By, DateTime, Mod No, Authorized (dropdown, set to Open), Unauthorized (dropdown, set to Open), and buttons for 'Ok' and 'Cancel'.

You can specify the following details:

#### Gross or Net

##### Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross

- Net

### **Communication Mode**

#### *Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Delivery Option**

#### *Optional*

Select the delivery option from the drop-down list. The list displays the following values:

- Investment Account
- Clearing Account - Against Payment
- Clearing Account - Free of Payment
- Delivery to Custodian
- Physical Delivery
- PUEV

Clicking 'Details' button, the 'Delivery Details' window will be opened, where in you can enter the following details:

### **Delivery Type**

#### *Optional*

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

### **Address Type**

#### *Alphanumeric; Optional*

Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.

### **BIC Code**

#### *Alphanumeric; Optional*

Specify the BIC code.

### **Address Line 1-2**

#### *Alphanumeric; Optional*

Specify the residing address of the customer.

**City**

*Alphanumeric; Optional*

Specify the residing city code.

**State**

*Alphanumeric; Optional*

Specify the name of the residing state.

**Zip Code**

*Alphanumeric; Optional*

Specify the zip code of the residing area.

**Country**

*Alphanumeric; Optional*

Specify the residing country code.

**Exchange Rate Details****Source ID**

*Alphanumeric; Optional*

Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system.

**Amount Applied**

*Display*

The system displays the amount applied details.

**FX Deal Date**

*Date Format; Optional*

Specify the FX deal date.

**Exchange Rate Applied**

*Display*

The system displays the exchange rate applied details.

**Override Exchange Rate?**

*Optional*

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

**FX Value Date**

*Date Format; Optional*

Specify the FX value date.

**Interest Details****Interest**

*Alphanumeric; Optional*

Specify the interest details.

**Interest (FBC)**

*Alphanumeric; Optional*

Specify the fund base currency interest details.

Clicking 'Details' button, 'Interest Details' window is displayed. You can specify the following details:

**Calculation Type**

*Optional*

Select the calculation type from the drop-down list. The list displays the following values:

- Simple
- Compound

**Amount**

*Numeric; Optional*

Specify the amount details.

**Deposit Date**

*Date Format; Optional*

Specify the deposited date.

**Interest Calc. Days**

*Alphanumeric; Optional*

Specify the calculated interest days.

**Interest Amount**

*Numeric; Optional*

Specify the interest amount.

**Basis Days**

*Optional*

Select the basis days from the drop-down list. The list displays the following values:

- 360
- 365

**Total Interest Amount**

*Alphanumeric; Optional*

Specify the total interest amount details.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.



## 4.4.4 Other Tab

Click on 'Other' tab in the FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'Other' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other (selected), Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Settlement Details:** Includes Settlement Date (MM/DD/YYYY), Remarks, Base Cost, Payment Allowed (dropdown), Auto Clear Reinvestments (No), Dealing Date (MM/DD/YYYY), EUSD Option (Select One), Price Date (MM/DD/YYYY), Campaign Code, and Reversal Code.
- Maturity Details:** Includes Maturity Date (MM/DD/YYYY), Cancel Instruction (dropdown), Auto Clear Provisional Balance (No), Fund Price Basis, Completion Date (MM/DD/YYYY), LOI Transaction (No), CPMF Bonus Percent, CPMF Credit Lag, Lock-In Period for Gain, and KIID Received? (dropdown).
- Footer:** Includes Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized/Unauthorized, Open/Open, and 'Ok'/'Cancel' buttons.

You can specify the following details:

### Settlement Date

*Date Format; Optional*

Specify the settlement date.

### Remarks

*Alphanumeric; Mandatory*

Specify remarks, if any.

### Base Cost

*Numeric; Optional*

Specify the base cost details.

### Payment Allowed

*Optional*

Select if payment allowed is or not from the drop-down list. The list displays the following values:

- Yes

- No

### **Auto Clear Reinvestments**

#### *Optional*

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Dealing Date**

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

*Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund*

### **EUSD Option**

#### *Optional*

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

### **Price Date**

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

### **Campaign Code**

#### *Alphanumeric; Mandatory*

Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.

### **Reversal Code**

#### *Display*

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

## **Maturity Date**

*Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

---

### **Note**

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

---

## **Cancel Instruction**

*Optional*

Select the cancel instruction from the drop-down list. The list displays the following values:

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

### **Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

## **Auto Clear Provisional Balance**

*Optional*

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

## **Fund Price Basis**

*Alphanumeric; Mandatory*

Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.

## **Completion Date**

*Date Format; Optional*

The date on which the transaction is completed.

## **LOI Transaction**

*Optional*

Select the status of LOI transaction

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

## **CPMF Bonus Percent**

*Numeric; Optional*

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section 'Maintaining Fund CPMF Preferences' in the Fund Manager module.

## **CPMF Credit Lag**

*Numeric; Optional*

Indicate the lag for the CPMF bonus to be credited.

## **Lock-in Period for Gain Days**

*Numeric; Optional*

The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified.

---

### **Note**

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

---

## **KIID Received?**

*Mandatory*

Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values:

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

## 4.4.5 Intermediary Tab

Click on 'Intermediary' tab in the FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'Intermediary' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary (selected), Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Transaction Intermediary Details:** A table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and an empty column. The first row is selected, and the 'From' dropdown is visible.
- Settlement Details:** Includes Receipt Details, Project Allocation Details, and Allocation Details.
- Footer:** Includes Input By, Authorized By, DateTime, Mod No, Authorized (Open), Unauthorized (Open), and buttons for 'Ok' and 'Cancel'.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity.

### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

### Entity Name

When you select the broker code, the name of the broker is displayed.

## Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

## Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.4.6 Load Override Tab

Click on 'Load Override' tab in the FCIS IPO Subscription Detail screen.

The screenshot displays the 'FCIS IPO Subscription Detail' window. At the top, there is a 'Save' button. Below it, the 'Transaction Information' section includes fields for Unit Holder ID\*, Fund ID\*, Order Received Date, Transaction Date\* (03/10/2016), Payment Mode\*, and Payment Mode Description. The 'Transaction Value' section includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, Transaction Category, Transaction Mode\* (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons. Below these sections is a tabbed interface with 'Load Override' selected. The 'Load Override Details' table has columns: Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, Change Value, and Projected Return Value. Below this is the 'Derived Load Override Details' table with columns: Load ID, Parent Load ID, Load Description, Change Type, and Change Value. At the bottom, there are tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. The 'Allocation Details' tab is active, showing fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and a status dropdown. 'Ok' and 'Cancel' buttons are at the bottom right.

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

### **Load ID**

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

### **Load Details**

The system displays the load details.

### **Load Description**

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

### **Group ID**

The system displays the group ID.

### **Amount Percent**

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

### **Project Return Value**

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

### **Change Value**

Specify the change value details.

### **Change type**

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

### **Derived Load Override Details**

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

#### 4.4.7 **KYC and Document Tab**

Click on 'KYC and Document' tab in the FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window. The 'KYC And Document' tab is selected. The 'Transaction Information' section includes fields for Unit Holder ID, Fund ID, Order Received Date, Transaction Date (04/20/2016), Payment Mode, and Payment Mode Description. The 'Transaction Value' section includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, Transaction Category, Transaction Mode, Amount, Units Applied, Amount Applied, and Percent Applied. The 'KYC Transaction Details' section has a table with columns: Requested (checkbox), Requirement (dropdown), Received (checkbox), Received Date (calendar), and Tax Document (dropdown). The 'Document Details' section includes Document ID, Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and Time Description. At the bottom, there are fields for Input By, Authorized By, DateTime, Mod No, and buttons for Ok and Cancel.

#### **Requested**

##### *Optional*

Check this box to indicate KYC details are requested.

#### **Requirement**

##### *Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

#### **Received**

##### *Optional*

Check this box to indicate KYC details are received.

#### **Received Date**

##### *Date Format; Optional*

Specify the date on which the documents are received from the investor.



## **Tax Document**

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

## **KYC Received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Document Details**

### **Document ID**

*Alphanumeric; Optional*

Specify the document ID.

### **Document Type**

*Alphanumeric; Optional*

Specify the document type.

### **Type Description**

*Alphanumeric; Optional*

Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

---

### **Note**

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

---

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

## 4.4.8 Add Info Tab

Click on 'Add Info' tab in the FCIS IPO Subscription Detail screen.

The screenshot displays the 'FCIS IPO Subscription Detail' window. At the top, there is a 'Save' button. The main area is divided into two sections: 'Transaction Information' and 'Transaction Value'. The 'Transaction Information' section includes fields for 'Unit Holder ID \*' (with a 'Find UH' button), 'Fund ID \*' (with a magnifying glass icon), 'Order Received Date' (with a calendar icon), 'Transaction Date \*' (set to 03/10/2016 with a calendar icon), 'Payment Mode \*' (with a magnifying glass icon), and 'Payment Mode Description'. The 'Transaction Value' section includes fields for 'Transaction Number', 'Transaction Currency' (with a magnifying glass icon), 'Reference Number', 'Order Received Time (HH24:MI)', 'Transaction Type' (with a magnifying glass icon), 'Description', and 'Transaction Category' (a dropdown menu). Below these fields are buttons for 'Enrich Transaction' and 'Reset Transaction'. A horizontal tab bar is located below the main form, with tabs for 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info' (highlighted in red), 'Fee Payment', 'Certificate', and 'Limit Order'. Below the tabs is a section titled 'Additional Information Details' with a table header showing 'Other Info Field' and 'Field Value'. At the bottom of the window, there is a section for 'Settlement Details', 'Receipt Details', 'Project Allocation Details', and 'Allocation Details'. The bottom right corner contains fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized' (with a dropdown), 'Unauthorized' (with a dropdown), 'Open' (with a dropdown), and 'Open' (with a dropdown), along with 'Ok' and 'Cancel' buttons.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.

## 4.4.9 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'Fee Payment' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID\*, Fund ID\*, Order Received Date, Transaction Date\* (03/10/2016), Payment Mode\*, and Payment Mode Description. There is a 'Find UH' button next to the Fund ID field.
- Transaction Value:** Includes fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, and Description. There is a 'Select' dropdown for Transaction Category.
- Transaction Mode:** Includes a dropdown for Transaction Mode\* (Amount) and fields for Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Fee Calculation:** Includes fields for Fee In Fund Base Currency, Transaction Fee, and Fee Calculation Basis (Fund Base Currency). There is a 'Fee Pay Details' button.
- Navigation and Footer:** At the bottom, there are tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. Below these are fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open. There are 'Ok' and 'Cancel' buttons.

If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

### Fee in Fund Base Currency

*Alphanumeric; Optional*

Specify the fee in fund base currency details.

### Transaction Fee

*Display*

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

### Fee Calculation Basis

*Optional*

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click 'Fee Pay Details' button to specify fee payment details.

You can specify the following values:

**Transaction Fee**

*Numeric; Optional*

Specify the transaction fee.

**Payment Mode**

*Optional*

Select the payment mode from the drop-down list. The list displays the following values:

- Cheque
- Transfer
- Draft
- Card

**Bank**

*Alphanumeric; Optional*

Specify the bank details.

**Branch**

*Alphanumeric; Optional*

Specify the branch code.

**Cheque Number**

*Alphanumeric; Optional*

Specify the cheque number.

**Cheque Date**

*Date Format; Optional*

Specify the cheque date.

**Transfer Branch**

*Alphanumeric; Optional*

Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.

**Account Type**

*Optional*

Select the type of account from the drop-down list. The list displays the following values:

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

### Account Number

*Alphanumeric; Optional*

Specify the account number.

### Clearing Date

*Date Format; Optional*

Specify the clearing date.

### Account Holder Name

*Alphanumeric; Optional*

Specify the name of the account holder.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

## 4.4.10 Certificate Tab

Click on the certificate tab in the FCIS IPO Subscription Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'Certificate' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, Transaction Category (a dropdown menu), Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, **Certificate** (highlighted), Limit Order.
- Certificate Settings:** Certificate Required? (Yes/No dropdown), From Issued Balances (Select dropdown), Single Certificate? (Single dropdown), Min Cert Denomination, and Max Cert Denomination.
- Certificate Denominations Table:** A table with columns for Certificate Lot Size, No of Certificates, and a checkbox. It shows 1 of 1 records.
- Certificate Details Table:** A table with columns for Certificate Number, Units, and Partial. It shows 1 of 1 records.
- Footer:** Includes Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and a status dropdown. 'Ok' and 'Cancel' buttons are present.

### **Certificate Required?**

*Optional*

Select if certificate required or not from the drop-down list. The list displays the following values:

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

### **Single Certificate?**

*Optional*

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination & Min Cert Denomination under Certificate Section.

### **From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

## **Certificate Denominations**

### **Certificate Lot Size**

*Mandatory*

Specify the certificate lot size details.

### **No of Certificates**

*Numeric; Optional*

Specify the number of certificates.

## **Certificate Details**

### **Certificate Number**

*Numeric; Optional*

Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.

## Units

*Numeric; Optional*

Specify the units details.

## Partial

*Optional*

Check this box if partial details to be selected.

### 4.4.11 Limit Order Tab

Click on 'Limit Order' tab in the FCIS IPO Subscription Detail screen.

The screenshot displays the 'FCIS IPO Subscription Detail' window. At the top, there is a 'Save' button. Below it, the 'Transaction Information' section includes fields for 'Unit Holder ID \*' (with a 'Find UH' button), 'Fund ID \*' (with a magnifying glass icon), 'Order Received Date' (MM/DD/YYYY), 'Transaction Date \*' (03/10/2016), 'Payment Mode \*' (with a magnifying glass icon), and 'Payment Mode Description'. The 'Transaction Value' section includes 'Transaction Number', 'Transaction Currency' (with a magnifying glass icon), 'Reference Number', 'Order Received Time (HH24:MI)', 'Transaction Type' (with a magnifying glass icon), 'Description', and 'Transaction Category' (a dropdown menu). To the right, there are fields for 'Transaction Mode \*' (a dropdown menu), 'Amount' (a dropdown menu), 'Units Applied', 'Amount Applied', and 'Percent Applied'. Below these are 'Enrich Transaction' and 'Reset Transaction' buttons. A tab bar at the bottom of the main section includes 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info', 'Fee Payment', 'Certificate', and 'Limit Order' (which is highlighted in red). Below the tabs is the 'Limit Order Details' section with fields for 'Limit Order Type' (a dropdown menu), 'Limit Price', 'Limit Start Date' (MM/DD/YYYY), 'Limit End Date' (MM/DD/YYYY), and 'Limit Date' (MM/DD/YYYY). At the bottom of the window, there is a section for 'Settlement Details', 'Receipt Details', 'Project Allocation Details', and 'Allocation Details'. The bottom-most section contains 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized' (a dropdown menu), 'Unauthorized' (a dropdown menu), 'Open' (a dropdown menu), and 'Open' (a dropdown menu). There are 'Ok' and 'Cancel' buttons at the bottom right.

Select the 'Limit Order for Subscription' (buy) option in the Type of Transaction field. The Limit Order section is enabled.

## Limit Order Type

*Optional*

Select 'Price Based' in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based



## Limit Price

*Alphanumeric; Optional*

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

## Limit Start and End Date

*Date Format; Optional*

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

## Limit Date

*Date Format; Optional*

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select 'Date Based' in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

### 4.4.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the 'Settlement Details' button to invoke the 'Settlement Details' screen.

FCIS - Settlement Details

Settlement Details

Settlement Level: Fund Base Currency Settlement Method: Gross Amount Calculate

Amount Details

Settlement Amount: 1,000.00 Payment Amount: 2,525.00

1 of 1

Payment Reference Number: PY Bank Charges: 0 Auto Settle: Yes

Beneficiary ID: Payment Charges: 0 Instrument Status: Not Cleared

Beneficiary Percentage: Exchange Rate Source: BLOOMB

Sub Payment Mode: Cheque F X Rate: 1

Payment Currency: HKD FBC Amount: 2525

Payment Date: 01/09/2015 Settlement Due Date: 01/02/2015 Settled

Payment Amount: 2,525.00 Paid Date: MM/DD/YYYY Reversed

Amount Block Number:

Payment Details

Bank Code: Branch Code: Entity ID: Payment Type: Self

Check/Draft Details

Cheque Date: 01/02/2015 Check Number: 4561230

Card Details

Credit Card Ref No: Card Number:

Account Details

Account Currency: Account Holder Name: Account Number: Account Type: IBAN:

Third Party Details Unit Holder Details

Ok Exit

#### **4.4.12.1 Settlement Details**

##### **Settlement Level**

The settlement level is displayed.

##### **Settlement Method**

The method of settlement is displayed.

#### **4.4.12.2 Transaction Settlement Details**

##### **Payment reference Number**

Specify the payment reference number.

##### **Sub Payment Mode**

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic transfer
- Wire Transfer

##### **Payment Currency**

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

##### **Payment Date**

Specify the payment date.

##### **Payment Amount**

The payment amount is displayed.

##### **Bank Charges**

Specify the bank charges.

**Payment Charges**

Specify the payment charges.

**Exchange Rate Source**

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

**FX Rate**

Specify the foreign exchange rate.

**FBC Amount**

Specify the fund base currency amount.

**Due Date**

Specify the due date of the transaction.

**Paid Date**

Specify the paid date of the transaction.

**Auto Settlement**

Select 'Yes' option if you require auto settlement.

**Payment Type**

Select the type of payment:

- Self
- Third Party
- Broker
- Retained
- Absorbed/Paid Back
- Advanced Payment

**Settlement Status**

The status of the settlement is displayed.

**Instrument Status**

The status of the instrument is displayed

**Settled**

Check this option if the transaction is settled.

**Reversed**

Check this option if the transaction is reversed.

**Txn Mode**

Select the mode of transaction:

- Amount
- Percent
- Units
- Residual

For multi transactions, the 'Units' transaction mode is not applicable.

**Payment Value**

Specify the value of payment.

Click 'Calculate' button to calculate the settlement amount.

**4.4.12.3 Amount Details****Settlement Amount**

The settlement amount is displayed.

**Payment Amount**

The payment amount is displayed.

**4.4.12.4 Processing Multi Transactions**

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

---

**Note**

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.

- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
  - On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- 

#### **4.4.13 Receipt Detail Button**

Receipt details does not support IPO Subscription transaction.

#### **4.4.14 Project Allocation Details Button**

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID and the ISIN Code
- The Product ID
- The number of units allocated, in the Units field.
- The Spill Over Product ID and the number of spillover units, in the Spill Over Units field.
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The total load amount, in the Load Amount field.
- The Gross and Net Amounts in fund base currency
- The Settlement Amount in the transaction currency
- MMF Dividend Amount

The following Load Details are displayed during the allocation:

- The Fund ID and the ISIN Code
- The Load ID
- The Load Description
- The Load Amount

After you have viewed the projected allocation details, click the Close button to close the screen.

## 4.4.15 Allocation Details Button

Clicking 'Allocation Details' button, the following screen is displayed:

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

Exit

The following allocation details are displayed:

### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.4.16 Saving Transaction**

1. At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

2. Alternatively, the following information may also need to be captured before you save an IPO transaction.
3. In the Intermediary section, ensure that all the identified brokers for the unit holder, that have not been disabled as on the application date, have been selected, and that the commission split percentages for all selected brokers sum up to one hundred percent.
4. In the Settlement Details under Transaction Section, you may need to capture the payment details for the transaction.
5. In the Load Override section, you may need to override an allocation-frequency charge or load. There are three options available for such overrides - Discount, Return Value and Increase. 'Discount' will reduce the slab value by the specified percent/amount for all slabs. 'Increase' will increase the slab value by the specified percent/amount for all slabs. 'Return Value' will change the return value for all the slabs to the specified percent/amount.
6. In the Certificate Details section, you may need to alter the minimum and maximum denominations. An override of these specifications is possible if it is allowed as designated in the fund rules.
7. In the Document Details section, you may need to capture the document id of the unit holder. You can either enter the document id or choose the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.
8. You can now save the transaction.

---

#### **Note**

In case of 100% outflows redemption/switch/transfers, if blocked/provisional units are present for the Unitholder and fund combination, then the system will display the warning message as 'Blocked/provisional Units available for this Fund and Unit holder', However, you can override this message and save the transaction.

If any unallotted 100% outflow transaction exists across dates, i.e. across transaction types captured for same UH fund combination, then the system will display the warning message.



If concurrent users try to capture transactions for the same investor for a tax year, ISA limit validation might lead to session time out. This is applicable for both online and gateway users.

---

#### **4.4.17 Transaction Processing Logic for Currency of Expression Funds**

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHC OE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

##### **4.4.17.1 FX Logic**

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after

changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

---

**Note**

The rounding precision for fund price currencies will be base price.

---

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

#### **4.4.17.2 Processing Unit Holder Currency of Expression**

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination. You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

---

**Note**

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

---

#### **4.4.17.3 Processing Fund Price Maintenance**

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. This will be mandatory check. If the system does not find the Price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

#### **4.4.17.4 NAV Correction impact for fund price currencies**

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

#### **4.4.17.5 Currency of expression logic applied during Transactions**

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC  $\neq$  UHCOE

---

#### **Note**

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to

Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHC OE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHC OE is already maintained then the UH-COE will be defaulted as Transaction currency.

---

#### **4.4.17.6 System logic to derive the Price Currency**

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠ FBC or FPC; then Price CCY will be FBC).

#### **4.4.17.7 Switch Logic for currency of expression**

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

### **4.5 IPO Subscription Summary Screen**

This section contains the following topics:

- [Section 4.5.1, "Retrieving a Record in FCIS IPO Subscription Summary Screen"](#)
- [Section 4.5.2, "Editing FCIS IPO Subscription Record"](#)
- [Section 4.5.3, "Viewing FCIS IPO Subscription Record "](#)
- [Section 4.5.4, "Deleting FCIS IPO Subscription Record"](#)
- [Section 4.5.5, "Authorizing FCIS IPO Subscription Record "](#)
- [Section 4.5.6, "Amending FCIS IPO Subscription Record "](#)
- [Section 4.5.7, "Authorizing Amended FCIS IPO Subscription Record "](#)

#### **4.5.1 Retrieving a Record in FCIS IPO Subscription Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS IPO Subscription Summary' screen by typing 'UTSTXN01' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Reference Number
- Fund ID
- Unit Holder ID
- Currency of Expression Transaction
- Transaction Type
- Transaction Mode
- Transaction Date
- Dealing Date
- Transaction Currency
- Transaction Status
- Limit Order Details
- Payment Mode
- Completion Date
- Agent Code
- AMC ID

- Maker ID
- Ref Type
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

---

**Note**

The status field in the Records pane of the summary screen displays the bulk operation results.

---

## **4.5.2 Editing FCIS IPO Subscription Record**

You can modify the details of FCIS IPO Subscription record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS IPO Subscription Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS IPO Subscription Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS IPO Subscription Detail screen is closed and the changes made are reflected in the FCIS IPO Subscription Summary screen.

## **4.5.3 Viewing FCIS IPO Subscription Record**

To view a record that you have previously input, you must retrieve the same in the FCIS IPO Subscription Summary screen as follows:

- Invoke the FCIS IPO Subscription Summary screen from the Browser.

- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS IPO Subscription Detail screen is displayed in View mode.

#### **4.5.4 Deleting FCIS IPO Subscription Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS IPO Subscription Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. . The FCIS IPO Subscription Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.5.5 Authorizing FCIS IPO Subscription Record**

- An unauthorized FCIS IPO Subscription record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS IPO Subscription Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS IPO Subscription Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.5.6 Amending FCIS IPO Subscription Record**

After a FCIS IPO Subscription record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS IPO Subscription Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.



- Double click the record that you wish to authorize. The FCIS IPO Subscription Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### 4.5.7 Authorizing Amended FCIS IPO Subscription Record

An amended FCIS IPO Subscription record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

## 4.6 Bulk Transactions

This section contains the following topics:

- [Section 4.6.1, "Invoking Bulk Transaction Screen"](#)
- [Section 4.6.2, "Settlement Details Button"](#)
- [Section 4.6.3, "Processing Dilution Levy"](#)
- [Section 4.6.4, "Viewing Balance Button"](#)

#### 4.6.1 Invoking Bulk Transaction Screen

You may need to enter multiple transactions in multiple funds for a unit holder. Use 'FCIS Bulk Transaction' screen for such requirements. You can invoke this screen by typing 'UTDCTXNB' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

FCIS Bulk Transaction Detail

Save

Bulk Transaction Number \_\_\_\_\_

Unit Holder Name \_\_\_\_\_

Unit Holder ID \_\_\_\_\_

[Find](#)

CIF Number \_\_\_\_\_

[Find](#)

Aggregate Currency \_\_\_\_\_

Transaction Date: 03/10/2016

Fund ID \_\_\_\_\_

Transaction Type: [Select One](#)

Fund Name \_\_\_\_\_

ISIN Code \_\_\_\_\_

Transaction Currency \_\_\_\_\_

Transaction Mode: [Amount](#)

Payment Mode: [Select One](#)

Source ID \_\_\_\_\_

Remarks \_\_\_\_\_

Transaction Details

Txn Date	Unit Holder	Find UH	Fund ID	Transaction Type	Sub Type	Transaction Currency	TXN Mode
03/10/2016		<a href="#">Find UH</a>		IPO Subscription			<a href="#">Amount</a>

Total Amount: 0

Total Units: 0

Settlement Details | [View Balance](#)

Input By \_\_\_\_\_

Authorized By \_\_\_\_\_

DateTime \_\_\_\_\_

Mod No: 1

Authorized: [Authorized](#)

[Cancel](#)



You can maintain the following details:

### **Bulk Transaction Number**

When you save the multiple transactions that you have entered in this screen, a bulk transaction number is generated by the system for each set of multiple transactions entered. You can use the bulk transaction number to retrieve the transactions, in the Bulk Transactions Summary screen.

### **Transaction Date**

The transaction date is defaulted. However, you can modify the same.

### **Transaction Mode**

Select the mode of transaction. The options available are:

- Amount
- Units
- Percent

### **Unit Holder ID**

Specify the unit holder ID. You can also click the 'Find' button to list the unit holder IDs maintained in the system. Select the required ID.

### **Unit Holder Name**

The name of the unit holder is displayed.

### **CIF Number**

Specify the CIF number of the unit holder for whom you wish to enter multiple transactions. You can also click the 'Find' button to list the CIF number maintained in the system. Select the required ID.

### **Aggregate Currency**

*Conditional*

Specify the aggregate currency. You can also select the currency from the option list provided. The list consists of valid and authorised currencies maintained in the system.

Aggregate currency is used in case of multiple transactions with multiple currencies. This currency is used as an intermediate currency to do settlement between outflow and inflow transactions. If the fund base currency is same for all the funds involved in the transaction, then the system defaults the aggregate currency as the fund base currency. However, if the currency is different, then the system prompts to enter the aggregate currency on save.

### **Fund ID**

Specify the transaction Fund ID.

### **Transaction Type**

Select the type of transaction from the drop-down list. The options available are:

- IPO Subscription
- Subscription
- Redemption
- Switch
- Transfer
- Multi Transaction

For a unit holder, you can capture multiple redemptions, for which multiple settlements and subscriptions are captured through one wrapper reference number. This wrapper reference

will be the reference number for all the subscription and redemption transactions. If you select the 'Multi Transaction' option, then the system will link all the transactions to one reference number. For instance, you can capture multiple transactions as follows:

Outflows,

- Redeem 1000 units from F1 as R1
- Redeem 5000 USD from F2 as R2
- Redeem 50% from F3 as R3

Inflows,

- Invest 30% into F4 as S1
- Invest 1000 USD to F5 as S2
- Invest remaining into F6 as S3

All these transactions will be linked to one wrapper reference number.

### **Transaction Category**

*Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

This field is enabled after you click 'Enrich' button.

### **Fund Name**

The name of the fund is displayed.

### **ISIN Code**

Specify the ISIN code.

### **Payment Mode**

Select the mode of payment from the drop-down list. The following are the options available:

- Cash
- Cheque
- Money Transfer
- Multi Payment

### **Source ID**

Select the source through which the transactions are routed.

### **Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the transaction currency. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

### **Remarks**

You can specify any remarks for the transactions.

These details are defaulted for all the transactions that you enter through the bulk transaction entry operation. However, if you wish to enter details specific to a particular transaction, you can change the default and make your specification in the 'Transaction Details' section.

### **Transaction Details section**

You can enter information that is specific to each individual transaction that you wish to enter.

To add a new transaction, click the 'Add' (+) button. To delete a transaction that you have entered, select the transaction row and click the 'Delete' (-) button.

The default details that you have specified above are displayed for each transaction. However, you can change the following details:

- Transaction Date
- Unit Holder
- Find UH
- Fund ID
- Transaction Type
- Sub Type
- Transaction Mode
- Transaction Value
- Transaction Currency
- Payment Mode
- Gross or Net
- To Unit Holder
- Find UH
- To Fund Id
- Reference Number
- Transaction Number
- Detail Clear
- Status of the transaction
- Error
- Operate
- CIF Number

---

#### **Note**

- For multi transactions, only redemption and subscription transactions are allowed
  - For multi transaction, the transaction date and the unit holder ID are defaulted from the header and you cannot modify the same.
  - For subscription transactions, you can select the following transaction modes:
    - Amount
    - Units
    - Percentage
    - Residual
  - For redemption transactions, 'Residual' transaction mode is not applicable
  - You have to maintain different fund IDs for multiple transactions
-

## 4.6.2 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the 'Settlement Details' button to invoke the 'Settlement Details' screen.

FCIS - Settlement Details

Settlement Details

Settlement Level: Fund Base Currency Settlement Method: Gross Amount Calculate

Amount Details

Settlement Amount: 1,000.00 Payment Amount: 2,525.00

Payment Reference Number: PY Bank Charges: 0 Auto Settle: Yes

Beneficiary ID: Payment Charges: 0 Instrument Status: Not Cleared

Beneficiary Percentage: Exchange Rate Source: BLOOMB

Sub Payment Mode: Cheque F X Rate: 1 Settled

Payment Currency: HKD FBC Amount: 2525 Reversed

Payment Date: 01/09/2015 Settlement Due Date: 01/02/2015

Amount Block Number: Paid Date: MM/DD/YYYY

Payment Details

Bank Code: Branch Code: Entity ID: Payment Type: Self

Check/Draft Details

Cheque Date: 01/02/2015 Check Number: 4561230

Card Details

Credit Card Ref No: Card Number:

Account Details

Account Currency: Account Holder Name: Account Number: Account Type: IBAN:

Third Party Details Unit Holder Details

Ok Exit

### 4.6.2.1 Settlement Details

#### Settlement Level

The settlement level is displayed.

#### Settlement Method

The method of settlement is displayed.

### 4.6.2.2 Transaction Settlement Details

#### Payment reference Number

Specify the payment reference number.

#### Sub Payment Mode

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic transfer
- Wire Transfer

#### **Payment Currency**

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

#### **Payment Date**

Specify the payment date.

#### **Payment Amount**

The payment amount is displayed.

#### **Bank Charges**

Specify the bank charges.

#### **Payment Charges**

Specify the payment charges.

#### **Exchange Rate Source**

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

#### **FX Rate**

Specify the foreign exchange rate.

#### **FBC Amount**

Specify the fund base currency amount.

#### **Due Date**

Specify the due date of the transaction.

**Paid Date**

Specify the paid date of the transaction.

**Auto Settlement**

Select 'Yes' option if you require auto settlement.

**Payment Type**

Select the type of payment:

- Self
- Third Party
- Broker
- Retained
- Absorbed/Paid Back
- Advanced Payment

**Settlement Status**

The status of the settlement is displayed.

**Instrument Status**

The status of the instrument is displayed

**Settled**

Check this option if the transaction is settled.

**Reversed**

Check this option if the transaction is reversed.

**Txn Mode**

Select the mode of transaction:

- Amount
- Percent
- Units
- Residual

For multi transactions, the 'Units' transaction mode is not applicable.

**Payment Value**

Specify the value of payment.

Click 'Calculate' button to calculate the settlement amount.

**4.6.2.3 Amount Details****Settlement Amount**

The settlement amount is displayed.

**Payment Amount**

The payment amount is displayed.

**4.6.2.4 Processing Multi Transactions**

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of

residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

---

**Note**

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
  - Backdated and future date transactions are allowed only for the out flow transactions
  - The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
  - The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
  - Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
  - Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
  - You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
  - The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
  - When the payment mode is given as multi payment, the payment mode should be provided in settlement details
  - On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- 

### **4.6.3 Processing Dilution Levy**

The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit (Fund Corpus \* Inflow / Outflow Breach Factor < Net Amount in FBC) for the day. For validating the dilution limit breach, a project allocation is done with the available price for the transaction and thereby the net amount of that transaction is calculated.

Dilution levy is validated against the gross transaction amount. If gross transaction amount is greater than the dilution levy breach limit, then a warning message is displayed by the system as follows:

The transaction exceeds the dilution levy breach limit

Dilution levy value can be overridden. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the following warning message is displayed by the system.

Transactions are saved with overrides

#### 4.6.4 Viewing Balance Button

You can view the available fund balance details of a unit holder. For this, click the 'View Balance' button in the 'FCIS Bulk Transaction Detail' screen. The 'Investor Fund Balance' screen is displayed in view mode displaying the unit holder fund balance details

Investor Fund Balance

Execute Query

Unit Holder ID \*

Find UH

Fund balances Detail

1 of 1 Go

Fund ID *	Fund Name *	Fund Base Currency *	UH Currency of expression	Policy Number *	Pro
-----------	-------------	----------------------	---------------------------	-----------------	-----

Total Blocked Amount or Holdings

Total Blocked Amount

Total Holdings in UH Currency

Purchase

Redeem

Switch

New SI

Unit Block Details | Category-wise Balance

Cancel

### 4.7 Bulk Transaction Summary

This section contains the following topics:

- [Section 4.7.1, "Invoking Bulk Transactions Summary Screen"](#)
- [Section 4.7.2, "Retrieving a Record in FCIS Bulk Transaction Summary Screen"](#)
- [Section 4.7.3, "Editing FCIS Bulk Transaction Record"](#)
- [Section 4.7.4, "Viewing FCIS Bulk Transaction Record "](#)
- [Section 4.7.5, "Deleting FCIS Bulk Transaction Record"](#)
- [Section 4.7.6, "Authorizing FCIS Bulk Transaction Record "](#)



- [Section 4.7.7, "Amending FCIS Bulk Transaction Record "](#)
- [Section 4.7.8, "Authorizing Amended FCIS Bulk Transaction Record "](#)

#### **4.7.1 Invoking Bulk Transactions Summary Screen**

The following operations can be performed for multiple transactions using 'FCIS Multiple Transaction' screen:

- **New** - You can capture outflows and inflows transactions in this screen. This will then be grouped under one transaction.
- **Modify** - You can modify the unauthorized multi transactions. Click 'Unlock' option in the action menu and amend the individual transaction by editing each transaction using 'Edit' option available in the 'Transaction Details' section in the 'FCIS Bulk Transaction Detail' screen.
- **Delete** - To delete a particular transaction, unlock the unauthorized record and select the 'Delete' option available in the 'Transaction Details' section in the 'FCIS Bulk Transaction Detail' screen.
- **Authorize** - Authorizing the multi transaction results in authorizing all the linked transactions along with it.

#### **4.7.2 Retrieving a Record in FCIS Bulk Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Bulk Transaction Summary' screen by typing 'UTSTXNB' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Bulk Transaction Number
- Maker ID

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

##### **Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Bulk Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A%:- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by%7:- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by%17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

### 4.7.3 Editing FCIS Bulk Transaction Record

You can modify the details of FCIS Bulk Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Bulk Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Bulk Transaction Detail screen is closed and the changes made are reflected in the FCIS Bulk Transaction Summary screen.

### 4.7.4 Viewing FCIS Bulk Transaction Record

To view a record that you have previously input, you must retrieve the same in the FCIS Bulk Transaction Summary screen as follows:

- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Bulk Transaction Detail screen is displayed in View mode.

#### **4.7.5 Deleting FCIS Bulk Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Bulk Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.7.6 Authorizing FCIS Bulk Transaction Record**

- An unauthorized FCIS Bulk Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Bulk Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.7.7 Amending FCIS Bulk Transaction Record**

After a FCIS Bulk Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Bulk Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Double click the record that you wish to authorize. The FCIS Bulk Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.7.8 Authorizing Amended FCIS Bulk Transaction Record**

An amended FCIS Bulk Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.8 Subscription Transaction Detail**

This section contains the following topics:

- [Section 4.8.1, "Invoking Subscription Transactions Detail Screen"](#)
- [Section 4.8.2, "UH & Fund Tab"](#)
- [Section 4.8.3, "Transaction Tab"](#)
- [Section 4.8.4, "Others Tab"](#)
- [Section 4.8.5, "Intermediary Tab"](#)
- [Section 4.8.6, "Load Override Tab"](#)
- [Section 4.8.7, "KYC and Documents Tab"](#)
- [Section 4.8.8, "Add Info Tab"](#)
- [Section 4.8.9, "Fee Payment Tab"](#)
- [Section 4.8.10, "Certificate Tab"](#)
- [Section 4.8.11, "Limit Order Tab"](#)
- [Section 4.8.12, "Settlement Details Button"](#)
- [Section 4.8.13, "Receipt Detail Button"](#)
- [Section 4.8.14, "Project Allocation Details Button"](#)
- [Section 4.8.15, "Allocation Details Button"](#)
- [Section 4.8.16, "Saving the transaction"](#)
- [Section 4.8.17, "Transaction Processing Logic for Currency of Expression Funds"](#)

#### **4.8.1 Invoking Subscription Transactions Detail Screen**

Enter a subscription transaction request into the system in the following sequence of events:

Invoke the 'FCIS Subscription Transaction Detail' screen by typing 'UTDTXN02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for subscription transactions is displayed, with all the default information.

Select 'New' from the Actions menu in the Application toolbar or click new icon to enter the details of the Subscription transaction.

The screenshot shows the 'FCIS Subscription Transaction Detail' window. It has a 'Save' button at the top left. The main area is divided into two columns. The left column is titled 'Transaction Information' and contains fields for 'Unit Holder ID' (with a 'Find UH' button), 'Fund ID' (with a search icon), 'Order Received Date' (with a calendar icon), 'Transaction Date' (set to 03/10/2016 with a calendar icon), 'Payment Mode' (with a search icon), 'Payment Mode Description', 'Transaction Number', 'Transaction Currency', 'Reference Number', 'Order Received Time (HH24.MI)', 'Transaction Type' (with a search icon), 'Description', and 'Transaction Category' (a dropdown menu). The right column is titled 'Transaction Value' and contains fields for 'Transaction Mode' (a dropdown menu), 'Units Applied', 'Amount Applied', 'Percent Applied', and buttons for 'Enrich Transaction' and 'Reset Transaction'. Below these columns is a tabbed interface with tabs for 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info', 'Fee Payment', 'Certificate', and 'Limit Order'. The 'UH & Fund' tab is active, showing fields for 'CIF Number' (with a 'UH Deal' button), 'Unit Holder Name' (with a 'UH Signature' button), 'ISIN No', 'Fund Name', 'Fund Base Currency', 'Price Currency', and 'Currency of Expression Transaction' (a dropdown menu). At the bottom, there are tabs for 'Settlement Details', 'Receipt Details', 'Project Allocation Details', and 'Allocation Details'. The 'Settlement Details' tab is active, showing fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open', along with 'Ok' and 'Cancel' buttons.

You can specify the following details:

## **Transaction Information**

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

Provided the client country parameter is set to 'HSBCSPECIFIC' for your bank, the validation for settlement date being greater than or equal to the transaction date will not be carried out.

Click 'Find UH' button to open 'Unit Holder Find Options' screen. You can get the Unit holder details by entering the required values in that screen.

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Order Received Date**

*Date Format; Optional*

Specify the order received date.

**Transaction Date**

*Date Format; Mandatory*

Specify the order received date.

**Payment Mode**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Payment Mode Description**

*Display*

The system displays the description for the mode of payment selected.

**Transaction Number**

*Display*

The system displays the transaction number.

**Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

**Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Order Received Time (HH24:MI)**

*Time Format; Optional*

Specify the order received time.

**Transaction Type**

*Alphanumeric; Mandatory*

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

**Description**

*Display*

The system displays the description for the selected Transaction type.

## **Transaction Category**

### *Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

This field is enabled after you click 'Enrich' button.

## **Transaction Value**

### **Transaction Mode**

#### *Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units
- Percent

### **Units Applied**

#### *Display*

The system displays the units applied details.

### **Amount Applied**

#### *Display*

The system displays the amount applied details.

### **Percent Applied**

#### *Display*

The system displays the percent applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click 'Reset Transaction' button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

---

**Note**

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
  - If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled
-



## 4.8.2 UH & Fund Tab

Click 'UH & Fund' tab in FCIS Subscription Transaction Detail screen.

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'UH & Fund' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes fields for Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Unit Holder Details:** Includes fields for CIF Number (with a 'UH Deal' button), Unit Holder Name (with a 'UH Signature' button), ISIN No, Fund Name, Fund Base Currency, Price Currency, and Currency of Expression Transaction (a dropdown menu).
- Settlement Details:** Includes fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open.
- Buttons:** 'Ok' and 'Cancel' buttons are located at the bottom right.

Click on the UH Deals tab to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

By Clicking on Enrich transaction button information is defaulted in the UH and fund section. If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to purchase units, in the Product ID field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the non-taxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

The system will display the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

## 4.8.3 Transaction Tab

Click 'Transaction' tab in FCIS Subscription Transaction Detail screen

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Transaction' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a search icon), Payment Mode Description, Transaction Number, Transaction Currency (with a search icon), Reference Number, Order Received Time (HH24.MI), Transaction Type (with a search icon), Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** UH & Fund, Transaction (selected), Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Gross or Net:** A dropdown menu set to 'Gross'.
- Communication Mode:** A dropdown menu set to 'Direct (In Person)'.
- Delivery Option:** A dropdown menu set to 'Investment Account' with a 'Details' button.
- Exchange Rate Details:** Includes Source ID (BLOOMB), Amount Applied, FX Deal Date (MM/DD/YYYY), Exchange Rate Applied, Override Exchange Rate? (No), FX Value Date (MM/DD/YYYY), and a 'Calculate' button.
- Interest Details:** A section with a 'Details' button.
- Settlement Details:** Includes Receipt Details, Project Allocation Details, and Allocation Details.
- Footer:** Includes Input By, Authorized By, DateTime, Mod No, Authorized/Unauthorized, Open/Open, and Ok/Cancel buttons.

You can specify the following details:

### Gross or Net

#### Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

### Communication Mode

#### Mandatory

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer

- Savings Plan
- Swift
- Telephone

### **Delivery Option**

*Optional*

Select the delivery option from the drop-down list. The list displays the following values:

- Investment Account
- Clearing Account - Against Payment
- Clearing Account - Free of Payment
- Delivery to Custodian
- Physical Delivery
- PUEV

Clicking 'Details' button, the 'Delivery Details' window will be opened, where in you can enter the following details:

### **Delivery Type**

*Optional*

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

### **Address Type**

*Alphanumeric; Optional*

Specify the type of address. Alternatively, you can select address type ID from the option list. The list displays all valid address maintained in the system.

### **BIC Code**

*Alphanumeric; Optional*

Specify the BIC code.

### **Address Line 1-2**

*Alphanumeric; Optional*

Specify the residing address of the customer.

### **City**

*Alphanumeric; Optional*

Specify the residing city code.

### **State**

*Alphanumeric; Optional*

Specify the name of the residing state.

### **Zip Code**

*Alphanumeric; Optional*

Specify the zip code of the residing area.

### **Country**

*Alphanumeric; Optional*

Specify the residing country code.

## **Exchange Rate Details**

### **Source ID**

*Alphanumeric; Optional*

Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system.

### **Amount Applied**

*Display*

The system displays the amount applied details.

### **FX Deal Date**

*Date Format; Optional*

Specify the FX deal date.

### **Exchange Rate Applied**

*Display*

The system displays the exchange rate applied details.

### **Override Exchange Rate?**

*Optional*

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

### **FX Value Date**

*Date Format; Optional*

Specify the FX value date.

## **Interest Details**

### **Interest**

*Alphanumeric; Optional*

Specify the interest details.

### **Interest (FBC)**

*Alphanumeric; Optional*

Specify the fund base currency interest details.

Clicking 'Details' button, 'Interest Details' window is displayed. You can specify the following details:

### **Calculation Type**

*Optional*

Select the calculation type from the drop-down list. The list displays the following values:

- Simple
- Compound

### **Amount**

*Numeric; Optional*

Specify the amount details.

**Deposit Date**

*Date Format; Optional*

Specify the deposited date.

**Interest Calc. Days**

*Alphanumeric; Optional*

Specify the calculated interest days.

**Interest Amount**

*Numeric; Optional*

Specify the interest amount.

**Basis Days**

Optional

Select the basis days from the drop-down list. The list displays the following values:

- 360
- 365

**Total Interest Amount**

*Alphanumeric; Optional*

Specify the total interest amount details.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

**Dilution Levy Processing**

To arrive at the dilution levy breach limit the outflow breach factor is considered. (Fund Corpus \* Outflow Breach Factor < Net Amount in FBC). Dilution Levy limit breach is validated against the gross transaction amount. If the gross transaction amount exceeds the dilution levy breach limit, then a warning message is displayed by the system. The dilution levy breach limit amount can be overridden at the transaction level. The overridden value is considered only if the transaction attracts dilution levy.

An EOD batch computes the aggregated net transaction amount at unit holder, fund and transaction type level. This batch is scheduled before the allocation process. If the gross aggregated amount for Unit Holder, Fund and Transaction type combination is identified breaching, then a dilution levy fee is applied on all transactions of that fund, Unit Holder, and transaction type combination.

## 4.8.4 Others Tab

Click 'Other' tab in the FCIS Subscription Transaction Detail screen

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Other' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date, Transaction Date (pre-filled with 03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes Transaction Mode (a dropdown menu), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other (selected), Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Settlement Details:** Includes Settlement Date, Remarks, Base Cost, Payment Allowed (a dropdown menu), Auto Clear Reinvestments (a dropdown menu), Dealing Date, EUSD Option (a dropdown menu), Price Date, Campaign Code, and Reversal Code.
- Maturity Details:** Includes Maturity Date, Cancel Instruction (a dropdown menu), Auto Clear Provisional Balance (a dropdown menu), Fund Price Basis, Completion Date, LOI Transaction (a dropdown menu), CPMF Bonus Percent, CPMF Credit Lag, Lock-In Period for Gain, and KIID Received? (a dropdown menu).
- Footer:** Includes Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open, along with 'Ok' and 'Cancel' buttons.

You can specify the following details:

### Settlement Date

*Date Format; Optional*

Specify the settlement date.

### Remarks

*Alphanumeric; Mandatory*

Specify remarks, if any.

### Base Cost

*Numeric; Optional*

Specify the base cost details.

### Payment Allowed

*Optional*

Select if payment allowed is or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Auto Clear Reinvestments**

### *Optional*

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Dealing Date**

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

*Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund*

## **EUSD Option**

### *Optional*

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

## **Price Date**

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

## **Campaign Code**

### *Alphanumeric; Mandatory*

Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.

## **Reversal Code**

### *Display*

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

## **Maturity Date**

*Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

---

### **Note**

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

---

## **Cancel Instruction**

*Optional*

Select the cancel instruction from the drop-down list. The list displays the following values:

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

### **Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

## **Auto Clear Provisional Balance**

*Optional*

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

## **Fund Price Basis**

*Alphanumeric; Mandatory*

Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.

## **Completion Date**

*Date Format; Optional*

The date on which the transaction is completed.



## **LOI Transaction**

*Optional*

Select the status of LOI transaction

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

## **CPMF Bonus Percent**

*Numeric; Optional*

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section 'Maintaining Fund CPMF Preferences' in the Fund Manager module.

## **CPMF Credit Lag**

*Numeric; Optional*

Indicate the lag for the CPMF bonus to be credited.

## **Lock-in Period for Gain Days**

*Numeric; Optional*

The default lock-in period for the funds where IOF/IRRFR are applicable is defaulted here. This can however be modified.

---

### **Note**

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

---

## **KIID Received?**

*Mandatory*

Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values:

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

## 4.8.5 Intermediary Tab

Click 'Intermediary' tab in the FCIS Subscription Transaction Detail screen

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Intermediary' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, Transaction Category (a dropdown menu), Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary (selected), Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Transaction Intermediary Details:** A table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg. The first row is partially filled with a search icon in the Entity ID field and a dropdown in the From Or To Leg field.
- Settlement Details:** Includes Receipt Details, Project Allocation Details, and Allocation Details.
- Footer:** Includes Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, Open, and buttons for Ok and Cancel.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity.

### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

## Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

## Entity Name

When you select the broker code, the name of the broker is displayed.

## Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

## Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.8.6 Load Override Tab

Click 'Load Override' tab in the FCIS Subscription Transaction Detail screen.

The screenshot displays the 'FCIS Subscription Transaction Detail' window. The 'Load Override' tab is selected, showing a 'Load Override Details' section with a table of transaction details. The table has columns for Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, Change Value, and Projected Return Value. The 'Load Override Details' section also includes a 'Go' button and a '1 of 1' indicator. The bottom of the screen shows a 'Settlement Details' section with fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open, along with 'Ok' and 'Cancel' buttons.

Load ID	Load Details	Load Description	Group Id	Amount/Percent	Change Type	Change Value	Projected Return Value
---------	--------------	------------------	----------	----------------	-------------	--------------	------------------------

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

#### **Load ID**

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

#### **Load Details**

The system displays the load details.

#### **Load Description**

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

#### **Group ID**

The system displays the group ID.

#### **Amount Percent**

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

#### **Project Return Value**

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

#### **Change Value**

Specify the change value details.

#### **Change type**

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)

- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

### **Derived Load Override Details**

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

## **4.8.7 KYC and Documents Tab**

Click on 'KYC and Document' tab in the 'FCIS Subscription Transaction Detail' screen.

The screenshot shows the 'FCIS Subscription Transaction Detail' window. At the top, there's a 'Save' button. Below it, the 'Transaction Information' section contains fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a search icon), and Payment Mode Description. The 'Transaction Value' section includes Transaction Number, Transaction Currency (with a search icon), Reference Number, Order Received Time (HH24.MI), Transaction Type (with a search icon), Description, and Transaction Category (a dropdown menu). To the right, there's a 'Transaction Mode' dropdown set to 'Amount', and fields for Units Applied, Amount Applied, and Percent Applied, with 'Enrich Transaction' and 'Reset Transaction' buttons. Below these is a tabbed interface with 'KYC And Document' selected. The 'KYC Transaction Details' section has a table with columns: Requested (checkbox), Requirement (text), Received (checkbox), Received Date (MM/DD/YYYY), and Tax Document (dropdown). The 'Document Details' section at the bottom has fields for Chasing Date (MM/DD/YYYY), KYC Received (dropdown), and a 'UH KYC Details' button. At the very bottom, there's a 'Document Details' section with tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. It includes fields for Input By, Authorized By, DateTime, and Mod No (Authorized/Unauthorized), and buttons for 'Ok' and 'Cancel'.

### **Requested**

#### *Optional*

Check this box to indicate KYC details are requested.

### **Requirement**

#### *Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

**Received**

*Optional*

Check this box to indicate KYC details are received.

**Received Date**

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

**Tax Document**

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

**KYC Received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

**Document Details****Document ID**

*Alphanumeric; Optional*

Specify the document ID.

**Document Type**

*Alphanumeric; Optional*

Specify the document type.

**Type Description**

*Alphanumeric; Optional*

Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

## Note

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

KYC Details

KYC Details

1 of 1 Go

Requested	Requirement	Fax Received	Original Received	Received Date	Workflow Reference No.	User Comment
-----------	-------------	--------------	-------------------	---------------	------------------------	--------------

Chasing Date: MM/DD/YYYY Reviewed By: Last Reviewed Date: MM/DD/YYYY Chasing History

Chased By: Chasing Method: E-Mail

Additional Comments: All the Requested KYC Documentation has been received: Yes

KYC Purchase Limit: KYC Annual Debit Order Limit: Due Diligence Level: Simplified

Retain Trade Acknowledgements Retain Contract Notes Outstanding KYC requirements not to be reported on Trade Acknowledgements

Name Check Search Options: Select Comments

1 of 1 Go Cancel

If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

## 4.8.8 Add Info Tab

Click on 'Add Info' tab in the 'FCIS Subscription Transaction Detail' screen

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Add Info' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date, Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, and Transaction Category (a dropdown menu).
- Transaction Mode:** Includes a dropdown menu for Transaction Mode, and fields for Units Applied, Amount Applied, and Percent Applied.
- Buttons:** 'Enrich Transaction' and 'Reset Transaction' buttons are located on the right side of the Transaction Value section.
- Navigation Tabs:** A row of tabs at the bottom includes 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info' (selected), 'Fee Payment', 'Certificate', and 'Limit Order'.
- Additional Information Details:** A section with a table header 'Other Info Field' and 'Field Value'. The table is currently empty.
- Footer:** Includes fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open', along with 'Ok' and 'Cancel' buttons.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.



## 4.8.9 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS Subscription Transaction Detail screen.

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Fee Payment' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (with a calendar icon), Transaction Date (set to 03/10/2016, with a calendar icon), Payment Mode (with a magnifying glass icon), and Payment Mode Description.
- Transaction Value:** Includes fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type (with a magnifying glass icon), Description, and Transaction Category (a dropdown menu). It also has a 'Transaction Mode' dropdown set to 'Amount' and fields for Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Fee Calculation Basis:** Includes a 'Fee In Fund Base Currency' field, a 'Transaction Fee' field, and a 'Fee Calculation Basis' dropdown set to 'Fund Base Currency'. There is a 'Fee Pay Details' button.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, **Fee Payment** (selected), Certificate, Limit Order.
- Footer:** Includes 'Settlement Details', 'Receipt Details', 'Project Allocation Details', and 'Allocation Details' tabs. Below these are fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized' (dropdown), 'Open', and 'Open' (dropdown). There are 'Ok' and 'Cancel' buttons.

If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

### Fee in Fund Base Currency

*Numeric; Optional*

Specify the fee in fund base currency details.

### Transaction Fee

*Numeric; Optional*

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

### Fee Calculation Basis

*Optional*

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click 'Fee Pay Details' button to specify fee payment details.

You can specify the following values:

**Transaction Fee**

*Numeric; Optional*

Specify the transaction fee.

**Payment Mode**

*Optional*

Select the payment mode from the drop-down list. The list displays the following values:

- Cheque
- Transfer
- Draft
- Card

**Bank**

*Alphanumeric; Optional*

Specify the bank details.

**Branch**

*Alphanumeric; Optional*

Specify the branch code.

**Cheque Number**

*Alphanumeric; Optional*

Specify the cheque number.

**Cheque Date**

*Date Format; Optional*

Specify the cheque date.

**Transfer Branch**

*Alphanumeric; Optional*

Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.

**Account Type**

*Optional*

Select the type of account from the drop-down list. The list displays the following values:

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

### Account Number

*Alphanumeric; Optional*

Specify the account number.

### Clearing Date

*Date Format; Optional*

Specify the clearing date.

### Account Holder Name

*Alphanumeric; Optional*

Specify the name of the account holder.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

## 4.8.10 Certificate Tab

Click Certificate tab in the FCIS Subscription Transaction Detail screen.

The screenshot shows the 'FCIS Subscription Transaction Detail' window with the 'Certificate' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, Payment Mode Description, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, **Certificate** (selected), Limit Order.
- Certificate Required?:** A dropdown menu with 'Yes' selected.
- From Issued Balances:** A dropdown menu with 'Select' selected.
- Single Certificate?:** A dropdown menu with 'Single' selected.
- Min Cert Denomination:** A text input field.
- Max Cert Denomination:** A text input field.
- Certificate Denominations:** A table with columns for Certificate Lot Size, No of Certificates, Certificate Number, Units, and Partial. The first row shows '1 of 1' and 'Go' buttons.
- Certificate Details:** A table with columns for Certificate Number, Units, and Partial. The first row shows '1 of 1' and 'Go' buttons.
- Settlement Details:** Includes Input By, Authorized By, DateTime, and Mod No.
- Buttons:** 'Ok' and 'Cancel' buttons at the bottom right.

### Certificate Required?

*Optional*

Select if certificate required or not from the drop-down list. The list displays the following values:

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

### **Single Certificate?**

*Optional*

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination & Min Cert Denomination under Certificate Section.

### **From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

#### **Note**

From issued balance field 'Both Option' is not applicable for the subscription transaction.

---

### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

## **Certificate Denominations**

### **Certificate Lot Size**

*Mandatory*

Specify the certificate lot size details.

### **No of Certificates**

*Numeric; Optional*

Specify the number of certificates.

## **Certificate Details**

### **Certificate Number**

*Numeric; Optional*

Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.

## Units

*Numeric; Optional*

Specify the units details.

## Partial

*Optional*

Check this box if partial details to be selected.

### 4.8.11 Limit Order Tab

Click on 'Limit Order' tab in the FCIS Subscription Transaction Detail screen.

The screenshot displays the 'FCIS Subscription Transaction Detail' window. At the top, there is a 'Save' button. Below it, the 'Transaction Information' section contains fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a magnifying glass icon), and Payment Mode Description. To the right, there are fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type (with a magnifying glass icon), Description, and Transaction Category (a dropdown menu). The 'Transaction Value' section on the right includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied, along with 'Enrich Transaction' and 'Reset Transaction' buttons. Below these sections is a horizontal tab bar with options: UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, and Limit Order (which is highlighted in red). Under the 'Limit Order' tab, the 'Limit Order Details' section features Limit Order Type (a dropdown menu), Limit Price, Limit Start Date (MM/DD/YYYY), Limit End Date (MM/DD/YYYY), and Limit Date (MM/DD/YYYY). At the bottom of the window, there are tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. The footer area includes fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized (a dropdown menu), Open, and Open (a dropdown menu), along with 'Ok' and 'Cancel' buttons.

Select the 'Limit Order for Subscription' (buy) option in the Type of Transaction field. The Limit Order section is enabled.

## Limit Order Type

*Optional*

Select 'Price Based' in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based

## Limit Price

*Alphanumeric; Optional*

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

## Limit Start and End Date

*Date Format; Optional*

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

## Limit Date

*Date Format; Optional*

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select 'Date Based' in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

## 4.8.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the 'Settlement Details' button to invoke the 'Settlement Details' screen.

FCIS - Settlement Details

Settlement Details

Settlement Level: Fund Base Currency Settlement Method: Gross Amount Calculate

Amount Details

Settlement Amount: 1,000.00 Payment Amount: 2,525.00

1 of 1

Payment Reference Number: PY Bank Charges: 0 Auto Settle: Yes

Beneficiary ID: Payment Charges: 0 Instrument Status: Not Cleared

Beneficiary Percentage: Exchange Rate Source: BLOOMB

Sub Payment Mode: Cheque F X Rate: 1

Payment Currency: HKD FBC Amount: 2525 Settled

Payment Date: 01/09/2015 Settlement Due Date: 01/02/2015 Reversed

Payment Amount: 2,525.00 Paid Date: MM/DD/YYYY

Amount Block Number:

Payment Details: Bank Code: Branch Code: Entity ID: Payment Type: Self

Check/Draft Details: Cheque Date: 01/02/2015 Check Number: 4561230

Card Details: Credit Card Ref No: Card Number:

Account Details: Account Currency: Account Holder Name: Account Number: Account Type: IBAN:

Third Party Details: Unit Holder Details:

Ok Exit

#### **4.8.12.1 Settlement Details**

##### **Settlement Level**

The settlement level is displayed.

##### **Settlement Method**

The method of settlement is displayed.

#### **4.8.12.2 Transaction Settlement Details**

##### **Payment reference Number**

Specify the payment reference number.

##### **Sub Payment Mode**

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic transfer
- Wire Transfer

##### **Payment Currency**

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

##### **Payment Date**

Specify the payment date.

##### **Payment Amount**

The payment amount is displayed.

##### **Bank Charges**

Specify the bank charges.

**Payment Charges**

Specify the payment charges.

**Exchange Rate Source**

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

**FX Rate**

Specify the foreign exchange rate.

**FBC Amount**

Specify the fund base currency amount.

**Due Date**

Specify the due date of the transaction.

**Paid Date**

Specify the paid date of the transaction.

**Auto Settlement**

Select 'Yes' option if you require auto settlement.

**Payment Type**

Select the type of payment:

- Self
- Third Party
- Broker
- Retained
- Absorbed/Paid Back
- Advanced Payment

**Settlement Status**

The status of the settlement is displayed.

**Instrument Status**

The status of the instrument is displayed

**Settled**

Check this option if the transaction is settled.

**Reversed**

Check this option if the transaction is reversed.

**Txn Mode**

Select the mode of transaction:

- Amount
- Percent
- Units
- Residual

For multi transactions, the 'Units' transaction mode is not applicable.



**Payment Value**

Specify the value of payment.

Click 'Calculate' button to calculate the settlement amount.

**4.8.12.3 Amount Details****Settlement Amount**

The settlement amount is displayed.

**Payment Amount**

The payment amount is displayed.

**4.8.12.4 Processing Multi Transactions**

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

---

**Note**

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.

- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
  - On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
- 

#### **4.8.13 Receipt Detail Button**

Receipt details does not support Subscription transaction.

#### **4.8.14 Project Allocation Details Button**

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID and the ISIN Code
- The Product ID
- The number of units allocated, in the Units field.
- The Spill Over Product ID and the number of spillover units, in the Spill Over Units field.
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The total load amount, in the Load Amount field.
- The Gross and Net Amounts in fund base currency
- The Settlement Amount in the transaction currency
- MMF Dividend Amount

The following Load Details are displayed during the allocation:

- The Fund ID and the ISIN Code
- The Load ID
- The Load Description
- The Load Amount

After you have viewed the projected allocation details, click the Close button to close the screen.

## 4.8.15 Allocation Details Button

Clicking 'Allocation Details' button, the Allocation screen is displayed:

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MM/DD/YYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

1 of 1

Go

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

1 of 1

Go

Exit

### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.8.16 Saving the transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

The system will validate the following if CPMF is applicable for the fund involved in the transaction:

- Transaction amount should be greater than the minimum amount for CPMF
- Mode of payment is Money transfer
- The subscription is Gross-Amount based
- Only one bank account is maintained in the payment details.
- The account type of the transfer account is an eligible account type
- In case 'Credit on Outflow' is 'No', and if there is any redemption linked to this subscription before credit date (barring any interim taxation), crediting will not happen.
- CPMF percentage and Lag cannot be modified for System generated authorized transactions.
- In Subscription screen, If Lag basis is 'Trigger based', Lag will be defaulted to '-1' and cannot be changed. If Lag basis is 'Transaction date', lag will be 0.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

### **4.8.16.1 Viewing Balance Holdings of a Unit Holder**

You can view the available fund balance details of a unit holder. For this, click the 'View Balance' button in the 'FCIS Subscription Transaction Detail' screen. The 'Investor Fund Balance Summary' screen is displayed in view mode displaying the unit holder fund balance details.

### **4.8.17 Transaction Processing Logic for Currency of Expression Funds**

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHC OE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHCOE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

#### **4.8.17.1 FX Logic**

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

---

#### **Note**

The rounding precision for fund price currencies will be base price.

---

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

#### **4.8.17.2 Processing Unit Holder Currency of Expression**

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination. You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

---

##### **Note**

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

---

#### **4.8.17.3 Processing Fund Price Maintenance**

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. This will be mandatory check. If the system does not find the Price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

#### **4.8.17.4 NAV Correction impact for fund price currencies**

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for

the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

#### **4.8.17.5 Currency of expression logic applied during Transactions**

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC  $\neq$  UHCOE

---

#### **Note**

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UH-COE will be defaulted as Transaction currency.

---

#### **4.8.17.6 System logic to derive the Price Currency**

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:



If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠ FBC or FPC; then Price CCY will be FBC).

#### **4.8.17.7 Switch Logic for currency of expression**

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

## **4.9 Cancel Transaction Detail**

This section contains the following topics:

- [Section 4.9.1, "Invoking Cancel Transaction Detail Screen"](#)
- [Section 4.9.2, "Processing Cancellations"](#)

### **4.9.1 Invoking Cancel Transaction Detail Screen**

An initial purchase (subscription) transaction entered into by an investor can be cancelled at the investor's request, through a Cancel operation, provided the cancellation period specified for the fund has not elapsed.

When a cancellation is processed, a redemption transaction that annuls the original subscription transaction is generated. Upon successful processing of the cancel operation, the subscription amount refunded.

Cancellation is possible only for subscription transactions.

To enter a cancellation request, you can use the 'FCIS Cancel Transaction Detail' screen. You can invoke this screen by typing 'UTDCNTXN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Cancel Transaction Detail

Save

Client Information

Unit Holder ID \*

Unit Holder Name

CIF Number

Find UH

Transaction Cancellation Details

Fund ID \*

Fund Name

Transaction Number \*

ISIN Code

Cancellation Number

Cancellation Date \*

Input By

Authorized By

DateTime

Mod No

Open

Authorized

Cancel

You need to specify the following details:

- The unit holder that has requested for a cancellation
- The fund in which the subscription was entered, for which a cancellation is being sought
- The transaction number of the subscription transaction being cancelled
- The cancellation date, which is deemed to be the current date. It must fall within the cancellation period for the fund.

The System checks to see that the transaction being cancelled is an initial purchase, and that the unit holder has no holdings in the fund at the time of cancellation; also, that the cancellation date is within the cancellation period for the fund. If any of these checks fail, an override is sought.

## 4.9.2 Processing Cancellations

Cancellations are processed as follows:

- The cancellation is processed based on the fund-level cancellation parameters, as follows:
  - The price basis for the cancellation depends on the Cancellation Price Basis defined in the fund rules.
  - The fund load mapping for cancellation would have been set up similar to the loads applicable for the initial subscription, with entity types reversed.

- Upon authorization, the cancellation creates an underlying redemption transaction with transaction date as the cancellation date and units equal to the original allotted units of the subscription transaction.
- Upon authorization of the cancellation, the original subscription cannot be amended or reversed. Also, the original subscription cannot be reversed or aged against any other redemption.
- The cancellation transaction is a sub type of redemption transaction.
- The administration fee for cancellation is captured as a transaction time fee.
- If the original transaction has already been redeemed out, the System records an error.
- If the original transaction has not been settled (that is, there are provisional units), there is no payout due to the generated redemption, which is generated as confirmed and paid.
- The load amount for the redemption is the sum of loads due to refund of the original load amounts.
- Allocation of the cancellation age out the original units allotted. The settlement amount after this allocation is the market value of cancellation.
- Market value of cancellation is taken to be:

Units allotted \* NAV / Bid / Offer price + Front end load on original purchase

- The cancellation amount (settlement amount) due to the transaction is determined as shown below:

Case	Description
Market Value more than or equal to original investment amount	Market value less than original investment amount  Consideration of original Subscription price as cancellation price during allocation
Cancellation amount is equal to the original investment amount  In case of a price increase, the difference between the cancellation amount and original investment amount is accounted to the fund	Cancellation amount is equal to the Market Value.  In this case, the difference between the cancellation amount and the original investment amount is 'Due to Fund Manager'

## 4.10 Subscription Transaction Summary Screen

This section contains the following topics:

- [Section 4.10.1, "Retrieving a Record in FCIS Subscription Transaction Summary Screen"](#)
- [Section 4.10.2, "Editing FCIS Subscription Transaction Record"](#)
- [Section 4.10.3, "Viewing FCIS Subscription Transaction Record "](#)
- [Section 4.10.4, "Deleting FCIS Subscription Transaction Record"](#)
- [Section 4.10.5, "Authorizing FCIS Subscription Transaction Record "](#)
- [Section 4.10.6, "Amending FCIS Subscription Transaction Record "](#)
- [Section 4.10.7, "Authorizing Amended FCIS Subscription Transaction Record "](#)

## 4.10.1 Retrieving a Record in FCIS Subscription Transaction Summary Screen

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Subscription Transaction Summary' screen by typing 'UTSTXN02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

FCIS Subscription Transaction Summary

Search **Advanced Search** Reset Clear All

Search Is Case Sensitive

Authorized  Open

Transaction Number  Reference Number

Fund ID  Unit Holder ID

Currency of Expression Transaction  Transaction Type

Transaction Mode  Transaction Date

Dealing Date  Limit Order

Transaction Status  Transaction Currency

Maker ID

Agent Code

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Status	Transaction Number	Reference Number	Fund ID	Unit Holder ID	Currency of Expression Transaction
------------	------	--------	--------------------	------------------	---------	----------------	------------------------------------

Find UH | Authorize | Delete | Reverse | Override

Exit

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Reference Number
- Fund ID
- Currency of Expression Transaction
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- Dealing Date
- Transaction Currency
- Limit Order Details
- Payment Mode

- Completion Date
- Agent Code
- AMC ID
- Maker ID
- Ref Type
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.

- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

### Note

The status field in the Records pane of the summary screen displays the bulk operation results.

## 4.10.2 Editing FCIS Subscription Transaction Record

You can modify the details of FCIS Subscription Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Subscription Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Subscription Transaction Detail screen is closed and the changes made are reflected in the FCIS Subscription Transaction Summary screen.

#### **4.10.3 Viewing FCIS Subscription Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Subscription Transaction Summary screen as follows:

- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Subscription Transaction Detail screen is displayed in View mode.

#### **4.10.4 Deleting FCIS Subscription Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Subscription Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.10.5 Authorizing FCIS Subscription Transaction Record**

- An unauthorized FCIS Subscription Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Subscription Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.10.6 Amending FCIS Subscription Transaction Record**

After a FCIS Subscription Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Subscription Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Subscription Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.10.7 Authorizing Amended FCIS Subscription Transaction Record**

An amended FCIS Subscription Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.11 Redemption Transaction Detail**

This section contains the following topics:

- [Section 4.11.1, "Invoking Redemption Transaction Detail Screen"](#)
- [Section 4.11.2, "UH & Fund Tab"](#)
- [Section 4.11.3, "Transaction Tab"](#)
- [Section 4.11.4, "Other Tab"](#)
- [Section 4.11.5, "Intermediary Tab"](#)
- [Section 4.11.6, "Load Override Tab"](#)
- [Section 4.11.7, "KYC& Document Tab"](#)
- [Section 4.11.8, "Add Info Tab"](#)
- [Section 4.11.9, "Fee Payment Tab"](#)
- [Section 4.11.10, "Certificate Tab"](#)
- [Section 4.11.11, "Limit Order Tab"](#)
- [Section 4.11.12, "Settlement Details Button"](#)
- [Section 4.11.13, "Receipt Detail Button"](#)
- [Section 4.11.14, "Project Allocation Details Button"](#)
- [Section 4.11.15, "Allocation Details Button"](#)
- [Section 4.11.16, "View Balance Button"](#)
- [Section 4.11.17, "Transaction Processing Logic for Currency of Expression Funds"](#)

#### **4.11.1 Invoking Redemption Transaction Detail Screen**

Enter a redemption transaction request into the system in the following sequence of events:

Invoke the 'FCIS Redemption Transaction Detail' screen by typing 'UTDTXN03' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for redemption transactions is displayed, with all the default



information. To enable the fields for entry, select 'New' from the Actions menu in the Application tool bar or click new icon.

## Transaction Information

### Unit Holder ID

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

Click 'Find UH' button to open 'Unit Holder Find Options' screen. You can get the Unit holder details by entering the required values in that screen.

**Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Order Received Date**

*Date Format; Optional*

Specify the order received date.

**Transaction Date**

*Date Format; Mandatory*

Specify the order received date.

**Payment Mode**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Payment Mode Description**

*Display*

The system displays the description for the mode of payment selected.

**Transaction Number**

*Display*

The system displays the transaction number.

**Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

**Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Order Received Time (HH24:MI)**

*Time Format; Optional*

Specify the order received time.

**Transaction Type**

*Alphanumeric; Mandatory*

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

## **Description**

### *Display*

The system displays the description for the selected Transaction type.

## **Transaction Category**

### *Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

This field is enabled after you click 'Enrich' button.

## **Transaction Value**

### **Transaction Mode**

#### *Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units
- Percent

### **Units Applied**

#### *Display*

The system displays the units applied details.

### **Amount Applied**

#### *Display*

The system displays the amount applied details.

### **Percent Applied**

#### *Display*

The system displays the percent applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click 'Reset Transaction' button. Using this option, the system will clear all

the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

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**Note**

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
  - If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled
-

## Deriving the order received date and time

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012
14:00	14-Oct-2012	15:15	15-Oct-2012

### 4.11.2 UH & Fund Tab

Click UH & Fund tab in FCIS Redemption Transaction Detail screen.

The screenshot shows the 'FCIS Redemption Transaction Detail' window with the 'UH & Fund' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Unit Holder Details:** Includes CIF Number (with a 'UH Deal' button), Unit Holder Name (with a 'UH Signature' button), ISIN No, Fund Name, Fund Base Currency, Price Currency, and Currency of Expression (No).
- Footer:** Includes Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and View Balance. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open, along with 'Ok' and 'Cancel' buttons.

Click on the UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to redeem units, in the Product ID field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the non-taxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

The system displays the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

### 4.11.3 Transaction Tab

Click on Transaction tab in the Redemption Transaction screen.

The screenshot displays the 'FCIS Redemption Transaction Detail' window with the 'Transaction' tab selected. The interface is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID, Order Received Date, Transaction Date (set to 03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Transaction Category (a dropdown menu), Transaction Mode (a dropdown menu), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- UH & Fund:** A tabbed interface with 'Transaction' selected. Other tabs include Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, and Limit Order.
- Exchange Rate Details:** Includes Source ID (BLOOMB), Amount Applied, FX Deal Date, Exchange Rate Applied, Override Exchange Rate? (a dropdown menu), and FX Value Date. There is a 'Calculate' button.
- Interest Details:** Includes a 'Details' button and a field for Interest (FRI%).
- Settlement Details:** Includes Receipt Details, Project Allocation Details, Allocation Details, and View Balance.
- Footer:** Includes Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, Open, and buttons for 'Ok' and 'Cancel'.

You can specify the following details:

#### Gross or Net

##### Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

### **Communication Mode**

#### *Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Delivery Option**

#### *Optional*

Select the delivery option from the drop-down list. The list displays the following values:

- Investment Account
- Clearing Account - Against Payment
- Clearing Account - Free of Payment
- Delivery to Custodian
- Physical Delivery
- PUEV

Clicking 'Details' button, the 'Delivery Details' window will be opened, where in you can enter the following details:

### **Delivery Type**

#### *Optional*

Select the type of delivery from the drop-down list. Following are the options available:

- Self
- Third Party

### **Exchange Rate Details**

#### **Source ID**

##### *Alphanumeric; Optional*

Specify the source ID. Alternatively, you can select source ID from the option list. The list displays all valid source ID maintained in the system.

#### **Amount Applied**

##### *Display*

The system displays the amount applied details.

**FX Deal Date**

*Date Format; Optional*

Specify the FX deal date.

**Exchange Rate Applied**

*Display*

The system displays the exchange rate applied details.

**Override Exchange Rate?**

*Optional*

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

**FX Value Date**

*Date Format; Optional*

Specify the FX value date.

**Interest Details****Interest**

*Alphanumeric; Optional*

Specify the interest details.

**Interest (FBC)**

*Alphanumeric; Optional*

Specify the fund base currency interest details.

Clicking 'Details' button, 'Interest Details' window is displayed. You can specify the following details:

**4.11.3.1 Dilution Levy Processing**

To arrive at the dilution levy breach limit the inflow breach factor is considered. (Fund Corpus \* inflow Breach Factor < Net Amount in FBC). Dilution Levy limit breach is validated against the gross transaction amount. If the gross transaction amount exceeds the dilution levy breach limit, then a warning message is displayed by the system. The dilution levy breach limit amount can be overridden at the transaction level. The overridden value is considered only if the transaction attracts dilution levy.

An EOD batch computes the aggregated net transaction amount at unit holder, fund and transaction type level. This batch is scheduled before the allocation process. If the gross aggregated amount for Unit Holder, Fund and Transaction type combination is identified breaching, then a dilution levy fee is applied on all transactions of that fund, Unit Holder, and transaction type combination.



## 4.11.4 Other Tab

Click on 'Other' tab in the Redemption Transaction Detail.

The screenshot shows the 'FCIS Redemption Transaction Detail' window with the 'Other' tab selected. The form is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a magnifying glass icon), Payment Mode Description, Transaction Number, Transaction Currency (with a magnifying glass icon), Reference Number, Order Received Time (HH24 MI), Transaction Type (with a magnifying glass icon), Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** UH & Fund, Transaction, Other (selected), Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Settlement Details:** Settlement Date (MM/DD/YYYY), Remarks (with a magnifying glass icon), Base Cost, Payment Allowed (dropdown), Auto Clear Reinvestments (No), Dealing Date (MM/DD/YYYY), EUUSD Option (Select One), Price Date (MM/DD/YYYY), Campaign Code (with a magnifying glass icon), and Reversal Code.
- Maturity Details:** Maturity Date (MM/DD/YYYY), Cancel Instruction (dropdown), Auto Clear Provisional Balance (No), Fund Price Basis (with a magnifying glass icon), Completion Date (MM/DD/YYYY), LOI Transaction (No), CPMF Bonus Percent, CPMF Credit Lag, Lock-In Period for Gain, and KIID Received? (dropdown).
- Footer:** Settlement Details | Receipt Details | Project Allocation Details | Allocation Details | View Balance. Below this are fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized (dropdown), Open, Open (dropdown), and buttons for 'Ok' and 'Cancel'.

You can specify the following details:

### Settlement Date

*Date Format; Optional*

Specify the settlement date.

### Remarks

*Alphanumeric; Mandatory*

Specify remarks, if any.

### Base Cost

*Numeric; Optional*

Specify the base cost details.

### Payment Allowed

*Optional*

Select if payment allowed is or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Auto Clear Reinvestments**

### *Optional*

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Dealing Date**

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

*Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund*

## **EUSD Option**

### *Optional*

Select the EUSD option from the drop-down list. The list displays the following values;

- With Holding Tax
- Exchange of Information
- Tax Exemption Certificate

## **Price Date**

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

## **Campaign Code**

### *Alphanumeric; Mandatory*

Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.

## **Reversal Code**

### *Display*

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

## **Maturity Date**

*Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

---

### **Note**

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

---

## **Cancel Instruction**

*Optional*

Select the cancel instruction from the drop-down list. The list displays the following values:

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

### **Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

## **Auto Clear Provisional Balance**

*Optional*

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

## **Fund Price Basis**

*Alphanumeric; Mandatory*

Specify the fund price basis details. Alternatively, you can select fund price basis details from the option list. The list displays all valid fund price basis maintained in the system.

## **Completion Date**

*Date Format; Optional*

The date on which the transaction is completed.

## **LOI Transaction**

*Optional*

Select the status of LOI transaction

If the unit holder that is subscribing to the fund through IPO is designated as a Letter or Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

This specification is only applicable for LOI unit holders that are transacting in a fund in a group for which LOI is deemed as allowed.

## **CPMF Bonus Percent**

*Numeric; Optional*

Specify the percentage of CPMF bonus.

By default, the CPMF Bonus percentage is displayed here which is arrived at based on the fund CPMF preference. If CPMF Bonus Type is 'Fixed', Percentage cannot be modified during the transaction input i.e., Bonus is credited on the lag EOD activity. Details regarding CPMF Preference are explained in the section 'Maintaining Fund CPMF Preferences' in the Fund Manager module.

## **CPMF Credit Lag**

*Numeric; Optional*

Indicate the lag for the CPMF bonus to be credited.

## **Lock-in Period for Gain Days**

*Numeric; Optional*

The default lock-in period for the funds where IOF/IRRFR are applicable is defaulted here. This can however be modified.

---

### **Note**

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

---

## **KIID Received?**

*Mandatory*

Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values:

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

## 4.11.5 Intermediary Tab

Click on 'Intermediary' tab in the Redemption Transaction Detail screen

The screenshot displays the 'FCIS Redemption Transaction Detail' window. The 'Intermediary' tab is selected, showing a table for 'Transaction Intermediary Details'. The table has columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and an empty column. The 'From Or To Leg' dropdown is set to 'From'. Below the table, there are fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No'. The 'Mod No' dropdown is set to 'Authorized'. The 'Open' button is visible.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

### Entity Name

When you select the broker code, the name of the broker is displayed.

### Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

### Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

### From or To Leg

Specify the from or to leg details.

## 4.11.6 Load Override Tab

Click on 'Load Override' tab in the Redemption Transaction Detail screen.

The screenshot displays the 'FCIS Redemption Transaction Detail' window. The 'Load Override' tab is selected, highlighted in red. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes fields for Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, and Transaction Category (a dropdown menu).
- Transaction Value (Right):** Includes fields for Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, **Load Override** (selected), KYC And Document, Add Info, Fee Payment, Certificate, Limit Order.
- Load Details:** A section with a 'Load Override Details' button.
- Load Override Details Table:** A table with columns: Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, Change Value, and Projected Return Value. The table is currently empty.
- Settlement Details:** Includes links for Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and View Balance.
- Footer:** Includes fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open. There are 'Ok' and 'Cancel' buttons.

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

### **Load ID**

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

### **Load Details**

The system displays the load details.

### **Load Description**

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

### **Group ID**

The system displays the group ID.

### **Amount Percent**

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

This value will be validated against the minimum, maximum and step values specified for redemption transactions in the Transaction Processing Rules for the fund. It is also validated against the amount / units limit values maintained for both the communication mode selected for the transaction, and the investor category of the selected unit holder. A warning, which can be overridden, is displayed if the value is not within the limits.

If the client country option 'NETUNALLOTTEDAMT' is set to true for your bank, then the system will match the units to be redeemed with the unit holder's current balance minus the unallotted redemptions (if any). If the transaction value exceeds the balance available, the system will throw up an error message. It will not save the transaction.

If the transaction is being put through as a result of a check issued by an investor with the check writing facility, in a fund for which the check writing facility is allowed, the transaction amount that you specify here must fall within the minimum and maximum limits specified for the fund, for check redemption transactions.

For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction.

If specified in the General Operating Rules for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or unit holder-level, as indicated in the General Operating Rules. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the General Operating Rules.

### **Project Return Value**

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

---

**Note**

For Period based slab load, projected return value will display the return value of the first sequence. However for the detailed slab details, user can use the load details button.

---

**Change Value**

Specify the change value details.

**Change type**

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

**Derived Load Override Details**

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value



## 4.11.7 KYC& Document Tab

Click on 'KYC and Document' tab in the Redemption Transaction Detail screen.

The screenshot displays the 'FCIS Redemption Transaction Detail' window. The 'KYC And Document' tab is selected in the navigation bar. The form is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- KYC Transaction Details:** A table with columns: Requested (checkbox), Requirement (dropdown), Received (checkbox), Received Date (MM/DD/YYYY), and Tax Document (dropdown). The first row shows 'Requested' checked, 'Requirement' as 'Alphanumeric; Mandatory', 'Received' unchecked, 'Received Date' as 'MM/DD/YYYY', and 'Tax Document' as 'No'.
- Document Details:** Includes Chasing Date (MM/DD/YYYY), KYC Received (No), and a 'UH KYC Details' button.
- Footer:** Includes 'Settlement Details', 'Receipt Details', 'Project Allocation Details', 'Allocation Details', and 'View Balance'. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized/Unauthorized, Open/Open, and 'Ok'/'Cancel' buttons.

### Requested

*Optional*

Check this box to indicate KYC details are requested.

### Requirement

*Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

### Received

*Optional*

Check this box to indicate KYC details are received.

### Received Date

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

### Tax Document

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes

- No

**Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

**KYC Received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

**Document Details****Document ID**

*Alphanumeric; Optional*

Specify the document ID.

**Document Type**

*Alphanumeric; Optional*

Specify the document type.

**Type Description**

*Alphanumeric; Optional*

Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

---

**Note**

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

---

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

## 4.11.8 Add Info Tab

Click on 'Add Info' tab in the Redemption Transaction Detail screen.

The screenshot displays the 'FCIS Redemption Transaction Detail' window. At the top, there is a 'Save' button. The main area is divided into two sections: 'Transaction Information' and 'Transaction Value'. The 'Transaction Information' section includes fields for 'Unit Holder ID \*' (with a 'Find UH' button), 'Fund ID \*' (with a magnifying glass icon), 'Order Received Date' (MM/DD/YYYY), 'Transaction Date \*' (03/10/2016), 'Payment Mode \*', 'Payment Mode Description', 'Transaction Number', 'Transaction Currency', 'Reference Number', 'Order Received Time (HH24.MI)', 'Transaction Type', 'Description', and 'Transaction Category' (a dropdown menu). The 'Transaction Value' section includes 'Transaction Mode \*' (Amount), 'Units Applied', 'Amount Applied', and 'Percent Applied'. Below these sections is a tabbed interface with 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info' (highlighted in red), 'Fee Payment', 'Certificate', and 'Limit Order'. Below the tabs is the 'Additional Information Details' section, which has a 'Go' button and a table with columns 'Other Info Field' and 'Field Value'. At the bottom, there are tabs for 'Settlement Details', 'Receipt Details', 'Project Allocation Details', 'Allocation Details', and 'View Balance'. The footer contains fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open', along with 'Ok' and 'Cancel' buttons.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.

## 4.11.9 Fee Payment Tab

Click on 'Fee Payment' tab in the Redemption Transaction Detail screen.

The screenshot shows the 'FCIS Redemption Transaction Detail' window with the 'Fee Payment' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID\*, Fund ID\*, Order Received Date, Transaction Date\* (03/10/2016), Payment Mode\*, and Payment Mode Description. There are 'Find UH' and search icons.
- Transaction Value:** Includes Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, and Transaction Category (a dropdown menu).
- Transaction Mode:** Includes Transaction Mode\* (Amount\*), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Fee Calculation:** Includes Fee In Fund Base Currency, Transaction Fee, Fee Calculation Basis (Fund Base Currency), and a 'Fee Pay Details' button.

At the bottom, there is a navigation bar with tabs: Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and View Balance. Below this is a footer section with fields for Input By, Authorized By, DateTime, Mod No, and a status dropdown (Authorized, Unauthorized, Open, Open). There are 'Ok' and 'Cancel' buttons.

If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

### Fee in Fund Base Currency

*Alphanumeric; Optional*

Specify the fee in fund base currency details.

### Transaction Fee

*Display*

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

### Fee Calculation Basis

*Optional*

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click 'Fee Pay Details' button to specify fee payment details.

You can specify the following values:

**Transaction Fee**

*Numeric; Optional*

Specify the transaction fee.

**Payment Mode**

*Optional*

Select the payment mode from the drop-down list. The list displays the following values:

- Cheque
- Transfer
- Draft
- Card

**Bank**

*Alphanumeric; Optional*

Specify the bank details.

**Branch**

*Alphanumeric; Optional*

Specify the branch code.

**Cheque Number**

*Alphanumeric; Optional*

Specify the cheque number.

**Cheque Date**

*Date Format; Optional*

Specify the cheque date.

**Transfer Branch**

*Alphanumeric; Optional*

Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.

**Account Type**

*Optional*

Select the type of account from the drop-down list. The list displays the following values:

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

### Account Number

*Alphanumeric; Optional*

Specify the account number.

### Clearing Date

*Date Format; Optional*

Specify the clearing date.

### Account Holder Name

*Alphanumeric; Optional*

Specify the name of the account holder.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

## 4.11.10 Certificate Tab

Click Certificate tab in the Redemption Transaction Detail screen.

The screenshot shows the 'FCIS Redemption Transaction Detail' window with the 'Certificate' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a search icon), Payment Mode Description, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type (with a search icon), Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Navigation Tabs:** UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, **Certificate** (selected), Limit Order.
- Certificate Required?** A dropdown menu set to 'Yes'.
- From Issued Balances:** A dropdown menu set to 'Select'.
- Min Cert Denomination:** A text input field.
- Max Cert Denomination:** A text input field with a 'Certificate SpillOver' checkbox.
- Certificate Denominations:** A table with columns for Certificate Lot Size, No of Certificates, and a checkbox. It shows 1 of 1.
- Certificate Details:** A table with columns for Certificate Number (with a search icon), Units, Partial, and a checkbox. It shows 1 of 1.
- Footer:** Includes Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and View Balance. It also has fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized (dropdown), Open, Open (dropdown), and 'Ok'/'Cancel' buttons.

### Certificate Required?

*Optional*

Select if certificate required or not from the drop-down list. The list displays the following values:

- Yes

- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

### **Single Certificate?**

*Optional*

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination & Min Cert Denomination under Certificate Section.

### **From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### **Certificate Spillover**

*Optional*

Check this box if certificate spillover is required.

## **Certificate Denominations**

### **Certificate Lot Size**

*Mandatory*

Specify the certificate lot size details.

### **No of Certificates**

*Numeric; Optional*

Specify the number of certificates.

## **Certificate Details**

### **Certificate Number**

*Numeric; Optional*

Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.



## Units

*Numeric; Optional*

Specify the units details.

## Partial

*Optional*

Check this box if partial details to be selected.

### 4.11.11 Limit Order Tab

Click on 'Limit Order' tab in the Redemption Transaction Detail screen.

The screenshot shows the 'FCIS Redemption Transaction Detail' window. The 'Limit Order' tab is selected in the bottom navigation bar. The 'Transaction Information' section includes fields for Unit Holder ID, Fund ID, Order Received Date, Transaction Date (03/10/2016), Payment Mode, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24:MI), Transaction Type, Description, and Transaction Category. The 'Transaction Value' section includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. The 'Limit Order Details' section includes Limit Order Type, Limit Price, Limit Start Date, Limit End Date, and Limit Date. The bottom of the screen shows a status bar with 'Settlement Details', 'Receipt Details', 'Project Allocation Details', 'Allocation Details', and 'View Balance'. The bottom right corner has buttons for 'Ok' and 'Cancel'.

Select the 'Limit Order for Subscription' (buy) option in the Type of Transaction field. The Limit Order section is enabled.

## Limit Order Type

*Optional*

Select 'Price Based' in the Limit Order Type field. The options available in the drop-down are as follows:

- Price-Based
- Date Based

## Limit Price

*Alphanumeric; Optional*

Specify the price for the limit order, in the Limit Price field. This represents the price equal to or below which the transaction must be put through (for buy orders).

## Limit Start and End Date

*Date Format; Optional*

Specify the period within which the limit order must be executed, by indicating the boundary dates, in the Limit Start Date and Limit End Date fields.

## Limit Date

*Date Format; Optional*

To set up a date-based limit order, specify the following details in the Limit Order section:

- Select 'Date Based' in the Limit Order Type field.
- Specify the future date on which the limit order transaction must be executed, in the Limit Date field.

### 4.11.12 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the 'Settlement Details' button to invoke the 'Settlement Details' screen.

FCIS - Settlement Details

Settlement Details

Settlement Level: Fund Base Currency Settlement Method: Gross Amount Calculate

Amount Details

Settlement Amount: 1,000.00 Payment Amount: 2,525.00

1 of 1

Payment Reference Number: PY Bank Charges: 0 Auto Settle: Yes

Beneficiary ID: Payment Charges: 0 Instrument Status: Not Cleared

Beneficiary Percentage: Exchange Rate Source: BLOOMB

Sub Payment Mode: Cheque F X Rate: 1

Payment Currency: HKD FBC Amount: 2525

Payment Date: 01/09/2015 Settlement Due Date: 01/02/2015

Payment Amount: 2,525.00 Paid Date: MMDDYYYY

Amount Block Number:

Settled Reversed

Payment Details

Bank Code: Branch Code: Entity ID: Payment Type: Self

Check/Draft Details

Cheque Date: 01/02/2015 Check Number: 4561230

Account Details

Account Currency: Account Holder Name: Account Number: Account Type: IBAN:

Card Details

Credit Card Ref No: Card Number:

Third Party Details Unit Holder Details

Ok Exit

## **Settlement Details**

### **Settlement Level**

The settlement level is displayed.

### **Settlement Method**

The method of settlement is displayed.

## **4.11.12.1 Transaction Settlement Details**

### **Payment reference Number**

Specify the payment reference number.

### **Sub Payment Mode**

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic transfer
- Wire Transfer

### **Payment Currency**

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

### **Payment Date**

Specify the payment date.

### **Payment Amount**

The payment amount is displayed.

### **Bank Charges**

Specify the bank charges.

**Payment Charges**

Specify the payment charges.

**Exchange Rate Source**

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

**FX Rate**

Specify the foreign exchange rate.

**FBC Amount**

Specify the fund base currency amount.

**Due Date**

Specify the due date of the transaction.

**Paid Date**

Specify the paid date of the transaction.

**Auto Settlement**

Select 'Yes' option if you require auto settlement.

**Payment Type**

Select the type of payment:

- Self
- Third Party
- Broker
- Retained
- Absorbed/Paid Back
- Advanced Payment

**Settlement Status**

The status of the settlement is displayed.

**Instrument Status**

The status of the instrument is displayed

**Settled**

Check this option if the transaction is settled.

**Reversed**

Check this option if the transaction is reversed.

**Txn Mode**

Select the mode of transaction:

- Amount
- Percent
- Units
- Residual

For multi transactions, the 'Units' transaction mode is not applicable.

**Payment Value**

Specify the value of payment.

Click 'Calculate' button to calculate the settlement amount.

**4.11.12.2 Amount Details****Settlement Amount**

The settlement amount is displayed.

**Payment Amount**

The payment amount is displayed.

**4.11.12.3 Processing Multi Transactions**

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

---

**Note**

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
- Backdated and future date transactions are allowed only for the out flow transactions
- The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
- The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
- Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
- Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
- You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
- The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.

- When the payment mode is given as multi payment, the payment mode should be provided in settlement details
- On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.

### 4.11.13 **Receipt Detail Button**

Click on 'Receipt Detail' button to invoke Receipt Details screen.

FCIS - Receipt Details

Transaction Receipt Details

1 of 1 Go

Transaction Number	Units
<input checked="" type="checkbox"/> [Transaction Number]	

Get Units

Total Units 0

Ok Cancel

You can specify the following details:

#### **Transaction Number**

*Alphanumeric; 16 Characters; Optional*

Specifies the transaction number linked to the outflow transaction.

#### **Units**

*Numeric; 22 Characters; Optional*

Specify the units details.

#### **Total Units**

*Display*

The system displays the total number of units by clicking 'Get Units' button.

#### **4.11.14 Project Allocation Details Button**

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID and the ISIN Code
- The Product ID
- The number of units allocated, in the Units field.
- The Spill Over Product ID and the number of spillover units, in the Spill Over Units field.
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The total load amount, in the Load Amount field.
- The Gross and Net Amounts in fund base currency
- The Settlement Amount in the transaction currency
- MMF Dividend Amount

The following Load Details are displayed during the allocation:

- The Fund ID and the ISIN Code
- The Load ID
- The Load Description
- The Load Amount

After you have viewed the projected allocation details, click the Close button to close the screen.

### 4.11.15 Allocation Details Button

Clicking 'Allocation Details' button, the following screen is displayed:

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

Exit

The following allocation details are displayed:

#### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount



### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name'
- Tax Amount

### **4.11.16 View Balance Button**

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:

The screenshot shows the 'Investor Fund Balance' application window. At the top, there's a 'Unit Holder ID' field with a 'Find UH' button. Below this is the 'Fund balances Detail' section, which contains a table with the following columns: Fund ID, Fund Name, Fund Base Currency, UH Currency of expression, Policy Number, and Pro. The table is currently empty. Below the table, there are two input fields: 'Total Blocked Amount' and 'Total Holdings in UH Currency'. To the right of these fields are four buttons: 'Purchase', 'Redeem', 'Switch', and 'New SI'. At the bottom of the window, there are two tabs: 'Unit Block Details' and 'Category-wise Balance'. A 'Cancel' button is located in the bottom right corner.

You can specify the following details:

#### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder ID.

You can also get the unit holder ID by clicking 'Find UH' button.

#### **Fund Balances Detail**

##### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Fund Name**

*Alphanumeric; Mandatory*

Specify the fund name.

**Fund Base Currency**

*Alphanumeric; Mandatory*

Specify the fund base currency.

**UH Currency of expression**

*Alphanumeric; Optional*

Specify the unit holder currency of expression details.

**Policy Number**

*Alphanumeric; Mandatory*

Specify the policy number.

**Product ID**

*Alphanumeric; Mandatory*

Specify the product ID.

**Unit Balance**

*Numeric; Mandatory*

Specify the unit balance.

**Total Blocked Units**

*Numeric; Mandatory*

Specify the total blocked units.

**FBC redeemable**

*Alphanumeric; Optional*

Specify the redeemable fund base currency.

**FBC Holding**

*Alphanumeric; Optional*

Specify the fund base currency holdings.

**UHBC Redeemable**

*Alphanumeric; Mandatory*

Specify the redeemable UHBC details.

**Average Cost**

*Alphanumeric; Mandatory*

Specify the average cost.

**Provisional Units**

*Numeric; Mandatory*

Specify the number of provisional units.

**UHBC Holding**

*Alphanumeric; Optional*

Specify the UHBC holdings.

**Balance in Currency of Expression**

*Numeric; Optional*

Specify the balance in currency of expression.

**UH Preferred Currency**

*Alphanumeric; Optional*

Specify the unit holder preferred currency details.

**Balance in UH Preferred Currency**

*Numeric; Optional*

Specify the balance in unit holder's preferred currency.

**G1 Units**

*Numeric; Optional*

Specify the number of G1 units.

**G2 Units**

*Numeric; Optional*

Specify the number of G2 units.

**Total Blocked Amount or Holdings****Total Blocked Amount**

*Numeric; Optional*

Specify the total amount blocked.

**Total Holdings in UH Currency**

*Alphanumeric; Optional*

Specify the total holdings in the unit holder currency.

**4.11.16.1 Total Blocked Units****Financer Details****Financer**

*Alphanumeric; Optional*

Specify the financer details.

**Fund ID**

*Alphanumeric; Optional*

Specify the fund ID.

**Fund Name Short**

*Display*

The system displays the short name for the selected fund ID.

**Units**

*Numeric; Optional*

Specify the number of units.

## **Total Blocked Units**

### **Total Units Blocked**

#### *Display*

The system displays the total number of units blocked. Saving the Transaction

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

Specify Intermediary Details, Override Allocation Loads and Document Details, if necessary.

- Alternatively, the following information may also need to be captured before you save a redemption transaction.
- In the Intermediary section, ensure that all the identified brokers for the unit holder, that have not been disabled as on the application date, have been selected, and that the commission split percentages for all selected brokers sum up to one hundred percent.
- In the Load Override section, you may need to override an allocation-frequency charge or load. There are three options available for such overrides - Discount, Return Value and Increase. 'Discount' will reduce the slab value by the specified percent/amount for all slabs. 'Increase' will increase the slab value by the specified percent/amount for all slabs. 'Return Value' will change the return value for all the slabs to the specified percent/amount.
- In the Document Details section, you may need to capture the document id of the unit holder. You can either enter the document id or choose the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.
- You can now save the transaction.

### **4.11.17 Transaction Processing Logic for Currency of Expression Funds**

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHC OE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

#### **4.11.17.1 FX Logic**

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

---

#### **Note**

The rounding precision for fund price currencies will be base price.

---

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

#### **4.11.17.2 Processing Unit Holder Currency of Expression**

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination. You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

---

##### **Note**

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

---

#### **4.11.17.3 Processing Fund Price Maintenance**

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained. then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. This will be mandatory check. If the system does not find the Price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

#### **4.11.17.4 NAV Correction impact for fund price currencies**

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

#### **4.11.17.5 Currency of expression logic applied during Transactions**

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC  $\neq$  UHCOE

---

**Note**

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UH-COE will be defaulted as Transaction currency.

---

#### **4.11.17.6 System logic to derive the Price Currency**

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)



When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC ≠FBC or FPC; then Price CCY will be FBC).

#### **4.11.17.7 Switch Logic for currency of expression**

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

## **4.12 Redemption Transaction Summary**

This section contains the following topics:

- [Section 4.12.1, "Retrieving a Record in Redemption Transaction Summary Screen"](#)
- [Section 4.12.2, "Editing Redemption Transaction Record"](#)
- [Section 4.12.3, "Viewing Redemption Transaction Record "](#)
- [Section 4.12.4, "Deleting Redemption Transaction Record"](#)
- [Section 4.12.5, "Authorizing Redemption Transaction Record "](#)
- [Section 4.12.6, "Amending Redemption Transaction Record "](#)
- [Section 4.12.7, "Authorizing Amended FCIS Redemption Transaction Record "](#)

### **4.12.1 Retrieving a Record in Redemption Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Redemption Transaction Summary' screen by typing 'UTSTXN03' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Reference Number
- Fund ID
- Unit Holder ID
- Currency of Expression Transaction
- Transaction Type
- Transaction Mode
- Transaction Date
- Transaction Currency
- Dealing Date
- Limit Order Details
- Payment Mode
- Completion Date
- Agent Code
- AMC ID

- Maker ID
- Ref Type
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

#### **Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

---

#### **Note**

The status field in the Records pane of the summary screen displays the bulk operation results.

---

Example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

### **4.12.2 Editing Redemption Transaction Record**

You can modify the details of FCIS Redemption Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Redemption Transaction Detail screen is displayed.

- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Redemption Transaction Detail screen is closed and the changes made are reflected in the FCIS Redemption Transaction Summary screen.

### **4.12.3 Viewing Redemption Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Redemption Transaction Summary screen as follows:

- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Redemption Transaction Detail screen is displayed in View mode.

### **4.12.4 Deleting Redemption Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. . The FCIS Redemption Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **4.12.5 Authorizing Redemption Transaction Record**

- An unauthorized FCIS Redemption Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Redemption Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.12.6 Amending Redemption Transaction Record**

After a FCIS Redemption Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Redemption Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.12.7 Authorizing Amended FCIS Redemption Transaction Record**

An amended FCIS Redemption Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.13 Redemption Confirmation**

This section contains the following topic:

- [Section 4.13.1, "Invoking Redemption Confirmation Screen"](#)
- [Section 4.13.2, "Show Details Button"](#)
- [Section 4.13.3, "Process Button"](#)
- [Section 4.13.4, "View Error Log Button"](#)

### 4.13.1 Invoking Redemption Confirmation Screen

You can confirm redemption transaction using 'Confirm Redemption Detail' screen. You can invoke this screen by typing 'UTDCNRED' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Confirm Redemption Detail

Save

Unit Holder ID  Find UH

Confirm All

Fund ID

Fund Name

AMC / Agent Code

Legal Entity

Fund Family

ISIN Code

Settlement Date

Dealing Date

Settlement Due Date

Paid Date

Show Details Process View Error Log

1 of 1 Go

Fund ID	Fund Identification Number	Fund Base Currency	Transaction Date	Transaction Number	Net Amt In FBC	Units Allotted
---------	----------------------------	--------------------	------------------	--------------------	----------------	----------------

Cancel

You can specify the following details:

#### Unit Holder ID

*Alphanumeric; 8 Characters; Mandatory*

Specify the unit holder ID.

#### Confirm All

*Optional*

Select if redemption transaction is confirmed or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking 'Yes' option, the system will clear the transaction details irrespective of trades chosen individually for confirmation or not. That is, if 'Process' button is clicked with 'Confirm All' option is 'Yes' then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not.

**Fund ID**

*Alphanumeric; 8 Characters; Mandatory*

Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all the valid fund IDs maintained in the system.

**Fund Name**

*Display*

The system displays the fund name for the selected fund ID.

**AMC / Agent Code**

*Alphanumeric; 8 Characters; Mandatory*

Specify the AMC or agent code. Alternatively, you can select the AMC or agent code from the option list. The list displays all the valid AMC or agent codes maintained in the system.

**Legal Entity**

*Alphanumeric; 8 Characters; Mandatory*

Specify the legal entity. Alternatively, you can select legal entity from the option list. The list displays all the valid legal entity code maintained in the system.

**Fund Family**

*Alphanumeric; 8 Characters; Mandatory*

Specify the fund family details. Alternatively, you can select fund family from the option list. The list displays all the valid fund family code maintained in the system.

**ISIN Code**

*Display*

The system displays ISIN code.

**Settlement Date**

*Date Format; Optional*

Select the settlement date from the adjoining calendar.

**Dealing Date**

*Date Format; Optional*

Select the dealing date from the adjoining calendar.

**Settlement Due Date**

*Date Format; Optional*

Select the settlement due date from the adjoining calendar.

**Paid Date**

*Date Format; Optional*

Select the paid date from the adjoining calendar.

#### **4.13.2 Show Details Button**

Clicking 'Show Details' button, the system will display the following details:

- Fund ID
- Fund Identification Number
- Fund Base Currency
- Transaction Date
- Transaction Number

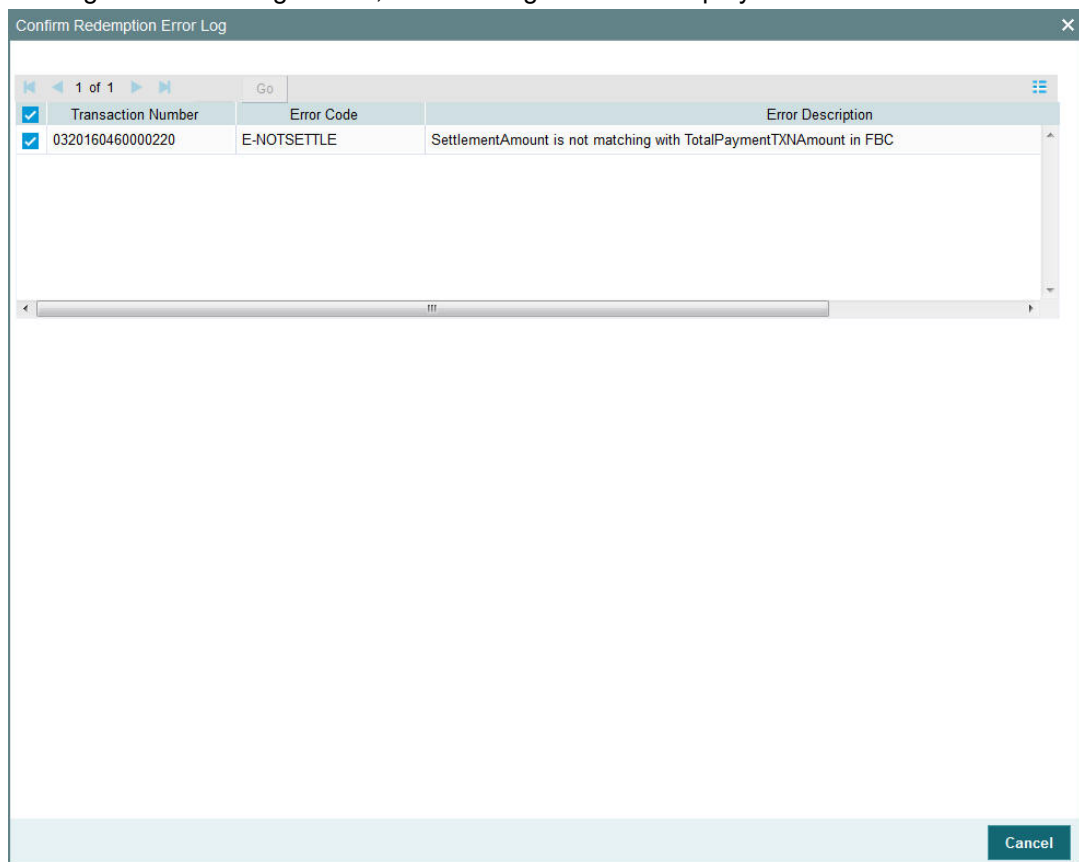
- Net Amount in FBC
- Units Allotted
- Confirmation Date
- Dealing Date
- Settlement Due Date

#### 4.13.3 **Process Button**

if 'Process' button is clicked with 'Confirm All' option is 'Yes' then all the trades pertaining to the selected criteria will be confirmed irrespective of whether trades have been individually selected or not. The system will display a confirmation message as 'Choosing this option will pick all the transactions matching the criteria for processing. Do you want to continue?'

#### 4.13.4 **View Error Log Button**

Clicking 'View Error Log' button, the following window is displayed:



The system will persist the error and the failed records will be shown along with the error description. The following types of errors will be considered:

- Stop account Errors for redemption settlement
  - Stop Account is issued for redemption Settlement to this Unitholder
- Confirmation date cannot be less than transaction date
- Settlement process related
  - Redemption transaction is not allotted
  - Settlement is not matching with the total payment amount



- General error – Redemption confirmation failed
- If Client country 'REDCONFCCYCHECK' is ON then the system will check transaction currency for holiday. If it is OFF, then the system will check for fund calendar. The system will display an error message as 'Date entered is a holiday'

If entered confirmation date is greater than date allotted and confirmation lag, then the system will display an error message as 'Confirmation date is greater than allowed limit'

## **4.14 Transaction Switch Detail**

This section contains the following topics:

- [Section 4.14.1, "Invoking Transaction Switch Detail Screen"](#)
- [Section 4.14.2, "UH and Fund Tab"](#)
- [Section 4.14.3, "Exchange Details Tab"](#)
- [Section 4.14.4, "Other Tab"](#)
- [Section 4.14.5, "Intermediary Tab"](#)
- [Section 4.14.6, "Load Override Tab"](#)
- [Section 4.14.7, "KYC and Document Tab"](#)
- [Section 4.14.8, "Add Info Tab"](#)
- [Section 4.14.9, "Fee Payment Tab"](#)
- [Section 4.14.10, "Certificate Tab"](#)
- [Section 4.14.11, "Switch Overrides Tab"](#)
- [Section 4.14.12, "Document Details Button"](#)
- [Section 4.14.13, "Settlement Details Button"](#)
- [Section 4.14.14, "Receipt Detail Button"](#)
- [Section 4.14.15, "Project Allocation Details Button"](#)
- [Section 4.14.16, "Allocation Details Button"](#)
- [Section 4.14.17, "View Balance Button"](#)
- [Section 4.14.18, "Saving the Transaction"](#)
- [Section 4.14.19, "Transaction Processing Logic for Currency of Expression Funds"](#)

### **4.14.1 Invoking Transaction Switch Detail Screen**

Enter a switch transaction request into the system in the following sequence of events:

Invoke the 'FCIS Transaction Switch Detail' screen by typing 'UTDTXN04' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for switch transactions is displayed, with all the default information.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Switch Transaction.

The screenshot shows the 'FCIS Transaction Switch Detail' application window. It features a top navigation bar with a 'Save' button. The main content area is organized into several sections:

- Client Information:** Includes fields for Unit Holder ID (with a 'UHFIND' button), Fund ID, To Fund ID, Order Received Date, Transaction Date (set to 03/10/2016), and Transaction Category.
- Transaction Information:** Includes Transaction Number, Reference Number, Transaction Currency, Transaction Type (set to 'Normal Switch'), Order Received Time, Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Mode (set to 'Amount'), Units Applied, Amount Applied, and Percentage Applied. It also has 'Enrich Transaction' and 'Reset Transaction' buttons.
- Unit Holder Details:** Includes CIF Number, Unit Holder Name, and a 'UHF Signature' button.
- From Fund Details:** Includes Price Basis, From Price Date, Dealing Date, Fund ISIN, Fund Name Short, Fund Base Currency, and From Price Currency.
- To Fund Details:** Includes Switch In Price Basis, Switch In Price Date, Switch In Dealing Date, To ISIN Code, To Fund Name Short, To Fund Base Currency, and To Price Currency.
- Pseudo Switch Details:** Includes Subscription Fund ID, Subscription Price Basis, Subscription Price Date, Subscription Settlement Date, Subscription Fund Base Currency, and Subscription Fund Name Short.

At the bottom, there are tabs for 'UH And Fund', 'Exchange Details', 'Other Details', 'Intermediary Details', 'Load Overrides', 'KYC And Document', 'Add Info', 'Fee Payment Details', 'Switch Overrides', and 'Certificate'. The bottom right corner has 'Ok' and 'Cancel' buttons.

In this screen, you can maintain the following details:

## Client Information Section

### Unit Holder ID

*Alphanumeric; Mandatory*

Specify the unit holder who has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

When you specify the unit holder,

The funds in which the specified unit holder can transact are displayed in the Fund drop down list.

The default brokers maintained for the specified unit holder that have not been disabled as on the transaction date, are displayed by default in the Broker Details Section of the screen.

### Fund ID

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**To Fund ID**

*Alphanumeric; Mandatory*

Specify the To fund ID. Alternatively, you can select To fund ID from the option list. The list displays all valid To fund ID maintained in the system.

**Order Received Date**

*Date Format; Optional*

Specify the order received date.

**Transaction Date**

*Mandatory*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

If the unit holder account has a stop instruction (i.e., is frozen), then you can only input the transaction if the transaction date is ahead of the Stop Account Release Date specified in the account profile.

**Transaction Category**

*Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business
- Execution Only

**Transaction Information Section****Transaction Number**

*Alphanumeric; Optional*

Specify the transaction number.

**Reference Number**

*Alphanumeric; Optional*

Specify the reference number for the transaction in the Reference Number field. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Transaction Type**

*Mandatory*

Select the type of switch transaction requested by the unitholder. The available options are:

- Normal Switch
- Pseudo Switch
- CMA Switch
- Bed and Breakfast Switch

In case of normal switch transaction, the following sequence of events occurs:

- Select the fund from which the requested switching is to be put through, from the drop down list in the Fund field. You can also specify the ISIN Code of the fund. The base currency for the fund is displayed in the Fund Base Currency field. The name of the chosen fund is displayed in the Fund Name field.
- If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Number of Certificates and the Certificate Details section.
- If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:
- The Fee Details including the Calculate Fee button, the Fee in Fund Base Currency, Fee in Transaction Currency, Override Fee and the Fee after Override fields.
- The Fee Payment Details Section.
- The Load Override Section.
- Specify the fund to which the unit holder wishes to switch the investment, in the To Fund field. You can also specify the ISIN Code of the fund. The name of the chosen fund is displayed in the Fund Name field. Switching is allowed either between funds in a fund family or between funds in an AMC, as designated in the Entity Maintenance record for the AMC. You are allowed to switch to a fund provided you do not have any holdings in the fund complementary to the fund you have chosen.

In case of pseudo switch transaction, the following fields will be displayed:

- Subscription Fund Id
- Subscription Price Basis
- Switch In Fund Base Currency

Bed and Breakfast switch means switching within the same fund i.e. if the 'Switch from' fund and the 'Switch to' fund in a switch transaction are same. In case of Band B switch, the following sequence of events occurs:

- The system bypasses all the check which restricts switching into same fund at the time of allocation if the reftype is 'BB'.
- The system defaults the 'Switch To' fund to same as 'Switch From' fund. You will not be able to edit the same.
- For the switch subscription leg, transaction date will be defaulted with the switch redemption leg transaction date
- For a transaction, you will not be able to specify the settlement details for either the redemption leg or the subscription leg.
- The transaction currency and the fund base currency should be same. On enriching the transaction, the system defaults the transaction currency to same as the fund base currency.

As part of EOD batch, amount based subscription leg transaction is generated once the allocation of redemption leg is through and it is settled. B & B transaction processing and allocation is similar to that of the pseudo switch transaction type. The settlement amount in fund base currency of the redemption transaction will be used as the transaction currency amount for the subscription leg. The transaction currency for the subscription leg will be the fund base currency.

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

---

**Note**

- Allocation for both redemption and subscription transaction is done on the same day.
  - Based on the redemption and subscription allocation price, the subscription leg allotted units could be different from the redemption leg allotted units
  - The Bed & Breakfast subscription transaction is generated only after its linked redemption and its original subscription transaction status is complete.
- 

**Order Received Time (HH24:MI)**

*Time Format; Mandatory*

Specify the order received time.

**Payment Mode**

*Alphanumeric; Optional*

Specify the payment mode. Alternatively, you can select payment mode from the option list. The list displays the valid payment mode maintained in the system.

**Payment Mode Description**

*Display*

The system displays the payment mode description.

**Deriving the order received date and time**

The system will validate the Fund cut off based on the Order received time and not the actual time the Transaction is captured in the system. The transaction date will be derived by the system based on these two fields. For instance, if the Fund Cut off is 14.00 hrs at a Fund level and the transaction is captured at 15.00 hrs in the system with the Order Received time as 13.00 then the system should validate the time maintained at Order Received time and not the time the transaction is actually captured. This will be considered as the same day transaction.

If all the below mentioned transactions are captured on 15-Oct-2012 at 16:00 hrs then the transaction dates will be derived as detailed below. In case the transaction date is amended then the system has to consider the amended transaction date. Post authorisation of the transaction, you cannot amend order received date and time.

Fund Cut off	Order Received Date	Order Received time	Transaction Date
14:00	15-Oct-2012	13:50	15-Oct-2012
14:00	15-Oct-2012	14:10	16-Oct-2012
14:00	14-Oct-2012	13:25	14-Oct-2012
14:00	14-Oct-2012	15:15	15-Oct-2012

**Transaction Value****Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount

- Units
- Percent

### **Units Applied**

#### *Display*

The system displays the units applied details.

### **Amount Applied**

#### *Display*

The system displays the amount applied details.

### **Percent Applied**

#### *Display*

The system displays the percent applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click 'Reset Transaction' button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID
- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode

- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

Both the 'From' and 'To' fund IDs of Switch Transaction will be enabled for modification and amendment.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

---

**Note**

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
  - If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled
-

## 4.14.2 UH and Fund Tab

Click UH and Fund tab in FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'UH and Fund' tab selected. The window is divided into several sections:

- Client Information:** Includes fields for Unit Holder ID (with a 'UH FIND' button), Fund ID, To Fund ID, Order Received Date, Transaction Date (03/10/2016), and Transaction Category.
- Transaction Information:** Includes Transaction Number, Reference Number, Transaction Currency, Transaction Type (Normal Switch), Order Received Time (HH24:MI), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percentage Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Unit Holder Details:** Includes CIF Number, Unit Holder Name, and a 'UH Signature' button.
- From Fund Details:** Includes Price Basis, From Price Date, Dealing Date, Fund ISIN, Fund Name Short, Fund Base Currency, and From Price Currency.
- To Fund Details:** Includes Switch In Price Basis, Switch In Price Date, Switch In Dealing Date, To ISIN Code, To Fund Name Short, To Fund Base Currency, and To Price Currency.
- Pseudo Switch Details:** Includes Subscription Fund ID, Subscription Price Basis, Subscription Price Date, Subscription Settlement Date, Subscription Fund Base Currency, and Subscription Fund Name Short.

At the bottom, there are tabs for Document Details, Receipt Details, Settlement Details, Allocation Details, Project Allocation Details, and View Balance. Below these are fields for Input By, Authorized By, DateTime, and Modification Number, along with 'Open' and 'Authorized' buttons. 'Ok' and 'Cancel' buttons are at the bottom right.

Click on the UH Deals button to view the details of all the deals set up for the unit holder. Enter the relevant search criteria in the Find Options screen. The system will display the records that match the search criteria you have specified.

### From Fund Details

#### Price Basis

*Alphanumeric; Mandatory*

Specify the price basis details. Alternatively, you can select price basis from the option list. The list displays all valid price basis maintained in the system.

#### From Price Date

*Date Format; Optional*

Specify the from price date.

#### Dealing Date

*Date Format; Optional*

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.



*Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund*

**Fund ISIN**

*Alphanumeric; Mandatory*

Specify the Fund ISIN code. Alternatively, you can select fund ISIN code from the option list. The list displays all valid fund ISIN code maintained in the system.

**Fund Name Short**

*Alphanumeric; Optional*

Specify the short fund name.

**Fund Base Currency**

*Display*

The system displays the fund base currency.

**From Price Currency**

*Display*

The system displays the from price base currency.

**To Fund Details****Switch in Price Basis**

*Alphanumeric; Mandatory*

Specify the Switch in price basis details. Alternatively, you can select switch in price basis from the option list. The list displays all valid switch in price basis maintained in the system.

**Switch in Price Date**

*Date Format; Optional*

Specify the switch in price date.

**Switch in Dealing Date**

*Date Format; Optional*

Specify the switch in dealing date.

**To ISIN Code**

*Alphanumeric; Mandatory*

Specify the To ISIN code. Alternatively, you can select To ISIN code from the option list. The list displays all valid To ISIN code maintained in the system.

**To Fund Name Short**

*Alphanumeric; Optional*

Specify the short fund name.

**To Fund Base Currency**

*Display*

The system displays the To fund base currency.

**To Price Currency**

*Display*

The system displays the To price currency.

## **Pseudo Switch Details**

### **Subscription Fund ID**

*Alphanumeric; Mandatory*

Specify the subscription fund ID. Alternatively, you can select subscription fund ID from the option list. The list displays all valid subscription fund ID maintained in the system.

### **Subscription Price Basis**

*Alphanumeric; Mandatory*

Specify the subscription price basis. Alternatively, you can select subscription price basis from the option list. The list displays all valid subscription price basis maintained in the system.

### **Subscription Price Date**

*Date Format; Optional*

Specify the subscription price date.

### **Subscription Settlement Date**

*Date Format; Optional*

Specify the subscription settlement date.

### **Subscription Fund Base Currency**

*Display*

The system displays Subscription Fund Base Currency details.

### **Subscription Fund Name Short**

*Display*

The system displays Subscription Short Fund Name.

### **Subscription ISIN Code**

*Alphanumeric; Mandatory*

Specify the subscription ISIN code. Alternatively, you can select subscription ISIN code from the option list. The list displays all valid subscription ISIN code maintained in the system.

### **Subscription Price Currency**

*Display*

The system displays Subscription Price Currency details.

### **Currency of Expression Transaction**

*Optional*

Select the currency of Expression transaction status from the drop-down list. The list displays the following values:

- Yes
- No

### **Subscription Transaction Date**

*Display*

The system displays Subscription Transaction Date.

### 4.14.3 Exchange Details Tab

Click Exchange Details tab in the Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'Exchange Details' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. Below these are tabs for UH And Fund, Exchange Details (selected), Other Details, Intermediary Details, Load Overrides, KYC And Document, Add Info, Fee Payment Details, Switch Overrides, and Certificate. The Exchange Details section contains fields for Exchange Rate Source, Amount In Fund Base, Currency, Exchange Rate Applied, Override Exchange Rate?, FX Deal Date, and FX Value Date. There are also fields for Switch-In Exchange Rate Applied, Override Switch-In Exchange Rate?, Switch-In Exchange Rate Source, Subscription Exchange Rate Source, Exchange Rate Applied, Override Exchange Rate?, and Overridden Exchange Rate. Each section has a 'Calculate' button. At the bottom, there are fields for Input By, Authorized By, DateTime, Modification Number, Open, and Authorized, along with 'Ok' and 'Cancel' buttons.

Client Information	Transaction Information	Transaction Value
Unit Holder ID *	Transaction Number	Transaction Mode *
Fund ID *	Reference Number	Units Applied
To Fund ID	Transaction Currency	Amount Applied
Order Received Date	Transaction Type	Percentage Applied
Transaction Date *	Order Received Time (HH24:MI)	
Transaction Category	Payment Mode	
	Payment Mode Description	

UH And Fund | **Exchange Details** | Other Details | Intermediary Details | Load Overrides | KYC And Document | Add Info | Fee Payment Details | Switch Overrides | Certificate

Exchange Rate Source *	Switch-In Exchange Rate Applied	Subscription Exchange Rate Source
BLOOMB		
Amount In Fund Base	Override Switch-In Exchange Rate?	Exchange Rate Applied
Currency		Override Exchange Rate?
Exchange Rate Applied	Switch-In Exchange Rate Source	Overridden Exchange Rate
Override Exchange Rate?		
FX Deal Date		FX Deal Date
FX Value Date		FX Value Date

Document Details | Receipt Details | Settlement Details | Allocation Details | Project Allocation Details | View Balance

Input By	DateTime	Modification Number
Authorized By	DateTime	Open
		Authorized

Ok Cancel

You can specify the following details:

#### Exchange Rate Source

*Alphanumeric; Mandatory*

Specify the exchange rate source. Alternatively, you can select exchange rate source from the option list. The list displays all valid Exchange Rate Source maintained in the system.

#### Amount In Fund Base Currency

*Numeric; Optional*

Specify the amount in fund base currency.

#### Currency

*Display*

The system displays the currency details.

#### Exchange Rate Applied

*Alphanumeric; Optional*

Specify the applied exchange rate.

**Override Exchange Rate?**

*Optional*

Select if exchange rate applied has to be overridden from the drop-down list. The list displays the following values;

- Yes
- No

**FX Deal Date**

*Date Format; Optional*

Specify the FX deal date.

**FX Value Date**

*Date Format; Optional*

Specify the FX value date.

**Switch-In Exchange Rate Applied**

*Alphanumeric; Optional*

Specify the switch-in exchange rate applied.

**Override Switch-in Exchange Rate**

*Optional*

Select if switch-in exchange rate should be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

**Switch-in Exchange Rate Source**

*Alphanumeric; Optional*

Specify the switch-in exchange rate source.

**Exchange Rate Applied**

*Alphanumeric; Optional*

Specify the exchange rate applied.

**Override Exchange Rate**

*Optional*

Select if exchange rate should be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

**FX Deal Date**

*Date Format; Optional*

Specify the FX deal date.

**FX Value Date**

*Date Format; Optional*

Specify the FX value date.

After specifying all the necessary details, click 'Calculate' button to calculate the exchange details. The system obtains the applicable exchange rate for the application date and

computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

## 4.14.4 Other Tab

Click on 'Other' tab in the FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'Other' tab selected. The window is divided into several sections:

- Client Information:** Includes fields for Unit Holder ID (with a 'UHFIND' button), Fund ID, To Fund ID, Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), and Transaction Category (a dropdown menu).
- Transaction Information:** Includes Transaction Number, Reference Number, Transaction Currency, Transaction Type (Normal Switch), Order Received Time (HH24:MI), Payment Mode, and Payment Mode Description.
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percentage Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons.
- Other Details (Active Tab):**
  - Auto Clear Provisional Balance: No
  - Auto Clear Reinvestments: No
  - Campaign Code
  - Reversal Code
  - KIID Received? (checkbox)
  - Remarks
  - Settlement Date (MM/DD/YYYY)
  - Base Cost
  - Cancel Instruction: -- Select --
  - Payment Allowed: Yes
  - Retain Ageing: No
  - Gross or Net: Gross
  - Communication Mode: Direct (In Person)
  - Delivery Option: Investment Account
  - 'Delivery Details' button
- Document Details:** Includes Receipt Details, Settlement Details, Allocation Details, Project Allocation Details, and View Balance.
- Footer:** Includes Input By, Authorized By, DateTime, Modification Number, Open, Authorized, and 'Ok'/'Cancel' buttons.

You can specify the following details:

### Auto Clear Provisional Balance

#### Optional

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

### Settlement Date

#### Date Format; Optional

Specify the settlement date.

### Remarks

#### Alphanumeric; Mandatory

Specify remarks, if any.

### Base Cost

#### Numeric; Optional

Specify the base cost details.

**Retain Ageing**

*Optional*

Select if ageing is retained or not from the drop-down list. The list displays the following values:

- Yes
- No

**Payment Allowed**

*Optional*

Select if payment allowed is or not from the drop-down list. The list displays the following values:

- Yes
- No

**Auto Clear Reinvestments**

*Optional*

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

**Campaign Code**

*Alphanumeric; Mandatory*

Specify the campaign code. Alternatively, you can select campaign code from the option list. The list displays all valid campaign code maintained in the system.

**Reversal Code**

*Display*

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

**Cancel Instruction**

*Optional*

Select the cancel instruction from the drop-down list. The list displays the following values:

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

**Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

**Auto Clear Provisional Balance***Optional*

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

**KIID Received?***Mandatory*

Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values:

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

## 4.14.5 Intermediary Tab

Click on 'Intermediary' tab in the FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'Intermediary Details' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. Below these is a tabbed interface with 'Intermediary Details' highlighted. The 'Transaction Intermediary Details' section contains a table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, and From Or To Leg. The table has one row with a dropdown menu for 'From Or To Leg'. At the bottom, there are fields for Input By, Authorized By, DateTime, Modification Number, Open, and Authorized, along with 'Ok' and 'Cancel' buttons.

Entity Type *	Entity ID *	Entity Name	Parent Entity Name	Split Percentage	From Or To Leg *
					-- Select --

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

### Entity Name

When you select the broker code, the name of the broker is displayed.

### Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.



## Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.14.6 Load Override Tab

Click on 'Load Override' tab in the FCIS Transaction Switch Detail screen.

The screenshot displays the 'FCIS Transaction Switch Detail' window. The 'Load Overrides' tab is selected in the navigation bar. The 'Load Override Details' section shows a table with one row of data. The table has columns for Fund ID, Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, and Change Value. The 'Fund ID' column contains the value 'Fund ID \*'. The 'Load ID' column contains the value 'Load ID \*'. The 'Load Details' column contains the value 'Load Details'. The 'Load Description' column contains the value 'Load Description'. The 'Group Id' column contains the value 'Group Id \*'. The 'Amount/Percent' column contains the value 'Amount/Percent'. The 'Change Type' column contains the value 'Change Type'. The 'Change Value' column contains the value 'Change Value'. The table is currently empty, showing only the header row. The 'Load Override Details' button is visible above the table. The 'Load Override Details' section also includes a 'Go' button and a '1 of 1' indicator. The bottom of the screen shows a status bar with fields for Input By, Authorized By, DateTime, Modification Number, Open, and Authorized, along with 'Ok' and 'Cancel' buttons.

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

**Load ID**

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

**Load Details**

The system displays the load details.

**Load Description**

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

**Group ID**

The system displays the group ID.

**Amount Percent**

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

If the client country option 'NETUNALLOTTEDAMT' is set to true for your bank, then the system will match the units to be redeemed with the unit holder's current balance minus the unallotted switches (if any). If the transaction value exceeds the balance available, the system will throw up an error message. It will not save the transaction.

For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules for either the switched-in or switched-out fund, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction.

If specified in the General Operating Rules for the fund, the End of Day processes perform the minimum holdings validation, by picking up all allocated transactions during the business day and grouping according to CIF-level or unit holder-level, as indicated in the General Operating Rules. During this, the system validates whether the current holdings balance of the investor either equals or exceeds the minimum holdings balance specified in the General Operating Rules.

**Project Return Value**

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

## Change Value

Specify the change value details.

## Change type

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

## Derived Load Override Details

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

## 4.14.7 KYC and Document Tab

Click on 'KYC and Document' tab in the FCIS Transaction Switch Detail screen.

The screenshot displays the 'FCIS Transaction Switch Detail' window. The 'KYC And Document' tab is selected, showing a table of KYC Transaction Details. The table has columns for Requested, Requirement, Received, Received Date, and Tax Document. The first row shows a requirement that has been received on 03/10/2016. The second row shows a requirement that has not been received. The table is currently showing 1 of 1 records. Below the table, there are fields for Chasing Date and KYC Received, and a button for UH KYC Details. The bottom of the screen shows a summary section with fields for Input By, Authorized By, DateTime, and Modification Number, along with buttons for Ok and Cancel.

Requested	Requirement	Received	Received Date	Tax Document
<input type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No

**Requested**

*Optional*

Check this box to indicate KYC details are requested.

**Requirement**

*Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

**Received**

*Optional*

Check this box to indicate KYC details are received.

**Received Date**

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

**Tax Document**

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

**KYC Received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

## 4.14.8 Add Info Tab

Click on 'Add Info' tab in the FCIS Transaction Switch Detail screen.

The screenshot displays the 'FCIS Transaction Switch Detail' window. At the top, there is a 'Save' button. The main area is divided into three columns: 'Client Information', 'Transaction Information', and 'Transaction Value'. The 'Client Information' column includes fields for 'Unit Holder ID \*', 'Fund ID \*', 'To Fund ID', 'Order Received Date', 'Transaction Date \*' (set to 03/10/2016), and 'Transaction Category'. The 'Transaction Information' column includes 'Transaction Number', 'Reference Number', 'Transaction Currency', 'Transaction Type' (set to 'Normal Switch'), 'Order Received Time (HH24.MI)', 'Payment Mode', and 'Payment Mode Description'. The 'Transaction Value' column includes 'Transaction Mode \*' (set to 'Amount'), 'Units Applied', 'Amount Applied', and 'Percentage Applied'. There are 'Enrich Transaction' and 'Reset Transaction' buttons on the right. Below these columns is a tabbed interface with 'Add Info' selected. The 'Additional Information Details' section shows a table with columns 'Other Info Field' and 'Field Value'. At the bottom, there are tabs for 'Document Details', 'Receipt Details', 'Settlement Details', 'Allocation Details', 'Project Allocation Details', and 'View Balance'. The footer contains fields for 'Input By', 'Authorized By', 'DateTime', 'Modification Number', 'Open', and 'Authorized', along with 'Ok' and 'Cancel' buttons.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.

## 4.14.9 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'Fee Payment Details' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. Below these is a horizontal tab bar with 'Fee Payment Details' highlighted. The 'Fee Payment Details' section contains two columns of input fields. The left column includes Transaction Fee, Branch Code, Pledge Branch, Check Number, Check Date, Fee In Fund Base Currency, and IBAN. The right column includes Account Currency, Pledge Bank, Account Type (set to 'Current Account'), Account Number, Clearing Date, and Account Holder Name. At the bottom, there is a metadata section with fields for Input By, Authorized By, DateTime, Modification Number, Open, and Authorized, along with 'Ok' and 'Cancel' buttons.

Client Information	Transaction Information	Transaction Value
Unit Holder ID *	Transaction Number	Transaction Mode * Amount
Fund ID *	Reference Number	Units Applied
To Fund ID	Transaction Currency	Amount Applied
Order Received Date	Transaction Type	Percentage Applied
Transaction Date * 03/10/2016	Order Received Time (HH24:MI)	
Transaction Category	Payment Mode	
	Payment Mode Description	

Payment Mode: Cheque

Fee Payment Details
Transaction Fee
Branch Code
Pledge Branch
Check Number
Check Date
Fee In Fund Base Currency
IBAN
Account Currency
Pledge Bank
Account Type: Current Account
Account Number
Clearing Date
Account Holder Name

Document Details | Receipt Details | Settlement Details | Allocation Details | Project Allocation Details | View Balance

Input By	DateTime	Modification Number
Authorized By	DateTime	Open
		Authorized

Ok Cancel

If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

### Fee in Fund Base Currency

*Alphanumeric; Mandatory*

Specify the fee in fund base currency details.

### Transaction Fee

*Display*

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

You can specify the following values:

### Transaction Fee

*Numeric; Optional*

Specify the transaction fee.

**Payment Mode**

*Optional*

Select the payment mode from the drop-down list. The list displays the following values:

- Cheque
- Transfer
- Draft
- Card

**Pledgee Bank**

*Alphanumeric; Optional*

Specify the pledgee bank details.

**Pledgee Branch**

*Alphanumeric; Optional*

Specify the pledgee branch code.

**Cheque Number**

*Alphanumeric; Optional*

Specify the cheque number.

**Cheque Date**

*Date Format; Optional*

Specify the cheque date.

**Branch Code**

*Alphanumeric; Optional*

Specify the branch code. Alternatively, you can select the branch code from the option list. The list displays all valid branch code maintained in the system.

**Account Type**

*Optional*

Select the type of account from the drop-down list. The list displays the following values:

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

**Account Number**

*Alphanumeric; Optional*

Specify the account number.

**Clearing Date**

*Date Format; Optional*

Specify the clearing date.



### Account Holder Name

*Alphanumeric; Optional*

Specify the name of the account holder.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

## 4.14.10 Certificate Tab

Click on the Certificate tab in the FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window with the 'Certificate' tab selected. The window is divided into several sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. Below these are tabs for 'UH And Fund', 'Exchange Details', 'Other Details', 'Intermediary Details', 'Load Overrides', 'KYC And Document', 'Add Info', 'Fee Payment Details', 'Switch Overrides', and 'Certificate' (which is active). The 'Certificate' tab contains fields for 'From Flag' (a dropdown), 'Min Cert Denomination' (a dropdown), 'From Issued Balances' (a dropdown), 'Max Cert Denomination' (a dropdown), 'Single Certificate?' (a dropdown), and 'Certificate SpillOver' (a checkbox). Below these are two tables: 'Certificate Details' and 'Certificate Denomination Details'. The 'Certificate Details' table has columns for 'Certificate Number', 'No Of Units', and 'Partial'. The 'Certificate Denomination Details' table has columns for 'Certificate Lot Size' and 'No Of Units'. At the bottom of the window are fields for 'Input By', 'Authorized By', 'DateTime', 'Modification Number', 'Open', and 'Authorized', along with 'Ok' and 'Cancel' buttons.

### Certificate Required?

*Optional*

Select if certificate required or not from the drop-down list. The list displays the following values:

- Yes
- No

If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

### **Single Certificate?**

*Optional*

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination & Min Cert Denomination under Certificate Section.

### **From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

## **Certificate Denominations**

### **Certificate Lot Size**

*Mandatory*

Specify the certificate lot size details.

### **No of Certificates**

*Numeric; Optional*

Specify the number of certificates.

## **Certificate Details**

### **Certificate Number**

*Numeric; Optional*

Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.

### **Units**

*Numeric; Optional*

Specify the units details.

### **Partial**

*Optional*

Check this box if partial details to be selected.

## 4.14.11 Switch Overrides Tab

Click on 'Switch Overrides' tab in the FCIS Transaction Switch Detail screen.

The screenshot shows the 'FCIS Transaction Switch Detail' window. The 'Switch Overrides' tab is selected in the top navigation bar. The form is divided into three main sections: Client Information, Transaction Information, and Transaction Value. The Client Information section includes fields for Unit Holder ID, Fund ID, To Fund ID, Order Received Date, Transaction Date (03/10/2016), and Transaction Category. The Transaction Information section includes Transaction Number, Reference Number, Transaction Currency, Transaction Type (Normal Switch), Order Received Time (HH24:MI), Payment Mode, and Payment Mode Description. The Transaction Value section includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percentage Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'. Below these sections is a 'Switch Load Override' section with a 'Switch Load Override' button. The 'Switch In Fund Load Override Details' section shows a table with columns: Load ID, Load Description, Load Type, Group ID, Change Type, Change Value, and Projected Return Value. The table has one row with a checked checkbox in the first column, a dropdown for Load Type set to 'Amount', and a dropdown for Change Type set to '-- Select --'. At the bottom, there is a 'Document Details' section with fields for Input By, Authorized By, DateTime, Modification Number, Open, and Authorized, along with 'Ok' and 'Cancel' buttons.

Load ID	Load Description *	Load Type *	Group ID *	Change Type	Change Value	Projected Return Value
<input checked="" type="checkbox"/>		Amount		-- Select --		

If you click 'Switch Load Override' button, the system defaults the switch load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

### Switch In Fund Load Override Details

#### Change Type

*Optional*

Select the change type from the drop-down list. The list displays the following values:

- Discount
- Increase
- Return Value

#### Change Value

*Numeric; Optional*

Specify the change value.

The system displays the following details:

- Load ID
- Load Description
- Load Type
- Group ID
- Projected Return Value

### **Switch In Fund Derived Load Override Details**

#### **Change Type**

*Optional*

Select the change type from the drop-down list. The list displays the following values:

- Discount
- Increase
- Return Value

#### **Change Value**

*Numeric; Optional*

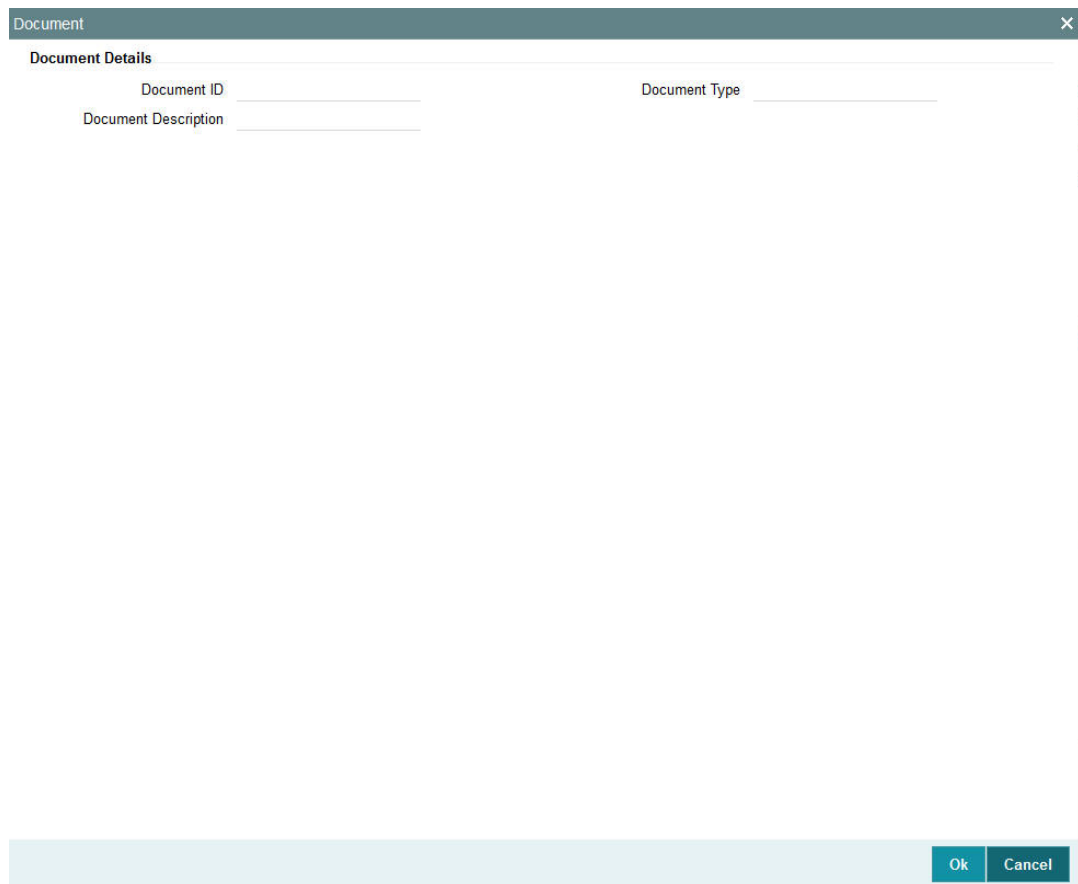
Specify the change value.

The system displays the following details:

- Load ID
- Load Description
- Parent Load ID

#### 4.14.12 Document Details Button

Click 'Document Details' button to invoke 'Document Details' window



Document

Document Details

Document ID \_\_\_\_\_

Document Description \_\_\_\_\_

Document Type \_\_\_\_\_

Ok Cancel

You can specify the following details:

##### **Document Details**

###### **Document ID**

*Alphanumeric; Optional*

Specify the document ID.

###### **Document Description**

*Alphanumeric; Optional*

Specify the document description for the selected document ID.

###### **Document Type**

*Alphanumeric; Optional*

Specify the document type.

#### 4.14.13 Settlement Details Button

Here, you can maintain settlement details only for the multi transactions. Click the 'Settlement Details' button to invoke the 'Settlement Details' screen.

FCIS - Settlement Details

Settlement Details

Settlement Level
Fund Base Currency

Settlement Method
Gross Amount

Calculate

Amount Details

Settlement Amount
1,000.00

Payment Amount
2,525.00

1 of 1

Payment Reference Number
PY

Beneficiary ID

Beneficiary Percentage

Sub Payment Mode
Cheque

Payment Currency
HKD

Payment Date
01/09/2015

Payment Amount
2,525.00

Amount Block Number

Bank Charges
0

Payment Charges
0

Exchange Rate Source
BLOOMB

FX Rate
1

FBC Amount
2525

Settlement Due Date
01/02/2015

Paid Date
MM/DD/YYYY

Auto Settle
Yes

Instrument Status
Not Cleared

Settled

Reversed

Payment Details

Bank Code

Branch Code

Entity ID

Payment Type
Self

Check/Draft Details

Cheque Date
01/02/2015

Check Number
4561230

Card Details

Credit Card Ref No

Card Number

Account Details

Account Currency

Account Holder Name

Account Number

Account Type

IBAN

Third Party Details

Unit Holder Details

Ok

Exit

## Settlement Details

### Settlement Level

The settlement level is displayed.

### Settlement Method

The method of settlement is displayed.

#### 4.14.13.1 Transaction Settlement Details

**Payment reference Number**

Specify the payment reference number.

### Sub Payment Mode

Select the mode of payment. The following options are available:

- Demand Draft
- Pay Order
- Against Payment
- In Kind Payment
- CMA Cheque
- Broker Cheque
- Cashier Cheque
- Foreign Cheque
- Government Cheque
- Other Institution Cheque
- Out Of Town Cheque
- Payroll Deduction Cheque
- Reserve Bank Cheque
- Debit Card
- Credit Card
- Advice
- CMA Transfer
- Direct Debit
- Money Transfer
- Telegraphic transfer
- Wire Transfer

#### **Payment Currency**

Specify the payment currency. You can also select the currency from the adjoining option list. The list consists of valid and authorised currencies maintained in the system.

#### **Payment Date**

Specify the payment date.

#### **Payment Amount**

The payment amount is displayed.

#### **Bank Charges**

Specify the bank charges.

#### **Payment Charges**

Specify the payment charges.

#### **Exchange Rate Source**

Specify the source of exchange rate. You can also select the source of exchange rate from the adjoining option list. This exchange rate source is used to convert aggregate currency to transaction currency and vice versa.

#### **FX Rate**

Specify the foreign exchange rate.

#### **FBC Amount**

Specify the fund base currency amount.

#### **Due Date**

Specify the due date of the transaction.

**Paid Date**

Specify the paid date of the transaction.

**Auto Settlement**

Select 'Yes' option if you require auto settlement.

**Payment Type**

Select the type of payment:

- Self
- Third Party
- Broker
- Retained
- Absorbed/Paid Back
- Advanced Payment

**Settlement Status**

The status of the settlement is displayed.

**Instrument Status**

The status of the instrument is displayed

**Settled**

Check this option if the transaction is settled.

**Reversed**

Check this option if the transaction is reversed.

**Txn Mode**

Select the mode of transaction:

- Amount
- Percent
- Units
- Residual

For multi transactions, the 'Units' transaction mode is not applicable.

**Payment Value**

Specify the value of payment.

Click 'Calculate' button to calculate the settlement amount.

**4.14.13.2 Amount Details****Settlement Amount**

The settlement amount is displayed.

**Payment Amount**

The payment amount is displayed.

**4.14.13.3 Processing Multi Transactions**

To process the outflow transactions, execute the 'Multiple Transaction Generation' batch as part of EOD process. While processing multi transactions, settlement will take precedence over the subscription transactions to be generated (with the exception of settlement of



residual). Also, while doing settlement or while generating subscription the following will be the precedence order:

- Fixed – Units (Not applicable for settlement)
- Fixed – Amount (For subscription transaction generation, both unit and amount takes same priority)
- Percentage
- Residual

The system will either create settlement entries or create subscription transactions as per the multiple transactions. Once all the redemption transactions are allocated and settled, the subscription transactions are generated by a BOD batch. If any of the redemption transaction is not allotted, then the system will not pick up the entire wrapper transaction for settlement. In this case, the subscription transaction is also not created.

---

**Note**

- Each outflow and inflow transactions are saved as separate transactions but against the same wrapper reference number
  - Backdated and future date transactions are allowed only for the out flow transactions
  - The transaction date for the subscription transaction will be the highest settlement date of the redemption transactions.
  - The settlement details entered at the individual transaction level will be overridden by the settlement details maintained at the multi transaction level.
  - Settlement for the subscription transaction will always be by cash and the redemption transaction settlement will be based on the settlement details you have maintained.
  - Reversing multiple transactions is not allowed from the 'FCIS Bulk Transaction' screen. However, you can reverse the individual transaction from online transaction screen.
  - You can modify the individual linked transaction using the online transaction screen. In this case, the system will display a warning message indicating the transaction is a linked transaction
  - The sum of redemption and sum of subscription should be same, else you can select transaction mode as residual.
  - When the payment mode is given as multi payment, the payment mode should be provided in settlement details
  - On saving the multi transaction, if any transaction fails, the system will display an error message. However, it saves the remaining transactions. You can correct the failed transactions and save it again.
-

#### 4.14.14 Receipt Detail Button

Click on 'Receipt Detail' button to invoke Receipt Detail screen.

FCIS - Receipt Details

Transaction Receipt Details

1 of 1 Go + -

<input checked="" type="checkbox"/>	Transaction Number	Units
<input checked="" type="checkbox"/>		

Get Units

Total Units 0

Ok Cancel

You can specify the following details:

##### **Transaction Number**

*Alphanumeric; 16 Characters; Optional*

Specifies the transaction number linked to the outflow transaction.

##### **Units**

*Numeric; 22 Characters; Optional*

Specify the units details.

##### **Total Units**

*Display*

The system displays the total number of units by clicking 'Get Units' button.

#### 4.14.15 Project Allocation Details Button

At this stage, the transaction is ready to be saved. If you wish to see a projected picture of how the transaction would most possibly be allocated, then click the Project Allocation Details button.

You can view Dividend amount for each of the redemption transactions. This amount is the net payment amount payable along with the redemption post WHT and IDS being considered

You can view the projected allocation details only for funds in which the ageing policy is FIFO (first-in, first-out) or Transaction Receipts. If the prices are not available for subscription transactions on the transaction date, the latest available price is picked up for allocation.

For validating dilution levy breach amount, the system does a project allocation for the transaction and then calculates the net amount of the transaction.

When you request the allocation process, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen. The following allocation details are displayed:

- The Fund ID and the ISIN Code
- The Product ID
- The number of units allocated, in the Units field.
- The Spill Over Product ID and the number of spillover units, in the Spill Over Units field.
- The Unit Price for the transaction, as on the date of the temporary allocation.
- The total load amount, in the Load Amount field.
- The Gross and Net Amounts in fund base currency
- The Settlement Amount in the transaction currency
- MMF Dividend Amount

The following Load Details are displayed during the allocation:

- The Fund ID and the ISIN Code
- The Load ID
- The Load Description
- The Load Amount

After you have viewed the projected allocation details, click the Close button to close the screen.

#### 4.14.16 Allocation Details Button

Clicking 'Allocation Details' button, the following screen is displayed:

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

Exit

The following allocation details are displayed:

#### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.14.17 View Balance Button**

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:

Investor Fund Balance

Execute Query

Unit Holder ID \*

Find UH

Fund balances Detail

Fund ID *	Fund Name *	Fund Base Currency *	UH Currency of expression	Policy Number *	Pro
-----------	-------------	----------------------	---------------------------	-----------------	-----

Total Blocked Amount or Holdings

Total Blocked Amount

Total Holdings in UH Currency

Purchase

Redeem

Switch

New SI

Unit Block Details | Category-wise Balance

Cancel

You can specify the following details:

#### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder ID.

You can also get the unit holder ID by clicking 'Find UH' button.

## **Fund Balances Detail**

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Fund Name**

*Alphanumeric; Mandatory*

Specify the fund name.

### **Fund Base Currency**

*Alphanumeric; Mandatory*

Specify the fund base currency.

### **UH Currency of expression**

*Alphanumeric; Optional*

Specify the unit holder currency of expression details.

### **Policy Number**

*Alphanumeric; Mandatory*

Specify the policy number.

### **Product ID**

*Alphanumeric; Mandatory*

Specify the product ID.

### **Unit Balance**

*Numeric; Mandatory*

Specify the unit balance.

### **Total Blocked Units**

*Numeric; Mandatory*

Specify the total blocked units.

### **FBC redeemable**

*Alphanumeric; Optional*

Specify the redeemable fund base currency.

### **FBC Holding**

*Alphanumeric; Optional*

Specify the fund base currency holdings.

### **UHBC Redeemable**

*Alphanumeric; Mandatory*

Specify the redeemable UHBC details.

### **Average Cost**

*Alphanumeric; Mandatory*

Specify the average cost.

### **Provisional Units**

*Numeric; Mandatory*

Specify the number of provisional units.

**UHBC Holding**

*Alphanumeric; Optional*

Specify the UHBC holdings.

**Balance in Currency of Expression**

*Numeric; Optional*

Specify the balance in currency of expression.

**UH Preferred Currency**

*Alphanumeric; Optional*

Specify the unit holder preferred currency details.

**Balance in UH Preferred Currency**

*Numeric; Optional*

Specify the balance in unit holder's preferred currency.

**G1 Units**

*Numeric; Optional*

Specify the number of G1 units.

**G2 Units**

*Numeric; Optional*

Specify the number of G2 units.

**Total Blocked Amount or Holdings****Total Blocked Amount**

*Numeric; Optional*

Specify the total amount blocked.

**Total Holdings in UH Currency**

*Alphanumeric; Optional*

Specify the total holdings in the unit holder currency.

**4.14.17.1 Total Blocked Units****Financer Details****Financer**

*Alphanumeric; Optional*

Specify the financer details.

**Fund ID**

*Alphanumeric; Optional*

Specify the fund ID.

**Fund Name Short**

*Display*

The system displays the short name for the selected fund ID.

**Units**

*Numeric; Optional*

Specify the number of units.



## **Total Blocked Units**

### **Total Units Blocked**

#### *Display*

The system displays the total number of units blocked.

## **4.14.18 Saving the Transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.14.19 Transaction Processing Logic for Currency of Expression Funds**

The system defaults the UH currency of expression in the 'Transaction Currency' field, if available, during transaction capture based on UH and fund combination.

If there is no UH currency of expression maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field. If the transaction is processed, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance (UTDUHC OE). The defaulted currency of expression in the UHCOE maintenance will be as system user.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field (Transaction capture) and if you override this defaulted currency to one of the FPC (from the fund level new) then upon authorization of the transaction FPC will be defaulted as UHCOE at the UHCOE maintenance.

If there is no UHCOE maintained in UTDUHC OE, then FBC will be defaulted in the 'Transaction Currency' field and if you override this defaulted currency to neither FBC/FPC, then upon authorization of the transaction FBC will be defaulted as UHCOE at the UHCOE maintenance.

Following are the system behaviour in case there is an unauthorized or a modified and unauthorized UHCOE maintenance:

Case 1: You need to input a transaction when there is an unauthorized UHCOE maintenance. During transaction input there is not UHCOE to be defaulted as the maintenance is still in unauthorized status. Hence as per logic Fund base currency defaults during transaction capture and this fund base currency will not get defaulted to UHCOE maintenance. Once the UHCOE maintenance is authorized then defaulting will happen during transaction capture.

Case 2: Authorized UHCOE is modified which is still in unauthorized status. In this case if you input a transaction, then the new modified UHCOE will get defaulted during transaction input.

#### 4.14.19.1 FX Logic

The FX rate will not be considered between transaction base currency and fund price currency for currency of expression fund transactions if they are same. This is applicable for subscriptions, redemptions and switch (normal and pseudo) transactions.

The system will use the transaction price currency to get the load; and after applying the load, the net amount and gross amount will get calculated in fund price currency and FBC as well. The currency of expression factor is applied to derive values in fund base currency. The net, gross and load amount will be calculated in currency of expression for a currency of expression transaction and using the COE factor the same is stored in fund base currency only. For a transaction placed using one of the fund price currency; in the project allocation/ allocation tab, the load amount in fee currency and vat amount in fee currency field will display the value in fund price currency only irrespective of the fee calculation basis value of the transaction.

For currency of expression transactions the exchange rate applied field during transaction capture will be defaulted to '1'. If you change it, then while saving, the system will display warning message as 'This is a currency of expression transaction and exchange rate will be defaulted to 1 by the system'. This message is shown if do not click the 'Enrich' button after changing the exchange rate. The amount applied field will show the values in fund base currency.

If you change the exchange rate and click 'Enrich' button, then the system default the value to '1' while saving without any warning message.

---

##### **Note**

The rounding precision for fund price currencies will be base price.

---

If the transactions are posted using fund price currencies then the system computes the load amount, net and gross amount in FBC using the COE factor. The display of these fields is mandatory fields that are to be computed as part of core allocation process. The exchange rate field will show default value as 1 in this case as COE factor is applied.

If there is no price available for the fund price currency during transaction input, the system will use the par value to arrive at the price. While saving the transaction, the system will display an override message as 'Price not available for the price currency and the system will use the par value for the transaction'. If you continue, then the system will use the par value for processing the transactions. The unit price in project allocation will display FPC price. This logic will be for project allocation but during menu allocation or batch allocation, if the price is still not available, then the transaction will not be allotted.

#### 4.14.19.2 Processing Unit Holder Currency of Expression

You can select Fund Base currency as currency of expression. There will be no restriction in changing/ amending the currency of expression any number of times against an UH and fund combination. You can maintain only one currency as currency of expression for a UH- Fund combination.

If a UH is closed and reopened then the corresponding action will not happen for the unit holder currency of expression maintenance. The UHCOE maintenance will get closed once the UH is closed but you have to manually reopen the currency of expression for the unit holder fund combination. In case, you do not reopen the UHCOE maintenance after UH reopening, and simultaneously input a transaction, then the system will not apply COE defaulting logic at UHCOE maintenance as there is already a record available for reopen.

---

**Note**

After maintaining the unit holder currency of expression, if one of the FPC is removed (at the fund level) and that currency is UHCOE for a UH, then defaulting at transaction capture will happen but the price currency/COE logic will not happen for the fund, it will be a case where TBC≠FBC or FPC (this will be a normal cross currency case). At the UHCOE maintenance this will be operationally controlled.

---

#### **4.14.19.3 Processing Fund Price Maintenance**

The system will validate at the time of fund price capture whether price is being maintained for the Fund in fund price currencies. If it is not maintained, then the system will display warning message as 'Prices for all currencies are not maintained do you wish to continue?'

The Pre EOD checks 'Number of Funds for which Fund Price has not been entered' will be changed to check whether price in FPC have been maintained for the day in the system. This will be mandatory check. If the system does not find the Price in currency of expression, then the transaction entered in currency of expression will not be allotted.

The Units will be allocated using respective currency of expression/ fund price if the transaction is done in currency of expression. If the transaction is done in fund base currency then the allocation will take place by taking the fund price captured in fund base currency. If the transaction is done in a currency which is other than FBC or currency of expression then the allocation of units will be done using prices captured in FBC.

Fluctuation percentage will be applicable for FPC's as well. For project allocation, the system will take the latest available price and show the project allocation.

In case of menu allocation if the price is not available then the system will not allocate the transactions.

#### **4.14.19.4 NAV Correction impact for fund price currencies**

If the NAV is corrected for fund price currency, say, for instance, GBP and the amend transaction is set to Yes; then all the transactions will be corrected with the new NAV price for the fund price currency (GBP). In case the amend transaction is set to No; the new price will not be corrected at transaction level. 'Reflect in Trading' field will not be impacted.

#### **4.14.19.5 Currency of expression logic applied during Transactions**

Case 1: If transaction base currency is not a part of the fund price currency and UH COE is not maintained

If the transaction is done in a transaction currency (TBC) other than the fund base currency and this currency is not present in the list of fund price currencies allowed for the fund, then the fund base currency will be defaulted as the unit holder's currency of expression and for this transaction; FBC price will be applied. For this transaction FX has to be applied to convert TBC to FBC. This logic is applied to all the transaction Types, specially for Subscription transaction.

Case 2: Transaction Currency is part of the Fund Price Currency and UHCOE is not maintained

In case there is no UH COE maintained for a Fund and when an investor transacts in a transaction currency (TBC) which is one of the allowed fund price currencies (FPC) for the fund or FBC, then this transaction currency will be added as the Unit holder's currency of

expression for this fund. Transactions should not apply FX if Transaction Currency is one of the Fund's price currency or FBC.

Post the transaction authorization, the fund price currency/FBC has to be defaulted as UH preferred currencies at the UHCOE maintenance. (Post authorization user will not be able to amend the TBC hence defaulting will be post authorization).

Case 3: Transaction Currency is part of the Fund Price Currency and UHCOE is maintained

If Transaction base currency is other than the Unit holder's currency of expression and the Unit Holder already has a UH COE for this fund, then while saving, the system will display warning message as 'The transaction currency is not the currency of expression for the unit holder'.

UHCOE = FPC and TBC  $\neq$  UHCOE

---

**Note**

The bulk and light weight screen will not be impacted with new any new fields but the validations pertaining to COE will be applied (UHCOE defaulting logic if the transaction is done for the first time), for light weight screen as the transaction currency is defaulted to Fund base currency; fund base currency will be defaulted as UHCOE). If the UHCOE is maintained for a UH-Fund combination and transaction is placed through light weight screen then UHCOE will be defaulted as Transaction currency. Light weight screen will allow transaction currency to be in fund base currency (FBC) or fund price currency (FPC) for COE funds and if the transaction is done in FPC for the first time- fund price currency will be defaulted in the UTDUHCOE maintenance. Also If the UH is transacting through light weight screen subsequently and if UTDUHCOE is already maintained then the UH-COE will be defaulted as Transaction currency.

---

#### **4.14.19.6 System logic to derive the Price Currency**

The system will derive the applicable fund price currency for currency of expression fund transactions as follows:

If TBC = fund base currency, then price currency will be FBC itself. No FX will be required. This is applicable for subscription, redemption and switch transactions.

When a trade is placed in a currency (TBC) that is the allowed fund price currency for the fund then Price currency will be respective fund price currency. No FX will be required. This is applicable for Subscription, Redemption and Switch transactions. (TBC = FPC then price CCY will be FPC)

When a trade is placed in a currency that is neither the fund base currency nor an allowed fund price currency for the fund, Price Currency will be FBC. FX will be required between Transaction Currency and FBC. This is applicable for Subscription and redemptions. (TBC  $\neq$  FBC or FPC; then Price CCY will be FBC).

#### **4.14.19.7 Switch Logic for currency of expression**

The Price Currency of SWITCH OUT leg will be used as Transaction Currency for SWITCH In Leg transaction and the SWITCH In leg Transaction amount will be Settlement Amount of OUT leg equivalent of Switch out Price currency. This is applicable only for currency of expression and non currency of expression fund switch transactions.

## 4.15 Light Weight Transaction Detail

This section contains the following topic:

- [Section 4.15.1, "Invoking Light Weight Transaction Detail Screen"](#)

### 4.15.1 Invoking Light Weight Transaction Detail Screen

Enter a switch transaction request into the system in the following sequence of events:

Invoke the 'FCIS Light Weight Transaction Detail' screen by typing 'UTDTXNLT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Specify 'Switch Form' in the 'Transaction Type' field. The Switch Detail screen for transactions is displayed, with all the default information..

FCIS Light Weight Transaction Detail

Save

Transaction Type  
Transaction Type \* IPOSubscription

Transaction Sub Type

Description

Client Information

Unit Holder ID \* Find UH

Unit Holder Name

To UnitHolder ID Find To UH

To Unit Holder Name

Transaction Information

Transaction Date \* 03/10/2016

Fund ID \*

Fund Name

Fund Identification Number

Transaction Currency

To Fund ID

Subscription Fund ID

KIID Received?

Transaction Number

Reference Number

Transaction Mode \* Amount

Units

Amount

Percent

Payment Mode

Payment Mode Description

Payment Details

KYC Details

Maker ID

Checker ID

DateTime

DateTime

Mod NO

Record Status

Auth Status

Ok Cancel

#### Unitholder ID

*Mandatory, Alphanumeric*

Specify the unit holder id of the unit holder who has requested for the transaction. You can select the id from the option list maintained.

#### Type of Transaction

*Mandatory, Alphanumeric*

Specify the type of transaction from the drop down list.

- IPO Subscription
- Subscription
- Redemption
- Switch From
- Transfer

### Transaction Sub Type

Select the transaction sub type from the drop-down list provided. The following are the options available:

- Normal Switch
- Psuedo Switch
- Cash Management Account Switch
- Bed and Breakfast Switch

---

#### Note

For a 'Switch From' transaction type, you cannot opt the 'Bed and Breakfast Switch' sub type.

---

### Fund Id

*Mandatory, Alphanumeric*

Specify the fund id for which the requested transaction is to be put through, from the option list in the Fund ID field.

### To Fund Id

*Mandatory, Alphanumeric*

Specify the fund to which the unit holder wishes to switch the investment, in the To Fund ID field.

### Transaction Mode

*Optional, Alphanumeric*

Select the mode in which the transaction value will be reckoned, in the Transaction Mode field.

---

#### Note

Transaction Mode will be enabled for only Pseudo switch transactions.

---

### Transaction Date

*Mandatory, Date format*

By default, the settlement date is arrived at by taking the payment lag defined for the fund in the Transaction Processing Rules into consideration. The date displayed here can be altered, if required, and you can specify the requisite settlement date.

### Amount/Units/Percentage Value

*Mandatory, Alphanumeric*

Specify the valid value of the transaction, in the Amount/Units /Percentage Value field. This depends upon the selection made in the Transaction Mode

### Fund Id

*Mandatory, Alphanumeric*

Specify the fund id for which the requested transaction is to be put through, from the option list in the Fund ID field.

**Transaction Mode**

*Mandatory, Alphanumeric*

Select the mode in which the payment for the transaction will be made, in the Mode of Payment field.

**Payment Mode**

*Mandatory, Alphanumeric*

Select the mode in which the payment for the transaction will be made, in the Payment Mode field.

**Payment Mode Description**

The description for the mode selected is displayed here.

**KIID Received?**

*Mandatory*

Select if KIID is received or not from the drop-down list. The list displays the following values:

- Yes
- No

**Transaction Currency**

*Mandatory, Alphanumeric*

Specify the currency in which the amount value for the transaction will be reckoned, in the Transaction Currency field.

The option list displays only the maintained fund base currency and fund price currencies for the Fund ID selected.

*Refer the session above to know more about the validation of these fields and about the link KYC details and Payment Details.*

You can now save the transaction. A summary screen will appear showing all the details of the transaction along with defaults and transaction number.

---

**Note**

Ensure that the verified bank accounts are used for redemption transaction. If the bank accounts are unverified, such accounts should not be processed till the account status is changed to 'Verified'.

---

This can be only a Fund Base Currency or Fund Price Currency

You can now save the transaction. A summary screen will appear showing all the details of the transaction along with defaults and transaction number.

Refer the session above to know more about the validation of these fields.

---

**Note**

Multi currency is not handled in light-weight screens and Bulk client defaults should be maintained.

---

The Inflow breach factor for IN transactions and Outflow breach factor for OUT transactions are considered for arriving at the fund inflow/outflow dilution levy breach limit (Fund Corpus \*

Inflow / Outflow Breach Factor < Net Amount in FBC) for the day. Dilution levy is validated against the gross transaction amount. If gross transaction amount is greater than the dilution levy breach limit, then a warning message is displayed by the system. Dilution levy value can be overridden. The overridden value is considered only if the transaction is breaching the dilution levy limit amount. If a transaction is saved and if there are overrides while saving such a transaction, then the warning message is displayed by the system as 'Transactions are saved with overrides.'

#### 4.16 Transaction Switch Summary Screen

This section contains the following topics:

- Section 4.16.1, "Retrieving a Record in FCIS Transaction Switch Summary Screen"
- Section 4.16.2, "Editing FCIS Transaction Switch Record"
- Section 4.16.3, "Viewing FCIS Transaction Switch Record "
- Section 4.16.4, "Deleting FCIS Transaction Switch Record"
- Section 4.16.5, "Authorizing FCIS Transaction Switch Record "
- Section 4.16.6, "Amending FCIS Transaction Switch Record "
- Section 4.16.7, "Authorizing Amended FCIS Transaction Switch Record "

#### 4.16.1 Retrieving a Record in FCIS Transaction Switch Summary Screen

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Transaction Switch Summary' screen by typing 'UTSTXN04' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

[illegible]



- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Currency of Expression Transaction
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- Transaction Status
- Transaction Value
- Dealing Date
- Transaction Currency
- Transaction Category
- Payment Mode
- Ref Type
- AMC ID
- Maker ID
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

---

**Note**

The status field in the Records pane of the summary screen displays the bulk operation results.

---

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7:- System will fetch all the records whose Fund ID ends by numeric value '7' . For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc..

#### 4.16.2 Editing FCIS Transaction Switch Record

You can modify the details of FCIS Transaction Switch record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Transaction Switch Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Transaction Switch Detail screen is closed and the changes made are reflected in the FCIS Transaction Switch Summary screen.

#### **4.16.3 Viewing FCIS Transaction Switch Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Transaction Switch Summary screen as follows:

- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Transaction Switch Detail screen is displayed in View mode.

#### **4.16.4 Deleting FCIS Transaction Switch Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Transaction Switch Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.16.5 Authorizing FCIS Transaction Switch Record**

- An unauthorized FCIS Transaction Switch record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Switch Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.16.6 Amending FCIS Transaction Switch Record**

After a FCIS Transaction Switch record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Transaction Switch Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Switch Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.16.7 Authorizing Amended FCIS Transaction Switch Record**

An amended FCIS Transaction Switch record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.17 Transfer Detail**

This section contains the following topics:

- [Section 4.17.1, "Invoking Transfer Detail Screen"](#)
- [Section 4.17.2, "UH & Fund Tab"](#)
- [Section 4.17.3, "Other Tab"](#)
- [Section 4.17.4, "Intermediary Tab"](#)
- [Section 4.17.5, "Load Override Tab"](#)
- [Section 4.17.6, "KYC and Document Tab"](#)
- [Section 4.17.7, "Add Info Tab"](#)
- [Section 4.17.8, "Fee Payment Tab"](#)
- [Section 4.17.9, "Certificate Tab"](#)
- [Section 4.17.10, "Receipt Detail Button"](#)
- [Section 4.17.11, "Allocation Details Button"](#)
- [Section 4.17.12, "View Balance Button"](#)

#### **4.17.1 Invoking Transfer Detail Screen**

To enter a transfer transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Transfer Detail' screen by typing 'UTDTXN05' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Transfer transactions is displayed, with all the default information..

The screenshot displays the 'FCIS Transfer' application window. At the top, there is a 'Save' button and a 'Transaction Date' field set to '03/10/2016'. The main area is divided into several sections: 'Transaction Information' with fields for 'Unit Holder ID', 'Fund ID', 'To UnitHolder ID', and 'Order Received Date'; 'Transaction Value' with fields for 'Transaction Mode', 'Units Applied', 'Amount Applied', and 'Percent Applied'; 'Client Information' with fields for 'CIF Number' and 'Unit Holder Name'; 'Fund Details' with fields for 'Fund Base Currency', 'ISIN No', and 'Fund Name'; and 'Exchange Details' with fields for 'Amount in Fund Base Currency', 'Exchange Rate Applied', 'Override Exchange Rate?', and 'Exchange Rate Source'. There are also buttons for 'Find UH', 'To Find UH', 'UH Deal', 'To UH Deal', 'UH Signature', 'Calculate', 'Enrich Transaction', and 'Reset Transaction'. At the bottom, there are tabs for 'UH & Fund', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info', 'Fee Payment', and 'Certificate'. A 'Cancel' button is located at the bottom right.

You can specify the following details:

## **Transaction Information**

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Transaction Information section. Alternatively, you can select unit holder ID from the option list. The list displays all valid unit holder ID maintained in the system.

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Order Received Date**

*Date Format; Optional*

Specify the order received date.

**Transaction Date**

*Date Format; Mandatory*

Specify the order received date.

**Payment Mode**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Payment Mode Description**

*Display*

The system displays the description for the mode of payment selected.

**Transaction Number**

*Display*

The system displays the transaction number.

**Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

**Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Order Received Time (HH24:MI)**

*Time Format; Optional*

Specify the order received time.

**Transaction Type**

*Alphanumeric; Mandatory*

Select the transaction type. In case for a particular transaction type restriction is 'Not Applicable', then the system will display an error message as 'STOPACCOUNT is issued for 'Transaction Type' to this Unit Holder'.

**Description**

*Display*

The system displays the description for the selected Transaction type.

**Transaction Category**

*Optional*

Select the type of transaction from the adjoining drop-down list. Following are the options available in the drop-down list:

- Legacy/Direct Business
- Advised Business

- Execution Only

## **Transaction Value**

### **Transaction Mode**

#### *Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units
- Percent

### **Units Applied**

#### *Display*

The system displays the units applied details.

### **Amount Applied**

#### *Display*

The system displays the amount applied details.

### **Percent Applied**

#### *Display*

The system displays the percent applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

On click of 'Enrich Transaction' button all the header fields will be disabled. Clicking 'Enrich Transaction' button during the transaction input, the system will remove all the entered details except the header data entered and re-open all the fields to capture new transaction.

Click 'Reset Transaction' button to reset the entire transaction during transaction input, modification and amendment.

For transaction modification/amendment, you can query the transaction and on clicking 'Reset Transaction' button, all the transaction details can be modified without changing the transaction number.

For any modification/amendment in any of the primary field including Fund ID or Transaction Date, you need to click 'Reset Transaction' button. Using this option, the system will clear all the entered details except the header data entered and re-open all the fields to capture new details.

The reset function does clearing of all the data with the same transaction number. The system will display an override message. Hence all the data needs to be provided again if reset is clicked.

The following primary fields will be enabled for modification and Amendment of the transaction:

- Order Received Date
- Order Received Time
- Transaction date
- Fund ID

- Transaction Currency
- Unitholder ID
- Reference number
- Transaction mode
- Amount applied
- Units applied
- Percentage applied
- Payment mode
- Transaction type
- To Fund ID
- To Unitholder ID
- Subscription fund ID

For any change/ modification or amendment in the above primary fields in transaction screens, system will re-populate the transaction screen and linked dependent fields details on enrich of the transaction.

During transaction input/modification or amendment, if you override the details, system will retain the user override data for transaction entry/save. However, post overriding the details/ value if you change any of the primary fields, the system will re-populate the transaction screen with latest details.

The linked dependent details will include Settlement Date, Settlement Due Date, Price Date, Load details and Dealing Date.

The system will default the Settlement date/due date, Price date, dealing date on enrich/save of the transaction only if the previous calendar year is maintained in the system.

---

**Note**

- This is not applicable to transactions captured through any other function/UI/ channels/uploads.
  - If UBS integration is enabled then system will disallow all the above modification or changes and pertaining to the changes proposed. The 'Reset Transaction' Button will be disabled, if UBS- Integration is enabled
-



## 4.17.2 UH & Fund Tab

Click UH & Fund tab in FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'UH & Fund' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a search icon), To UnitHolder ID (with a 'TO Find UH' button), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency, Transaction Category (Select), and Order Received Time (HH24:MI).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Client Information:** Includes CIF Number (with a 'UH Deal' button), Unit Holder Name (with a 'UH Signature' button), To CIF Number (with a 'To UH Deal' button), and To UHName.
- Fund Details:** Includes Fund Base Currency, ISIN No, and Fund Name.
- Exchange Details:** Includes Amount in Fund Base Currency, Exchange Rate Applied, Override Exchange Rate? (No), a 'Calculate' button, and Exchange Rate Source.

At the bottom, there are tabs for 'Receipt Details', 'Allocation Details', and 'View Balance'. A footer section contains fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Open', and a 'Cancel' button.

### Client Information and To Client Information

#### **CIF Number and To CIF Number**

Specify the unit holder that has requested the transaction, (the transferor unit holder) in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

#### **Fund Details**

When you specify the unit holder, the following details are displayed:

- Fund Base Currency
- IAIN Number
- Fund Name

## **Exchange Details**

### **Amount in Fund Base Currency**

*Display*

The system displays the amount in fund base currency.

### **Exchange Rate Applied**

*Numeric; Optional*

Specify the exchange rate applied.

### **Override Exchange Rate?**

*Optional*

Select if exchange rate has to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

### **Exchange Rate Source**

*Alphanumeric; Optional*

Specify the exchange rate source.

Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Applied Exchange Rate field.

If the transaction value is specified in units or percentage of holdings, then the prevalent price for a transfer transaction on the transaction date is used to compute the amount of the transaction, and the same is converted into the fund base currency equivalent.

If you wish to override the applied exchange rate at this stage, select the 'Yes' option in the Override Exchange Rate field. Specify the overridden exchange rate in the Applied Exchange Rate field, and click the Calculate button again. If overridden, the overridden exchange rate should be within the permitted fluctuation limits defined in the Source Maintenance.

### 4.17.3 Other Tab

Click on 'Other' tab in the FCIS Transfer screen

FCIS Transfer

Save

Transaction Information

Unit Holder ID \*  Find UH

Fund ID \*

To UnitHolder ID \*  TO Find UH

Order Received Date

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Type

Transaction Currency

Transaction Category

Order Received Time (HH24.MI)

Transaction Value

Transaction Mode

Units Applied

Amount Applied

Percent Applied

Enrich Transaction

Reset Transaction

UH & Fund **Other** Intermediary Load Override KYC And Document Add Info Fee Payment Certificate

Communication Mode

Gross or Net

Base Cost

Retain Ageing

Dealing Date

Price Date

Reversal Code

Cancel Instruction

Auto Clear Provisional Balance

Auto Clear Reinvestments

☐ No Change of Beneficiary Ownership

Remarks

KIID Received?

Receipt Details | Allocation Details | View Balance

Input By  DateTime

Authorized By  DateTime

Mod No

Authorized

Open

Cancel

You can specify the following details:

#### Communication Mode

##### Mandatory

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

#### Gross or Net

##### Optional

Select the net value exclusive of the loads from the drop-down list. The list displays the following values:

- Gross
- Net

### **Base Cost**

*Numeric; Optional*

Specify the base cost details.

### **Retain Ageing**

*Optional*

Select if ageing has to be retained or not from the drop-down list. The list displays the following values:

- Yes
- No

---

### **Note**

The flag for Retain Ageing to Subscription is not available for System generated transactions like Standing Instructions. System would take default values from the Fund Rules for such transactions.

---

### **Dealing Date**

By default, the dealing date is derived based on the dealing date maintained for the fund in the Specific Fund Price Date Setup screen. The date displayed here can be altered, if required, and you can specify the requisite dealing date. Dealing date will not be displayed on the screen if it is not maintained for a fund or the fund is not a specific price date fund. System will default the transaction date as the dealing date.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

*Refer the chapter 'Other Fund Activities' in the Fund Manager User Manual for more details on maintaining alternate trade cycles for a fund*

### **Price Date**

The field From Price Date is enabled when you select the fund in which the requested transaction is to be put through. The fund should be one for which you have specified forward pricing is applicable. The price date is arrived at by taking into consideration several conditions. This is explained in the section 'Defaulting of Price Dates in the Transaction' Screens in this chapter. You can modify this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

### **Reversal Code**

*Display*

The system displays the reversal code.

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

## Cancel Instruction

### *Optional*

Select the cancel instruction from the drop-down list. The list displays the following values:

- Standing Instructions

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

### **Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

## Auto Clear Provisional Balance

### *Optional*

Select 'Yes' option to indicate that 100% outflow transaction should include provisionally allotted units. This option will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

## Auto Clear Reinvestments

### *Optional*

Select if reinvestment details should be automatically cleared or not from the drop-down list. The list displays the following values:

- Yes
- No

## No Change of Beneficiary Ownership

### *Optional*

Check this box if there is no change in beneficiary ownership details.

## Remarks

*Alphanumeric; Optional*

Specify remarks, if any.

## KIID Received?

### *Mandatory*

Select if the transaction is KIID compliant or not from the drop-down list. The list displays the following values:

- Yes
- No

The system will default the KIID compliant at the transaction level upon the selection of the Unitholder and Fund in the transaction screens. If the 'UCITS Fund' at the Fund level is 'Yes' and the UH mapping to the Fund in the 'UH KIID Compliance' tab is 'NO' then at the transaction level, the system will default the 'KIID Complaint' to 'No'.

If the KIID Received is set to 'No', the system display an error message while saving the transaction as 'The Unit holder has not received the KIID'.

If the flag is set to 'YES' there will be no error message and treated as if the UH has received the KIID. The system will always look at the latest UCITS fund mapping maintained at the UH level.

If the transaction is being done in a fund which is not a UCITS Fund then the field KIID received at transaction level will be defaulted to Blank. You cannot change this option to either a Yes or No at the transactions level if it is not a UCITS Fund.

The business user can change the KIID Compliant flag at the transaction from 'No' to 'Yes' and proceed with the transaction capture but visa versa is not possible. The record at the Unit Holder level will however not get updated. You will have to manually update the same.

In case of backdated transactions, if transaction date is less than effective date, system will default the KIID Compliant field to 'No' and then you need to manually override it.

#### 4.17.4 Intermediary Tab

Click on 'Intermediary' tab in the FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'Intermediary' tab selected. The 'Transaction Information' section includes fields for Unit Holder ID, Fund ID, To UnitHolder ID, Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency (Select), Transaction Category (Select), Order Received Date (MM/DD/YYYY), and Order Received Time (HH24:MI). The 'Transaction Value' section includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. The 'Transaction Intermediary Details' section shows a table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and From. The bottom section includes Receipt Details, Allocation Details, and View Balance, along with fields for Input By, Authorized By, DateTime, Mod No, Authorized, Open, and a Cancel button.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

**Entity Type**

Select the entity type that has been identified as the intermediary for the transaction.

**Entity ID**

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

**Entity Name**

When you select the broker code, the name of the broker is displayed.

**Parent Entity Name**

When you select the broker code, the name of the parent broker for the selected broker is displayed.

**Split Percentage**

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

**From or To Leg**

Specify the from or to leg details.

## 4.17.5 Load Override Tab

Click on 'Load Override' tab in the FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'Load Override' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID\*, Fund ID\*, To UnitHolder ID\*, Order Received Date, Transaction Date\* (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency, Transaction Category (Select), and Order Received Time (HH24:MI).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, Percent Applied, and buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** UH & Fund, Other, Intermediary, Load Override (selected), KYC And Document, Add Info, Fee Payment, Certificate.
- Load Details:** A section with a 'Load Override Details' button.
- Load Override Details Table:** A table with columns: Fund ID\*, Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, and Change Value. The first row shows a Fund ID\* and a Load ID, with a 'Load Details' button in the Load Details column.
- Derived Load Override Details:** A section with tabs for Receipt Details, Allocation Details, and View Balance.
- Footer:** Includes fields for Input By, Authorized By, DateTime, Mod No, Authorized, Open, and a 'Cancel' button.

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

If you click 'Load Override Details' button, the system defaults the load details. If you do not click this button, then the system will not default even if the fund has load. In this case, load will get computed during allocation only.

### Load ID

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

If a derived load has been mapped, it is also displayed here and can be overridden.

### Load Details

The system displays the load details.



**Load Description**

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

**Group ID**

The system displays the group ID.

**Amount Percent**

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

**Project Return Value**

The System populates the return value from the load setup.

If the UH Deal maintained is same for Unit Holder, Load and Fund Setup then overridden value from UH Deal is displayed.

If there are criteria based loans in UT transactions, the criteria is evaluated and only loads applicable for the transaction is displayed.

You can view the applicable loads and projected return values by clicking 'Enrich Transaction' in the transaction screen.

The system uses the projected return value for load amount computation and also to compute the net amount to AMC while generating GO

In LEP transactions, if there are criteria based loads, the criteria is evaluated during UT transaction generation and it will be used during allocation.

**Change Value**

Specify the change value details.

**Change type**

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

**Derived Load Override Details**

The system displays the following values:

- Load ID
- Parent Load ID
- Load Description
- Change Type
- Change Value

## 4.17.6 KYC and Document Tab

Click on 'KYC and Document' tab in the FCIS Transfer Detail screen.

The screenshot displays the 'FCIS Transfer' application window. The 'KYC And Document' tab is selected, showing various fields for transaction details. The 'Transaction Information' section includes fields for Unit Holder ID, Fund ID, To UnitHolder ID, Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency, Transaction Category (Select), and Order Received Date. The 'Transaction Value' section includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. The 'KYC Transaction Details' section shows a table with columns for Requested, Requirement, Received, Received Date, and Tax Document. The 'Document Details' section includes fields for Document ID, Type Description, and a table with columns for Input By, Authorized By, DateTime, Mod No, Authorized, and Open. The 'Cancel' button is visible in the bottom right corner.

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No

### Requested

*Optional*

Check this box to indicate KYC details are requested.

### Requirement

*Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

### Received

*Optional*

Check this box to indicate KYC details are received.

### Received Date

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

### Tax Document

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes

- No

**Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

**KYC Received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

**Document Details****Document ID**

*Alphanumeric; Optional*

Specify the document ID.

**Document Type**

*Alphanumeric; Optional*

Specify the document type.

**Type Description**

*Alphanumeric; Optional*

Specify the description for the type of document.

If during a subscription or IPO transaction, the inflow amount is greater than the maximum amount for Tax Id, system verifies if the unit holder has a Tax ID maintained (PAN). If PAN is not specified, system verifies Tax Document in KYC.

The system checks if the current transaction is an initial purchase or a subsequent one - based on the actual transactions carried out by the UH. In the case of an initial purchase, the system allows you to save an IPO transaction even if the UH has not met the KYC requirements.

---

**Note**

If no list has been maintained for this transaction, you may still record the KYC list for the transaction as well as the unit holder. If KYC list is not maintained for your installation, system will consider the documents as submitted by default.

---

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

The screenshot displays the 'FCIS IPO Subscription Detail' form. It includes sections for Transaction Information, Transaction Value, KYC Transaction Details, and Document Details. The KYC Transaction Details section contains a table with columns for Requested, Requirement, Received, Received Date, and Tax Document. The Document Details section includes fields for Input By, Authorized By, DateTime, Mod No, and Open status, along with 'Ok' and 'Cancel' buttons.

**Transaction Information**

Unit Holder ID \*  Find UH

Fund ID \*

Order Received Date

Transaction Date \* 04/20/2016

Payment Mode \*

Payment Mode Description

Transaction Number

Transaction Currency

Reference Number

Order Received Time (HH24:MI)

Transaction Type

Description

Transaction Category

**Transaction Value**

Transaction Mode \* Amount

Units Applied

Amount Applied

Percent Applied

Enrich Transaction

Reset Transaction

UH & Fund | Transaction | Other | Intermediary | Load Override | **KYC And Document** | Add Info | Fee Payment | Certificate | Limit Order

**KYC Transaction Details**

1 of 1

Requested	Requirement *	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	<input type="text"/>	No

Chasing Date

KYC Received No

UH KYC Details

**Document Details**

Document ID

Settlement Details | Receipt Details | Project Allocation Details | Allocation Details | Time Description

Input By

Authorized By

DateTime

DateTime

Mod No

Authorized Unauthorized

Open Open

Ok Cancel

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH. If any KYC document is received then it can be marked at transaction KYC detail as 'Received'. However, you should update the UH maintenance screen for the KYC documents received. If the KYC received at transaction level is 'Yes' with some KYC documents and all KYC received at UH level is 'No', then the system will display a warning message as 'Transaction All KYC Received cannot be complete if Unit holder KYC is Incomplete' during save of the transaction.

## 4.17.7 Add Info Tab

Click on 'Add Info' tab in the FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'Add Info' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a 'P' icon), To UnitHolder ID (with a 'TO Find UH' button), Order Received Date (with a calendar icon), Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency (Select), Transaction Category (Select), and Order Received Time (HH24.MI).
- Transaction Value:** Includes fields for Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Additional Information Details:** A table with columns 'Other Info Field' and 'Field Value'. The table is currently empty.
- Footer:** Includes links for 'Receipt Details', 'Allocation Details', and 'View Balance'. It also has a 'Cancel' button and a 'Mod No' dropdown menu.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.

## 4.17.8 Fee Payment Tab

Click on 'Fee Payment' tab in the FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'Fee Payment' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), To UnitHolder ID (with a 'To Find UH' button), Order Received Date (MMDDYYYY), Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency, Transaction Category (Select), and Order Received Time (HH24.MI).
- Transaction Value:** Includes fields for Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Transaction Fee:** Includes fields for Transaction Fee, Payment Mode (Cheque), Bank, Transfer Branch, Cheque Number, Cheque Date (MMDDYYYY), Fee in Fund Base Currency, and IBAN.
- Account Information:** Includes fields for Branch, Account Type (Current Account), Account Number, Clearing Date (MMDDYYYY), Account Holder Name, and Account Currency. There is a 'Calculate Fee' button.

At the bottom, there are tabs for 'Receipt Details', 'Allocation Details', and 'View Balance'. A footer section contains fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Open', and a 'Cancel' button.

If you have selected a fund for which transaction entry charges or allocation charges (or both) are applicable, then the following fields are enabled for data entry:

### Fee in Fund Base Currency

*Alphanumeric; Optional*

Specify the fee in fund base currency details.

### Transaction Fee

*Display*

Specify the transaction fee.

If a transaction entry charge or transaction time fee is applicable for the fund the transaction time fee equivalent in both fund currency and transaction currency is computed by the system and displayed.

### Fee Calculation Basis

*Optional*

Select the fee calculation basis from the drop-down list. The list displays the following values:

Select the fee calculation basis from the drop-down list. The list displays the following values:

- Fund Base Currency
- Transaction Currency

Click 'Fee Pay Details' button to specify fee payment details.

You can specify the following values:

**Transaction Fee**

*Numeric; Optional*

Specify the transaction fee.

**Payment Mode**

*Optional*

Select the payment mode from the drop-down list. The list displays the following values:

- Cheque
- Transfer
- Draft
- Card

**Bank**

*Alphanumeric; Optional*

Specify the bank details.

**Branch**

*Alphanumeric; Optional*

Specify the branch code.

**Cheque Number**

*Alphanumeric; Optional*

Specify the cheque number.

**Cheque Date**

*Date Format; Optional*

Specify the cheque date.

**Transfer Branch**

*Alphanumeric; Optional*

Specify the transfer branch details. Alternatively, you can select the transfer branch details from the option list. The list displays all valid branch code maintained in the system.

**Account Type**

*Optional*

Select the type of account from the drop-down list. The list displays the following values:

- Current Account
- Fixed Account
- Loan Account
- Mortgage Account
- Overdraft Account
- PF Account
- Recurring Account
- Savings Account
- Sweeping Account

### Account Number

*Alphanumeric; Optional*

Specify the account number.

### Clearing Date

*Date Format; Optional*

Specify the clearing date.

### Account Holder Name

*Alphanumeric; Optional*

Specify the name of the account holder.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

Clicking 'Calculate Fee' button, the system calculates the fee payment details.

## 4.17.9 Certificate Tab

Click Certificate tab in the FCIS Transfer Detail screen.

The screenshot shows the 'FCIS Transfer' window with the 'Certificate' tab selected. The interface is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a 'Find UH' button), To UnitHolder ID (with a 'TO Find UH' button), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Type (Not Selected), Transaction Currency, Transaction Category (Select), and Order Received Time (HH24:MI).
- Transaction Value:** Includes Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** UH & Fund, Other, Intermediary, Load Override, KYC And Document, Add Info, Fee Payment, and Certificate (selected).
- Certificate Settings:** Certificate Required? (Yes), From Issued Balances (Select), Single Certificate? (Single), To No Of Certificates (Single), and a checkbox for Certificate SpillOver.
- Certificate Denomination:** Min Cert Denomination and Max Cert Denomination.
- To UH Certificate Denomination:** Min Cert Denomination and Max Cert Denomination.
- Deed Details:** Reference Number and Deed Date (MM/DD/YYYY).
- Certificate Details Table:** A table with columns for Certificate Number, No Of Units, and Partial. The first row shows a checked checkbox for Certificate Number and an unchecked checkbox for Partial.
- Footer:** Receipt Details, Allocation Details, View Balance, Input By, Authorized By, DateTime, Mod No, Authorized, Open, and a Cancel button.

### Certificate Required?

*Optional*

Select if certificate required or not from the drop-down list. The list displays the following values:

- Yes
- No



If the fund you have chosen is a Certificate Option fund as specified in the Shares Characteristics, and the unit holder has requested for certificates, then choose 'Yes' in the Certificate Required field.

### **Single Certificate?**

*Optional*

Specify whether a single certificate or multiple certificates have been requested, in the Number of Certificates field. If single certificates have been designated for the fund, you cannot specify multiple certificates here.

If you have selected a certificate option fund, then all certificate information fields are enabled. The fields are Certificate Required, Single Certificate, From Issued Balances, and Max Cert Denomination & Min Cert Denomination under Certificate Section.

### **Certificate Spill Over?**

*Mandatory*

Check this box to allow certificate spill over.

### **From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

### **Certificate Denomination**

#### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

#### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### **To UH Certificate Denomination**

#### **Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

#### **Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### **Deed Details**

#### **Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number.

**Deed Date**

*Date Format; Optional*

Specify the deed date.

**Certificate Details****Certificate Number**

*Numeric; Optional*

Specify the certificate number. Alternatively, you can select certificate number from the option list. The list displays all valid certificate number maintained in the system.

**Units**

*Numeric; Optional*

Specify the units details.

**Partial**

*Optional*

Check this box if partial details to be selected.

**4.17.10 Receipt Detail Button**

Click on 'Receipt Detail' button to invoke Receipt Details screen.

FCIS - Receipt Details

Transaction Receipt Details

1 of 1 Go

Transaction Number	Units
<input checked="" type="checkbox"/>	

Get Units

Total Units 0

Ok Cancel

You can specify the following details:

**Transaction Number***Alphanumeric; 16 Characters; Optional*

Specifies the transaction number linked to the outflow transaction.

**Units***Numeric; 22 Characters; Optional*

Specify the units details.

**Total Units***Display*

The system displays the total number of units by clicking 'Get Units' button.

**4.17.11 Allocation Details Button**

Clicking 'Allocation Details' button, the following screen is displayed:

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Alloted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MM/DD/YYYY

Alloted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

1 of 1 Go

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

1 of 1 Go

Exit

The following allocation details are displayed:

**Allocation Details**

The following Allocation details are displayed:

- Fund ID

- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

## **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.17.12 View Balance Button**

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:

Investor Fund Balance

Execute Query

Unit Holder ID \*

Find UH

Fund balances Detail

Fund ID *	Fund Name *	Fund Base Currency *	UH Currency of expression	Policy Number *	Pro
-----------	-------------	----------------------	---------------------------	-----------------	-----

Total Blocked Amount or Holdings

Total Blocked Amount

Total Holdings in UH Currency

Purchase

Redeem

Switch

New SI

Unit Block Details | Category-wise Balance

Cancel

You can specify the following details:

**Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder ID.

You can also get the unit holder ID by clicking 'Find UH' button.

**Fund Balances Detail****Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Fund Name**

*Alphanumeric; Mandatory*

Specify the fund name.

**Fund Base Currency**

*Alphanumeric; Mandatory*

Specify the fund base currency.

**UH Currency of expression**

*Alphanumeric; Optional*

Specify the unit holder currency of expression details.

**Policy Number**

*Alphanumeric; Mandatory*

Specify the policy number.

**Product ID**

*Alphanumeric; Mandatory*

Specify the product ID.

**Unit Balance**

*Numeric; Mandatory*

Specify the unit balance.

**Total Blocked Units**

*Numeric; Mandatory*

Specify the total blocked units.

**FBC redeemable**

*Alphanumeric; Optional*

Specify the redeemable fund base currency.

**FBC Holding**

*Alphanumeric; Optional*

Specify the fund base currency holdings.

**UHBC Redeemable**

*Alphanumeric; Mandatory*

Specify the redeemable UHBC details.

**Average Cost**

*Alphanumeric; Mandatory*

Specify the average cost.

**Provisional Units**

*Numeric; Mandatory*

Specify the number of provisional units.

**UHBC Holding**

*Alphanumeric; Optional*

Specify the UHBC holdings.

**Balance in Currency of Expression**

*Numeric; Optional*

Specify the balance in currency of expression.

**UH Preferred Currency**

*Alphanumeric; Optional*

Specify the unit holder preferred currency details.

**Balance in UH Preferred Currency**

*Numeric; Optional*

Specify the balance in unit holder's preferred currency.

**G1 Units**

*Numeric; Optional*

Specify the number of G1 units.

**G2 Units**

*Numeric; Optional*

Specify the number of G2 units.

**Total Blocked Amount or Holdings****Total Blocked Amount**

*Numeric; Optional*

Specify the total amount blocked.

**Total Holdings in UH Currency**

*Alphanumeric; Optional*

Specify the total holdings in the unit holder currency.

**4.17.12.1 Total Blocked Units****Financer Details****Financer**

*Alphanumeric; Optional*

Specify the financer details.

**Fund ID**

*Alphanumeric; Optional*

Specify the fund ID.

**Fund Name Short**

*Display*

The system displays the short name for the selected fund ID.

**Units**

*Numeric; Optional*

Specify the number of units.

**Total Blocked Units****Total Units Blocked**

*Display*

The system displays the total number of units blocked.

## **4.18 Transfer Summary Screen**

You can perform the following operations in this screen:

- [Section 4.18.1, "Retrieving a Record in Transfer Summary Screen"](#)
- [Section 4.18.2, "Editing Transfer Record"](#)
- [Section 4.18.3, "Viewing Transfer Record "](#)
- [Section 4.18.4, "Deleting Transfer Record"](#)
- [Section 4.18.5, "Authorizing Transfer Record "](#)
- [Section 4.18.6, "Amending Transfer Record "](#)
- [Section 4.18.7, "Authorizing Amended Transfer Record "](#)

### **4.18.1 Retrieving a Record in Transfer Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:



Invoke the 'FCIS Transfer Summary' screen by typing 'UTSTXN05' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Reference Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- Transaction Value
- Transaction Status
- Dealing Date
- Payment Mode
- Limit Order
- AMC ID
- Maker ID
- Transaction Category
- Ref Type

- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

---

**Note**

The status field in the Records pane of the summary screen displays the bulk operation results.

---

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

#### **4.18.2 Editing Transfer Record**

You can modify the details of FCIS Transfer record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Transfer Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Transfer Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Transfer Detail screen is closed and the changes made are reflected in the FCIS Transfer Summary screen.

### **4.18.3 Viewing Transfer Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Transfer Summary screen as follows:

- Invoke the FCIS Transfer Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Transfer Detail screen is displayed in View mode.

### **4.18.4 Deleting Transfer Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Transfer Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Transfer Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **4.18.5 Authorizing Transfer Record**

- An unauthorized FCIS Transfer record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Transfer Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transfer Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

### **4.18.6 Amending Transfer Record**

After a FCIS Transfer record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Transfer Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transfer Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.18.7 Authorizing Amended Transfer Record**

An amended FCIS Transfer record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.19 Block Transaction Detail**

This section contains the following topics:

- [Section 4.19.1, "Invoking Block Transaction Detail Screen"](#)
- [Section 4.19.2, "Details Tab"](#)
- [Section 4.19.3, "Intermediary Tab"](#)
- [Section 4.19.4, "KYC Details Tab"](#)
- [Section 4.19.5, "Add Info Tab"](#)
- [Section 4.19.6, "Pledgee Tab"](#)
- [Section 4.19.7, "Certificate Tab"](#)
- [Section 4.19.8, "Allocation Details Button"](#)
- [Section 4.19.9, "View Balance Button"](#)
- [Section 4.19.10, "Saving the transaction"](#)

#### **4.19.1 Invoking Block Transaction Detail Screen**

To enter a block transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Block Transaction Detail' screen by typing 'UTDTXN06' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Block transactions is displayed, with all the default information..

The screenshot displays the 'FCIS Block Transaction Detail' application window. At the top, there's a title bar and a 'Save' button. The main area is divided into three columns: 'Client Information', 'Transaction Information', and 'Transaction Value'. The 'Client Information' column contains 'Fund ID \*' and 'Unit Holder ID \*' fields, with a 'Find UH' button. The 'Transaction Information' column has 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name' fields. The 'Transaction Value' column includes 'Transaction Mode \*' (Amount), 'Amount Applied', 'Units Applied', and an 'Enrich Transaction' button. Below these is a tabbed menu with 'Details', 'Intermediary', 'KYC Details', 'Add Info', 'Pledgee', and 'Certificates'. The 'Details' tab shows 'Client Information' (Unit Holder Name, CIF Number, Fund Name Short, Fund Identification Number, Fund Base Currency) and 'Exchange Details' (Amount in Fund Base Currency, Exchange Rate Source, Exchange Rate Applied, Override Exchange Rate?, and a 'Calculate' button). The 'Other Details' section includes 'Communication Mode \*' (Direct (In Person)), 'Maturity Date' (MM/DD/YYYY), 'Remarks', and an 'Auto Generate Unblock?' checkbox. At the bottom, there's a table with columns for 'Maker ID', 'Authorized By', 'DateTime', and 'Mod No', with 'Open' and 'Authorized' dropdowns. A 'Cancel' button is in the bottom right corner.

You can specify the following details:

## **Client Information**

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

## **Transaction Information**

### **Transaction Date**

*Date Format; Optional*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

### **Transaction Number**

*Display*

The system displays the transaction number.

### **Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

### **Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

### **Currency Name**

*Alphanumeric; Optional*

Specify the name of the currency.

## **Transaction Value**

### **Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

### **Units Applied**

*Display*

The system displays the units applied details.

### **Amount Applied**

*Display*

The system displays the amount applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

## 4.19.2 Details Tab

Click 'Details' tab in the FCIS Block Transaction Detail screen.

The screenshot shows the 'FCIS Block Transaction Detail' window with the 'Details' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID\*, Unit Holder ID\*, and a 'Find UH' button.
- Transaction Information:** Fields for Transaction Date\* (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode\* (Amount), Amount Applied, and Units Applied, with an 'Enrich Transaction' button.
- Client Information (Secondary):** Fields for Unit Holder Name, CIF Number, Fund Name Short, Fund Identification Number, and Fund Base Currency.
- Exchange Details:** Fields for Amount in Fund Base Currency, Exchange Rate Source, Exchange Rate Applied, and Override Exchange Rate? (No), with a 'Calculate' button.
- Other Details:** Fields for Communication Mode\* (Direct (In Person)), Maturity Date (MM/DD/YYYY), Remarks, and an 'Auto Generate Unblock?' checkbox.

At the bottom, there is a table with columns: Maker ID, Authorized By, DateTime, and Mod No. The table is currently empty. A 'Cancel' button is located at the bottom right.

You can specify the following details:

### Client Information Section

#### **CIF Number**

*Alphanumeric; Optional*

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

### Exchange Details

#### **Amount in Fund Base Currency**

*Display*

The system displays the amount in fund base currency.

**Exchange Rate Source**

*Alphanumeric; Optional*

Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.

**Exchange Rate Applied**

*Display*

The system displays the applied exchange rate.

**Override Exchange Rate?**

*Optional*

Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

**Other Details****Communication Mode**

*Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

**Remarks**

*Alphanumeric; Optional*

Specify remarks, if any.

**Maturity Date**

*Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

---

**Note**

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

---



## Auto Generate Block?

### Optional

Check this box if block transactions needs to be automatically generated.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

## 4.19.3 Intermediary Tab

Click 'Intermediary' tab in the FCIS Block Transaction Detail screen.

The screenshot shows the 'FCIS Block Transaction Detail' window with the 'Intermediary' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. Below these is a tabbed interface with 'Intermediary' selected, followed by 'KYC Details', 'Add Info', 'Pledgee', and 'Certificates'. The 'Transaction Intermediary Details' section contains a table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and a dropdown menu. The table has one row with a 'From' dropdown. At the bottom, there is an 'Allocation Details' section with fields for Maker ID, Authorized By, DateTime, and Mod No, along with 'Open' and 'Authorized' dropdowns and a 'Cancel' button.

Entity Type	Entity ID	Entity Name	Parent Entity Name	Split Percentage	From Or To Leg
					From

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

### Entity Name

When you select the broker code, the name of the broker is displayed.

### Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

### Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

### From or To Leg

Specify the from or to leg details.

## 4.19.4 KYC Details Tab

Click 'KYC Details' tab in the FCIS Block Transaction Detail screen.

FCIS Block Transaction Detail

Save

Client Information

Fund ID \*

Unit Holder ID \*

Find UH

Transaction Information

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Currency

Currency Name

Transaction Value

Transaction Mode \* Amount

Amount Applied

Units Applied

Enrich Transaction

Details | Intermediary | **KYC Details** | Add Info | Pledgee | Certificates

KYC Transaction Details

1 of 1

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No

Chasing Date MMDDYYYY

All the requested KYC documentation has been received

UHKYC Details

Allocation Details | View Balance

Maker ID

Authorized By

DateTime

DateTime

Open Open

Authorized Unauthorized

Mod No

Cancel

### Requested

#### Optional

Check this box to indicate KYC details are requested.

### Requirement

#### Alphanumeric; Mandatory

Specify the list of KYC documents required for the unit holder.

## Received

### Optional

Check this box to indicate KYC details are received.

## Received Date

### Date Format; Optional

Specify the date on which the documents are received from the investor.

## Tax Document

### Optional

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

## Chasing Date

### Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

## All the requested KYC documentation has been received

### Optional

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

**KYC Details**

KYC Details

1 of 1 Go

<input type="checkbox"/>	Requested	Requirement	Fax Received	Original Received	Received Date	Workflow Reference No.	User Comment
--------------------------	-----------	-------------	--------------	-------------------	---------------	------------------------	--------------

Chasing Date: MM/DD/YYYY

Chased By: [User]

Chasing Method: E-Mail

Additional Comments: [Text]

All the Requested KYC Documentation has been received: Yes

KYC Purchase Limit: [Text]

KYC Annual Debit Order Limit: [Text]

Due Diligence Level: Simplified

Reviewed By: [User]

Last Reviewed Date: MM/DD/YYYY

Chasing History

Retain Trade Acknowledgements

Retain Contract Notes

Outstanding KYC requirements not to be reported on Trade Acknowledgements

Name Check Search

Options: Select

Comments: [Text]

1 of 1 Go

<input type="checkbox"/>	Applicable Level	Applicable Entity ID	Copy received	Original Received
--------------------------	------------------	----------------------	---------------	-------------------

Cancel

---

**Note**

Transaction Status will not check the KYC Details to complete the transaction.

---

### 4.19.5 Add Info Tab

Click on 'Add Info' tab in the FCIS Block Transaction Detail screen.

The screenshot displays the 'FCIS Block Transaction Detail' window. At the top, there is a 'Save' button. Below it, the form is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'.  
- **Client Information:** Includes fields for 'Fund ID \*' and 'Unit Holder ID \*', with a 'Find UH' button.  
- **Transaction Information:** Includes 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'.  
- **Transaction Value:** Includes 'Transaction Mode \*' (Amount), 'Amount Applied', and 'Units Applied', with an 'Enrich Transaction' button.  
Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info' (selected), 'Pledgee', and 'Certificates'.  
The 'Additional Information Details' section shows a table with columns 'Other Information Field' and 'Field Value'.  
At the bottom, there is an 'Allocation Details | View Balance' section with fields for 'Maker ID', 'Authorized By', 'DateTime', 'Open', 'Authorized', 'Unauthorized', and 'Mod No', along with a 'Cancel' button.

#### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

#### Field Value

*Display*

The system displays the field value.

## 4.19.6 Pledgee Tab

Click 'Pledgee' tab in FCIS Block Transaction Detail screen.

The screenshot shows the 'FCIS Block Transaction Detail' window with the 'Pledgee' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. Below these is a tabbed interface with 'Pledgee' selected, followed by Pledgee Details and Allocation Details.

**Client Information:**

- Fund ID \*
- Unit Holder ID \*
- Find UH button

**Transaction Information:**

- Transaction Date \* 03/10/2016
- Transaction Number
- Reference Number
- Transaction Currency
- Currency Name

**Transaction Value:**

- Transaction Mode \* Amount
- Amount Applied
- Units Applied
- Enrich Transaction button

**Pledgee Details:**

- Pledgee Name
- Zip Code
- Pledgee Bank
- Account Number
- IBAN
- Address
- State
- Pledgee Branch
- Pay Dividend To

**Allocation Details | View Balance:**

Maker ID	DateTime	Open	Open
Authorized By	DateTime	Authorized	Unauthorized
		Mod No	

Buttons: Cancel

You can specify the following details:

### Pledgee Name

*Alphanumeric; Optional*

Specify the pledgee name.

### Zip Code

*Alphanumeric; Optional*

Specify the residing zip code of the pledgee.

### Address

*Alphanumeric; Optional*

Specify the residing address of the Pledgee.

### State

*Alphanumeric; Optional*

Specify the residing state name of the pledgee.

### Pledgee Bank

*Alphanumeric; Optional*

Specify the bank details of the pledgee. Alternatively, you can select pledgee bank details from the option list. The list displays all valid pledgee bank details maintained in the system

### Pledgee Branch

*Alphanumeric; Optional*

Specify the branch code.

### Account Number

*Alphanumeric; Optional*

Specify the Account number details of the pledgee.

### IBAN

*Alphanumeric; 40 Characters; Optional*

Specify the IBAN details.

### Pay Dividend To

*Optional*

Specify whether the dividend proceeds on the blocked units should be paid to the pledgor, pledgee or to hold back the payment.

- Pledgee - If you choose to pay the dividend to the pledgee, you need to specify the details of the pledgee such as pledgee name, address and account details.
- Pledgor
- Hold Back Account

## 4.19.7 Certificate Tab

Click Certificate tab in the FCIS Block Transaction Details screen.

The screenshot shows the 'FCIS Block Transaction Detail' window with the 'Certificates' tab selected. The window is divided into several sections: 'Client Information' (Fund ID, Unit Holder ID, Find UH button), 'Transaction Information' (Transaction Date, Transaction Number, Reference Number, Transaction Currency, Currency Name), and 'Transaction Value' (Transaction Mode, Amount Applied, Units Applied, Enrich Transaction button). Below these are 'Min Cert Denomination' and 'Max Cert Denomination' dropdowns. The 'Certificate Details' section shows a table with columns: Certificate Number, No Of Units, and Partial. The table has one row with a checked checkbox in the first column. At the bottom, there are 'Allocation Details' and 'View Balance' links, and a footer section with 'Maker ID', 'Authorized By', 'DateTime', 'Open', 'Authorized', 'Unauthorized', 'Mod No', and a 'Cancel' button.

Certificate Number *	No Of Units	Partial
<input checked="" type="checkbox"/>		<input type="checkbox"/>

**Min Cert Denomination**

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

**Max Cert Denomination**

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

**From Issued Balances**

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

**Note**

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

**No of Certificates**

*Optional*

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

**Certificate Details****Certificate Number**

*Alphanumeric; Mandatory*

Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

**No of Units**

*Numeric; Optional*

Specify the number of units details.

**Partial**

*Optional*

Check this box if partial details to be selected.

## 4.19.8 Allocation Details Button

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

Exit

The following allocation details are displayed:

### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount



### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.19.9 View Balance Button**

Clicking 'View Balance' button, 'Investor Fund Balance' screen is displayed:

Investor Fund Balance

Execute Query

Unit Holder ID \*

Find UH

Fund balances Detail

Fund ID *	Fund Name *	Fund Base Currency *	UH Currency of expression	Policy Number *	Pro
-----------	-------------	----------------------	---------------------------	-----------------	-----

Total Blocked Amount or Holdings

Total Blocked Amount

Total Holdings in UH Currency

Purchase

Redeem

Switch

New SI

Unit Block Details | Category-wise Balance

Cancel

You can specify the following details:

#### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder ID.

You can also get the unit holder ID by clicking 'Find UH' button.

#### **Fund Balances Detail**

##### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID. Alternatively, you can select the fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Fund Name***Alphanumeric; Mandatory*

Specify the fund name.

**Fund Base Currency***Alphanumeric; Mandatory*

Specify the fund base currency.

**UH Currency of expression***Alphanumeric; Optional*

Specify the unit holder currency of expression details.

**Policy Number***Alphanumeric; Mandatory*

Specify the policy number.

**Product ID***Alphanumeric; Mandatory*

Specify the product ID.

**Unit Balance***Numeric; Mandatory*

Specify the unit balance.

**Total Blocked Units***Numeric; Mandatory*

Specify the total blocked units.

**FBC redeemable***Alphanumeric; Optional*

Specify the redeemable fund base currency.

**FBC Holding***Alphanumeric; Optional*

Specify the fund base currency holdings.

**UHBC Redeemable***Alphanumeric; Mandatory*

Specify the redeemable UHBC details.

**Average Cost***Alphanumeric; Mandatory*

Specify the average cost.

**Provisional Units***Numeric; Mandatory*

Specify the number of provisional units.

**UHBC Holding***Alphanumeric; Optional*

Specify the UHBC holdings.

**Balance in Currency of Expression**

*Numeric; Optional*

Specify the balance in currency of expression.

**UH Preferred Currency**

*Alphanumeric; Optional*

Specify the unit holder preferred currency details.

**Balance in UH Preferred Currency**

*Numeric; Optional*

Specify the balance in unit holder's preferred currency.

**G1 Units**

*Numeric; Optional*

Specify the number of G1 units.

**G2 Units**

*Numeric; Optional*

Specify the number of G2 units.

**Total Blocked Amount or Holdings****Total Blocked Amount**

*Numeric; Optional*

Specify the total amount blocked.

**Total Holdings in UH Currency**

*Alphanumeric; Optional*

Specify the total holdings in the unit holder currency.

**4.19.9.1 Total Blocked Units****Financer Details****Financer**

*Alphanumeric; Optional*

Specify the financer details.

**Fund ID**

*Alphanumeric; Optional*

Specify the fund ID.

**Fund Name Short**

*Display*

The system displays the short name for the selected fund ID.

**Units**

*Numeric; Optional*

Specify the number of units.

### **Total Blocked Units**

#### **Total Units Blocked**

##### *Display*

The system displays the total number of units blocked.

#### **4.19.10 Saving the transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

##### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.20 Block Transaction Summary Screen**

This section contains the following topics:

- [Section 4.20.1, "Retrieving a Record in Block Transaction Summary Screen"](#)
- [Section 4.20.2, "Editing Block Transaction Record"](#)
- [Section 4.20.3, "Viewing Block Transaction Record "](#)
- [Section 4.20.4, "Deleting Block Transaction Record"](#)
- [Section 4.20.5, "Authorizing Block Transaction Record "](#)
- [Section 4.20.6, "Amending Block Transaction Record "](#)
- [Section 4.20.7, "Authorizing Amended Block Transaction Record "](#)

### **4.20.1 Retrieving a Record in Block Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Block Transaction Summary' screen by typing 'UTSTXN06' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Reference Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- Dealing Date
- Limit Order
- Transaction Status
- Payment Mode
- AMC ID
- Maker ID
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the transaction Number/Amount Applied
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc

#### **4.20.2 Editing Block Transaction Record**

You can modify the details of FCIS Block Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Block Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Block Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Block Transaction Detail screen is closed and the changes made are reflected in the FCIS Block Transaction Summary screen.

#### **4.20.3 Viewing Block Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Block Transaction Summary screen as follows:

- Invoke the FCIS Block Transaction Summary screen from the Browser.

- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Block Transaction Detail screen is displayed in View mode.

#### **4.20.4 Deleting Block Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Block Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Block Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.20.5 Authorizing Block Transaction Record**

- An unauthorized FCIS Block Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Block Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Block Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.20.6 Amending Block Transaction Record**

After a FCIS Block Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Block Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.



- Double click the record that you wish to authorize. The FCIS Block Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.20.7 Authorizing Amended Block Transaction Record**

An amended FCIS Block Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.21 Unblock Transaction Detail**

This section contains the following topic:

- [Section 4.21.1, "Invoking Unblock Transaction Detail Screen"](#)
- [Section 4.21.2, "Details Tab"](#)
- [Section 4.21.3, "Intermediary Tab"](#)
- [Section 4.21.4, "KYC Details Tab"](#)
- [Section 4.21.5, "Add Info Tab"](#)
- [Section 4.21.6, "Certificates Tab"](#)
- [Section 4.21.7, "Allocation Details Button"](#)
- [Section 4.21.8, "Saving the Transaction"](#)

#### **4.21.1 Invoking Unblock Transaction Detail Screen**

To enter an unblock transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS UnBlock Transaction Detail' screen by typing 'UTDTXN07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The

Transaction Detail screen for Unblock transactions is displayed with all the default information..

The screenshot shows the 'FCIS Unblock Transaction Detail' window. It has a 'Save' button at the top left. The main area is divided into three columns: 'Client Information', 'Transaction Information', and 'Transaction Value'. Below these are 'Exchange Details' and 'Other Details'. At the bottom is an 'Allocation Details' section. The 'Client Information' section has fields for 'Fund ID \*', 'Unit Holder ID \*', and 'Block Transaction Number \*'. The 'Transaction Information' section has fields for 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. The 'Transaction Value' section has fields for 'Transaction Mode \*' (Amount), 'Amount Applied', and 'Units Applied'. The 'Exchange Details' section has fields for 'Exchange Rate Source', 'Amount in Fund Base Currency', 'Exchange Rate Applied', and 'Override Exchange Rate?'. The 'Other Details' section has fields for 'Communication Mode \*' (Direct (In Person)) and 'Remarks'. The 'Allocation Details' section has fields for 'Input By', 'Authorized By', 'DateTime', and 'Open/Authorized/Mod No'. A 'Cancel' button is at the bottom right.

You can specify the following details:

## **Client Information**

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

### **Block Transaction Number**

*Alphanumeric; Mandatory*

Specify the block transaction number.

## **Transaction Information**

### **Transaction Date**

*Date Format; Optional*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

### **Transaction Number**

*Display*

The system displays the transaction number.

### **Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

### **Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

### **Currency Name**

*Alphanumeric; Optional*

Specify the name of the currency.

## **Transaction Value**

### **Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

### **Units Applied**

*Display*

The system displays the units applied details.

### **Amount Applied**

*Display*

The system displays the amount applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

## 4.21.2 Details Tab

Click 'Details' tab in the FCIS UnBlock Transaction Detail screen.

FCIS UnBlock Transaction Detail

Save

**Client Information**

Fund ID \*

Unit Holder ID \*

Find UH

Block Transaction Number \*

**Transaction Information**

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Currency

Currency Name

**Transaction Value**

Transaction Mode \* Amount

Amount Applied

Units Applied

Enrich Transaction

**Details** | Intermediary | KYC Details | Add Info | Certificates

**Client Information**

Unit Holder Name

CIF Number

Fund Name Short

Fund Identification Number

Fund Base Currency

**Exchange Details**

Exchange Rate Source

Amount in Fund Base Currency

Exchange Rate Applied

Override Exchange Rate? No

Calculate

**Other Details**

Communication Mode \* Direct (In Person)

Remarks

**Allocation Details**

Input By

Authorized By

DateTime

DateTime

Open Open

Authorized Unauthorized

Mod No

Cancel

You can specify the following details:

### Client Information Section

#### CIF Number

*Alphanumeric; Optional*

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

## **Exchange Details**

### **Amount in Fund Base Currency**

*Display*

The system displays the amount in fund base currency.

### **Exchange Rate Source**

*Alphanumeric; Optional*

Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.

### **Exchange Rate Applied**

*Display*

The system displays the applied exchange rate.

### **Override Exchange Rate?**

*Optional*

Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Other Details**

### **Communication Mode**

*Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Remarks**

*Alphanumeric; Optional*

Specify remarks, if any.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

### 4.21.3 Intermediary Tab

Click 'Intermediary' tab in the FCIS UnBlock Transaction Detail screen.

The screenshot displays the 'FCIS UnBlock Transaction Detail' window. At the top, there is a 'Save' button. The main area is divided into three sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. 'Client Information' includes fields for 'Fund ID \*', 'Unit Holder ID \*', and 'Block Transaction Number \*', with a 'Find UH' button. 'Transaction Information' includes 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. 'Transaction Value' includes 'Transaction Mode \*' (Amount), 'Amount Applied', 'Units Applied', and an 'Enrich Transaction' button. Below these is a tabbed interface with 'Intermediary' selected, alongside 'KYC Details', 'Add Info', and 'Certificates'. The 'Transaction Intermediary Details' section shows a table with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and a dropdown menu. The table has one row with a checked checkbox in the first column. At the bottom, the 'Allocation Details' section includes fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with dropdowns for 'Open' and 'Authorized/Unauthorized'. A 'Cancel' button is in the bottom right corner.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

#### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

#### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

#### Entity Name

When you select the broker code, the name of the broker is displayed.

#### Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

#### Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.21.4 KYC Details Tab

Click on 'KYC Details' tab in the FCIS UnBlock Transaction Detail screen.

The screenshot displays the 'FCIS UnBlock Transaction Detail' window. At the top, there is a 'Save' button. The window is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. Below these, there are tabs for 'Details', 'Intermediary', 'KYC Details' (which is selected), 'Add Info', and 'Certificates'. The 'KYC Transaction Details' section contains a table with columns: 'Requested', 'Requirement', 'Received', 'Received Date', and 'Tax Document'. The 'Requested' column has a checked checkbox. Below the table, there is a 'Chasing Date' field and a dropdown menu for 'All the requested KYC documentation has been received'. At the bottom, there is an 'Allocation Details' section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with a 'Cancel' button.

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No

## Requested

*Optional*

Check this box to indicate KYC details are requested.

## Requirement

*Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

## Received

*Optional*

Check this box to indicate KYC details are received.

## Received Date

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

## Tax Document

### Optional

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

## Chasing Date

### Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

## All the requested KYC documentation has been received

### Optional

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

The screenshot displays the 'FCIS IPO Subscription Detail' form. It includes sections for Transaction Information, Transaction Value, KYC Transaction Details, and Document Details. The KYC Transaction Details section contains a table with columns for Requested, Requirement, Received, Received Date, and Tax Document. The Document Details section includes fields for Document ID, Time Description, Input By, Authorized By, DateTime, Mod No, and Open/Open.

**Transaction Information**

Unit Holder ID \*  Find UH

Fund ID \*

Order Received Date

Transaction Date \* 04/20/2016

Payment Mode \*

Payment Mode Description

**Transaction Value**

Transaction Number

Transaction Currency

Reference Number

Order Received Time (HH24.MI)

Transaction Type

Description

Transaction Category

Transaction Mode \* Amount

Units Applied

Amount Applied

Percent Applied

**KYC Transaction Details**

1 of 1

Requested	Requirement *	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="button" value="Calendar"/>	No <input type="text"/>

Chasing Date   KYC Received No

**Document Details**

Document ID  Time Description

Settlement Details | Receipt Details | Project Allocation Details | Allocation Details |

Input By  DateTime  Mod No

Authorized By  DateTime  Authorized Unauthorized

Open Open



---

**Note**

Transaction Status will not check the KYC Details to complete the transaction.

---

#### 4.21.5 Add Info Tab

Click on 'Add Info' tab in the FCIS UnBlock Transaction Detail screen.

The screenshot displays the 'FCIS UnBlock Transaction Detail' window. At the top, there is a 'Save' button. Below it, the form is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. The 'Client Information' section includes fields for 'Fund ID \*', 'Unit Holder ID \*', and 'Block Transaction Number \*', with a 'Find UH' button. The 'Transaction Information' section includes 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. The 'Transaction Value' section includes 'Transaction Mode \*' (Amount), 'Amount Applied', and 'Units Applied', with an 'Enrich Transaction' button. Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info' (selected), and 'Certificates'. The 'Additional Information Details' section shows a table with columns 'Other Information Field' and 'Field Value'. At the bottom, the 'Allocation Details' section includes fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with status dropdowns for 'Open', 'Authorized', and 'Unauthorized', and a 'Cancel' button.

**Other Info Field**

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

**Field Value**

*Display*

The system displays the field value.

## 4.21.6 Certificates Tab

Click on the Certificates tab in the FCIS Block Transaction Details screen.

The screenshot displays the 'FCIS UnBlock Transaction Detail' window. At the top, there is a 'Save' button. The main area is divided into three sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. 'Client Information' includes fields for 'Fund ID', 'Unit Holder ID', and 'Block Transaction Number', with a 'Find UH' button. 'Transaction Information' includes 'Transaction Date' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. 'Transaction Value' includes 'Transaction Mode' (Amount), 'Amount Applied', 'Units Applied', and an 'Enrich Transaction' button. Below these is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates' (selected). Under the 'Certificates' tab, there are fields for 'Min Cert Denomination' (From Issued Balances, Not Selected) and 'Max Cert Denomination' (No of Certificates, Not Selected). A 'Certificate Details' table is shown with columns for 'Certificate Number', 'No Of Units', and 'Partial'. The table has one row with a checked checkbox in the first column. At the bottom, there is an 'Allocation Details' section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with 'Open' and 'Authorized' dropdowns. A 'Cancel' button is located at the bottom right.

Certificate Number	No Of Units	Partial
<input checked="" type="checkbox"/>		<input type="checkbox"/>

### Min Cert Denomination

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### Max Cert Denomination

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### From Issued Balances

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

### Note

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

**No of Certificates**

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

**Certificate Details****Certificate Number**

*Alphanumeric; Mandatory*

Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

**No of Units**

*Numeric; Optional*

Specify the number of units details.

**Partial**

*Optional*

Check this box if partial details to be selected.

## 4.21.7 Allocation Details Button

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

Exit

The following allocation details are displayed:

### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.21.8 Saving the Transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.22 Unblock Transaction Summary Screen**

This section contains the following topics:

- [Section 4.22.1, "Retrieving a Record in Unblock Transaction Summary Screen"](#)
- [Section 4.22.2, "Viewing Unblock Transaction Record "](#)
- [Section 4.22.3, "Deleting Unblock Transaction Record"](#)
- [Section 4.22.4, "Authorizing Unblock Transaction Record "](#)
- [Section 4.22.5, "Amending Unblock Transaction Record "](#)
- [Section 4.22.6, "Authorizing Amended Unblock Transaction Record "](#)

### **4.22.1 Retrieving a Record in Unblock Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Unblock Transaction Summary' screen by typing 'UTSTXN07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- Transaction Mode
- Dealing Date
- Transaction Status
- Limit Order
- Payment Mode
- AMC ID
- Maker ID
- Communication Mode

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.

You can modify the details of FCIS Unblock Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Unblock Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Unblock Transaction Detail screen is closed and the changes made are reflected in the FCIS Unblock Transaction Summary screen.

#### **4.22.2 Viewing Unblock Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Unblock Transaction Summary screen as follows:

- Invoke the FCIS Unblock Transaction Summary screen from the Browser.



- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Unblock Transaction Detail screen is displayed in View mode.

### **4.22.3 Deleting Unblock Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Unblock Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **4.22.4 Authorizing Unblock Transaction Record**

- An unauthorized FCIS Unblock Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Unblock Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

### **4.22.5 Amending Unblock Transaction Record**

After a FCIS Unblock Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Unblock Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

- Double click the record that you wish to authorize. The FCIS Unblock Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.22.6 Authorizing Amended Unblock Transaction Record**

An amended FCIS Unblock Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

##### **4.22.6.1 Checking for Duplicate Transactions**

At the time of saving the transaction details, the system checks for the Transaction Type – Fund ID – Unit Holder combination. If there are any existing transactions for the same combination that has been captured in the past ‘n’ days, the system will display you an warning message if you try to save another transaction with the same combination within those ‘n’ days. You need to specify this ‘n’ number of days which the system has to consider for validation.

The system performs the duplicate transaction validation:

For unauthorized transactions

If a parameter code called “DUPWARNINGLAG” and the value for the ‘n’ number of days has been maintained. The validation fails if the ‘n’ number of days is specified as zero.

For From and To Funds for Switch Transactions

##### **4.22.6.2 Maintaining Parameter Code for Displaying Warning Messages**

You need to maintain the parameter code “DUPWARNINGLAG” and the number of days as the Parameter Value in the Parameter Setup screen.

Refer to the chapter “Maintaining System Parameters” in Volume 1 of Fund Manager User Manual for further details on maintaining the parameters.

### **4.23 Split Transaction Detail**

This section contains the following topic:

- [Section 4.23.1, "Invoking Split Transaction Detail Screen"](#)
- [Section 4.23.2, "Details Tab"](#)
- [Section 4.23.3, "Intermediary Tab"](#)
- [Section 4.23.4, "KYC Details Tab"](#)
- [Section 4.23.5, "Add Info Tab"](#)
- [Section 4.23.6, "Certificate Tab"](#)
- [Section 4.23.7, "Allocation Details Button"](#)
- [Section 4.23.8, "Saving the Transaction"](#)

#### **4.23.1 Invoking Split Transaction Detail Screen**

To enter a split transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Split Transaction Detail' screen by typing 'UTDTXN09' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for Split transactions is displayed, with all the default information..

The screenshot shows the 'FCIS Split Transaction Detail' application window. It features a top bar with a 'Save' button and a title bar. The main content area is organized into tabs: 'Details' (selected), 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates'. The 'Details' tab is further divided into three columns: 'Client Information', 'Transaction Information', and 'Transaction Value'. Below these, there are sections for 'Exchange Details' and 'Other Details'. At the bottom, an 'Allocation Details' section contains input fields for user and date information, and a 'Cancel' button.

You can specify the following details:

## **Client Information**

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

## **Transaction Information**

### **Transaction Date**

*Date Format; Optional*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

### **Transaction Number**

*Display*

The system displays the transaction number.

### **Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

### **Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

### **Currency Name**

*Alphanumeric; Optional*

Specify the name of the currency.

## **Transaction Value**

### **Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

### **Units Applied**

*Display*

The system displays the units applied details.

### **Amount Applied**

*Display*

The system displays the amount applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

## 4.23.2 Details Tab

Click 'Details' tab in the FCIS Split Transaction Detail screen.

The screenshot shows the 'FCIS Split Transaction Detail' window with the 'Details' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID \*, Unit Holder ID \*, and a 'Find UH' button.
- Transaction Information:** Fields for Transaction Date \* (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode \* (Units), Units Applied, and Percent Applied, with an 'Enrich Transaction' button.
- Exchange Details:** Fields for Amount in Fund Base Currency, Exchange Rate Source, Exchange Rate Applied, and Override Exchange Rate? (No), with a 'Calculate' button.
- Other Details:** Fields for Remarks and Communication Mode (Direct (In Person)).
- Allocation Details:** Fields for Input By, Authorized By, DateTime, and Open/Open, with a 'Cancel' button.

You can specify the following details:

### Client Information Section

#### **CIF Number**

*Alphanumeric; Optional*

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking 'UH Signature' button.

## **Exchange Details**

### **Amount in Fund Base Currency**

*Display*

The system displays the amount in fund base currency.

### **Exchange Rate Source**

*Alphanumeric; Optional*

Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.

### **Exchange Rate Applied**

*Display*

The system displays the applied exchange rate.

### **Override Exchange Rate?**

*Optional*

Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Other Details**

### **Communication Mode**

*Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Remarks**

*Alphanumeric; Optional*

Specify remarks, if any.

### 4.23.3 Intermediary Tab

Click 'Intermediary' tab in the FCIS Split Transaction Detail screen.

The screenshot displays the 'FCIS Split Transaction Detail' window. At the top, there is a 'Save' button. Below it, the 'Intermediary' tab is selected, showing fields for Client Information (Fund ID, Unit Holder ID, Find UH), Transaction Information (Transaction Date, Transaction Number, Reference Number, Transaction Currency, Currency Name), and Transaction Value (Transaction Mode, Units Applied, Percent Applied, Enrich Transaction). Below these fields, there is a table for 'Transaction Intermediary Details' with columns: Entity Type, Entity ID, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and a checkbox. The table has one row with a checked checkbox. At the bottom, there is an 'Allocation Details' section with fields for Input By, Authorized By, DateTime, and Open/Authorized/Mod No, along with a 'Cancel' button.

Entity Type	Entity ID	Entity Name	Parent Entity Name	Split Percentage	From Or To Leg	
					From	<input checked="" type="checkbox"/>

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

#### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

#### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

#### Entity Name

When you select the broker code, the name of the broker is displayed.

#### Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

#### Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.23.4 KYC Details Tab

Click on 'KYC Details' tab in the FCIS Split Transaction Detail screen.

The screenshot displays the 'FCIS Split Transaction Detail' window. At the top, there are three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. Below these, there are tabs for 'Details', 'Intermediary', 'KYC Details' (which is selected), 'Add Info', and 'Certificates'. The 'KYC Transaction Details' section contains a table with columns: 'Requested', 'Requirement', 'Received', 'Received Date', and 'Tax Document'. The 'Requested' column has a checkbox that is checked. The 'Requirement' column has a dropdown menu. The 'Received' column has a checkbox that is unchecked. The 'Received Date' column has a date field. The 'Tax Document' column has a dropdown menu. Below the table, there is a 'Chasing Date' field and a dropdown menu for 'All the requested KYC documentation has been received'. At the bottom, there is an 'Allocation Details' section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No'. There are also buttons for 'UH KYC Details' and 'Cancel'.

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MMDDYYYY	No

## Requested

### Optional

Check this box to indicate KYC details are requested.

## Requirement

### Alphanumeric; Mandatory

Specify the list of KYC documents required for the unit holder.

## Received

### Optional

Check this box to indicate KYC details are received.

## Received Date

### Date Format; Optional

Specify the date on which the documents are received from the investor.



## Tax Document

### Optional

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

## Chasing Date

### Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

## All the requested KYC documentation has been received

### Optional

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

The screenshot displays the 'FCIS IPO Subscription Detail' form. It includes sections for Transaction Information, Transaction Value, KYC Transaction Details, and Document Details. The KYC Transaction Details section contains a table with columns for Requested, Requirement, Received, Received Date, and Tax Document. The Document Details section includes fields for Document ID, Settlement Details, Receipt Details, Project Allocation Details, Allocation Details, and Time Description. The form also features a 'UH KYC Details' button and a 'Chasing Date' field.

Requested	Requirement	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>		No

## Note

Transaction Status will not check the KYC Details to complete the transaction.

### 4.23.5 Add Info Tab

Click on 'Add Info' tab in the FCIS Split Transaction Detail screen.

The screenshot shows the 'FCIS Split Transaction Detail' window with the 'Add Info' tab selected. The window is divided into three main sections: Client Information, Transaction Information, and Transaction Value. The Client Information section includes fields for Fund ID, Unit Holder ID, and a Find UH button. The Transaction Information section includes fields for Transaction Date, Transaction Number, Reference Number, Transaction Currency, and Currency Name. The Transaction Value section includes fields for Transaction Mode, Units Applied, and Percent Applied, along with an Enrich Transaction button. Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates'. The 'Add Info' tab is active, showing a table with columns 'Other Information Field' and 'Field Value'. The table is currently empty. At the bottom of the window, there is an 'Allocation Details' section with fields for Input By, Authorized By, DateTime, and Mod No, along with a Cancel button.

Other Information Field	Field Value
-------------------------	-------------

#### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

#### Field Value

*Display*

The system displays the field value.

## 4.23.6 Certificate Tab

Click on the Certificate tab in the FCIS Split Transaction Details screen.

The screenshot shows the 'FCIS Split Transaction Detail' window with the 'Certificates' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID, Unit Holder ID, and a 'Find UH' button.
- Transaction Information:** Fields for Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode (Units), Units Applied, and Percent Applied, with an 'Enrich Transaction' button.
- Details:** A tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates' (selected).
- Min Cert Denomination:** Fields for 'From Issued Balances' (Not Selected) and 'No of Certificates' (Not Selected).
- Max Cert Denomination:** Fields for 'From Issued Balances' (Not Selected) and 'No of Certificates' (Not Selected).
- Certificate Details:** A table with columns 'Certificate Number' and 'No Of Units'. The first row is selected.
- Allocation Details:** Fields for Input By, Authorized By, DateTime, Open, Open, Authorized, Unauthorized, Mod No, and a 'Cancel' button.

### Min Cert Denomination

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### Max Cert Denomination

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### From Issued Balances

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

### Note

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

## No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

## Certificate Details

### Certificate Number

*Alphanumeric; Mandatory*

Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

### No of Units

*Numeric; Optional*

Specify the number of units details.

## 4.23.7 Allocation Details Button

Click Allocation Details button to invoke Allocation Details screen.

FCIS-Transaction Allocation Details

Allocation Details		Switch-In Allocation Details	
Fund ID *	COEFF6	To Fund ID	
Allocation Date *	01/02/2015	Allocation Date	MM/DD/YYYY
Alloted Units	100	Alloted Units	
Unit Price	10	Unit Price	
Confirmed Units	100	Confirmed Units	
Settlement Amt Txn Ccy	1,000.00	Settlement Amt Txn Ccy	
Gross Amt In FBC	1,000.00	Gross Amt In FBC	
Net Amt In FBC	1,000.00	Net Amt In FBC	
Settlement Amount in Price Currency	1,000.00	Rejected Units	
Rejected Units	0		
MMF Dividend Amount			
Tax Income Per Share			
EUSD Gain			

Load Details

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

Performance Fee Details

Exit

The following allocation details are displayed:

### **Allocation Details**

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number

- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

### **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

#### **4.23.8 Saving the Transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.24 Split Transaction Summary Screen**

This section contains the following topics:

- [Section 4.24.1, "Retrieving a Record in Split Transaction Summary Screen"](#)
- [Section 4.24.2, "Editing Split Transaction Record"](#)
- [Section 4.24.3, "Viewing Split Transaction Record "](#)
- [Section 4.24.4, "Deleting Split Transaction Record"](#)
- [Section 4.24.5, "Authorizing Split Transaction Record "](#)
- [Section 4.24.6, "Amending Split Transaction Record "](#)
- [Section 4.24.7, "Authorizing Amended Split Transaction Record "](#)

### **4.24.1 Retrieving a Record in Split Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Split Transaction Summary' screen by typing 'UTSTXN09' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- AMC
- Maker ID

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
- Input the Transaction Number

Press F8

---

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.

- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc..

#### 4.24.2 Editing Split Transaction Record

You can modify the details of FCIS Split Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Split Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Split Transaction Detail screen is closed and the changes made are reflected in the FCIS Split Transaction Summary screen.



#### **4.24.3 Viewing Split Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Split Transaction Summary screen as follows:

- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Split Transaction Detail screen is displayed in View mode.

#### **4.24.4 Deleting Split Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Split Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.24.5 Authorizing Split Transaction Record**

- An unauthorized FCIS Split Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Split Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Split Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.24.6 Amending Split Transaction Record**

After a FCIS Split Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Split Transaction Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Split Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.24.7 Authorizing Amended Split Transaction Record**

An amended FCIS Split Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.25 Consolidation Transaction Detail**

This section contains the following topic:

- [Section 4.25.1, "Invoking Consolidation Transaction Detail Screen"](#)
- [Section 4.25.2, "Details Tab"](#)
- [Section 4.25.3, "Intermediary Tab"](#)
- [Section 4.25.4, "KYC Details Tab"](#)
- [Section 4.25.5, "Add Info Tab"](#)
- [Section 4.25.6, "Certificates Tab"](#)
- [Section 4.25.7, "Allocation Details Button"](#)
- [Section 4.25.8, "Saving the Transaction"](#)

#### **4.25.1 Invoking Consolidation Transaction Detail Screen**

To enter a consolidation transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Consolidation Transaction Detail' screen by typing 'UTDTXN08' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The Transaction Detail screen for consolidation transactions is displayed, with all the default information.

FCIS Consolidation Transaction Detail

Save

**Client Information**

Fund ID \*

Unit Holder ID \*

Find UH

**Transaction Information**

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Currency

Currency Name

**Transaction Value**

Transaction Mode \* Units

Units Applied

Percent Applied

Enrich Transaction

**Details** | Intermediary | KYC Details | Add Info | Certificates

**Client Information**

Unit Holder Name

CIF Number

Fund Name Short

Fund Identification Number

Fund Base Currency

UH Signature

**Exchange Details**

Amount in Fund Base

Currency

Exchange Rate Source

Exchange Rate Applied

Override Exchange Rate? No

Calculate

**Other Details**

Communication Mode Direct (In Person)

Remarks

Maturity Date MM/DD/YYYY

Auto Generate Unblock?

**Allocation Details**

Input By

Authorized By

DateTime

DateTime

Open Open

Authorized Unauthorized

Mod No

Cancel

You can specify the following details:

## **Client Information**

### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

### **Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

## **Transaction Information**

### **Transaction Date**

*Date Format; Optional*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

### **Transaction Number**

*Display*

The system displays the transaction number.

### **Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

### **Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

### **Currency Name**

*Alphanumeric; Optional*

Specify the name of the currency.

## **Transaction Value**

### **Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

### **Units Applied**

*Display*

The system displays the units applied details.

### **Amount Applied**

*Display*

The system displays the amount applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

## 4.25.2 Details Tab

Click 'Details' tab in the FCIS Consolidation Transaction Detail screen.

You can specify the following details:

### Client Information Section

#### **CIF Number**

*Alphanumeric; Optional*

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking 'UH Signature' button.

## **Exchange Details**

### **Amount in Fund Base Currency**

#### *Display*

The system displays the amount in fund base currency.

### **Exchange Rate Source**

#### *Alphanumeric; Optional*

Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.

### **Exchange Rate Applied**

#### *Display*

The system displays the applied exchange rate.

### **Override Exchange Rate?**

#### *Optional*

Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Other Details**

### **Communication Mode**

#### *Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Remarks**

#### *Alphanumeric; Optional*

Specify remarks, if any.

### **Maturity Date**

#### *Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMC's that have opted for the maturity date facility.

### **Auto Generate Unblock?**

#### *Optional*

Check this box to automatically generate unblock transactions.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

### 4.25.3 Intermediary Tab

Click 'Intermediary' tab in the FCIS Consolidation Transaction Detail screen.

The screenshot shows the 'FCIS Consolidation Transaction Detail' window with the 'Intermediary' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID\*, Unit Holder ID\*, and a Find UH button.
- Transaction Information:** Fields for Transaction Date\* (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode\* (Units), Units Applied, and Percent Applied, along with an Enrich Transaction button.
- Details:** A tabbed interface with Intermediary, KYC Details, Add Info, and Certificates.
- Transaction Intermediary Details:** A table with columns: Entity Type, Entity ID\*, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and a From dropdown. The table shows one row with a checked checkbox in the first column.
- Allocation Details:** Fields for Input By, Authorized By, DateTime, Open, Open, Authorized, Unauthorized, Mod No, and a Cancel button.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity..

#### Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

#### Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

#### Entity Name

When you select the broker code, the name of the broker is displayed.

## Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

## Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.25.4 KYC Details Tab

Click on 'KYC Details' tab in the FCIS Consolidated Transaction Detail screen.

The screenshot displays the 'FCIS Consolidated Transaction Detail' window. At the top, there's a 'Save' button. Below it, the 'Client Information' section includes 'Fund ID \*' and 'Unit Holder ID \*' with a 'Find UH' button. The 'Transaction Information' section contains 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. The 'Transaction Value' section has 'Transaction Mode \*' (Units), 'Units Applied', 'Percent Applied', and an 'Enrich Transaction' button. A tab bar at the bottom of this section shows 'Details', 'Intermediary', 'KYC Details' (selected), 'Add Info', and 'Certificates'. Below the tabs is the 'KYC Transaction Details' section, which includes a table with columns: 'Requested', 'Requirement', 'Received', 'Received Date', and 'Tax Document \*'. The table has one row with a checked 'Requested' box, an empty 'Requirement' field, an empty 'Received' box, a date field, and a 'No' dropdown for 'Tax Document \*'. Below the table, there's a 'Chasing Date' field and a dropdown for 'All the requested KYC documentation has been received' (set to 'No'). A 'UHKYC Details' button is also present. At the bottom, the 'Allocation Details' section includes 'Input By', 'Authorized By', 'DateTime', 'Open' (dropdown), 'Authorized' (dropdown), 'Unauthorized' (dropdown), 'Mod No', and a 'Cancel' button.

Requested	Requirement	Received	Received Date	Tax Document *
<input checked="" type="checkbox"/>		<input type="checkbox"/>		No

## Requested

### *Optional*

Check this box to indicate KYC details are requested.

## Requirement

### *Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.



## Received

### Optional

Check this box to indicate KYC details are received.

## Received Date

### Date Format; Optional

Specify the date on which the documents are received from the investor.

## Tax Document

### Optional

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

## Chasing Date

### Date Format; Optional

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

## All the requested KYC documentation has been received

### Optional

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

The screenshot displays the 'FCIS IPO Subscription Detail' form. It includes sections for Transaction Information, Transaction Value, KYC Transaction Details, and Document Details. The KYC Transaction Details table shows a single row with columns for Requested, Requirement, Received, Received Date, and Tax Document. The Document Details section includes fields for Document ID, Time Description, Input By, Authorized By, DateTime, and Mod No, along with buttons for Ok and Cancel.

Requested	Requirement *	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MM/DD/YYYY	No

---

**Note**

Transaction Status will not check the KYC Details to complete the transaction.

---

#### 4.25.5 Add Info Tab

Click on 'Add Info' tab in the FCIS Consolidated Transaction Detail screen.

The screenshot displays the 'FCIS Consolidated Transaction Detail' window. At the top, there is a 'Save' button. Below it, the window is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'.  
- **Client Information:** Includes fields for 'Fund ID \*' and 'Unit Holder ID \*'. A 'Find UH' button is located below the 'Unit Holder ID \*' field.  
- **Transaction Information:** Includes fields for 'Transaction Date \*' (pre-filled with '03/10/2016'), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'.  
- **Transaction Value:** Includes fields for 'Transaction Mode \*' (with a dropdown arrow), 'Units' (with a dropdown arrow), 'Units Applied', and 'Percent Applied'. An 'Enrich Transaction' button is located below these fields.  
Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info' (highlighted in red), and 'Certificates'.  
The 'Additional Information Details' section follows, featuring a table with columns 'Other Information Field' and 'Field Value'. The table is currently empty, and a 'Go' button is visible above it.  
At the bottom, the 'Allocation Details' section contains fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No'. There are also dropdown menus for 'Open' and 'Authorized' (with options 'Open' and 'Unauthorized'). A 'Cancel' button is located in the bottom right corner.

**Other Info Field**

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

**Field Value**

*Display*

The system displays the field value.

## 4.25.6 Certificates Tab

Click on the Certificate tab in the FCIS Consolidation Transaction Details screen.

The screenshot displays the 'FCIS Consolidation Transaction Detail' window. At the top, there is a 'Save' button. Below it, the window is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'.  
**Client Information:** Includes fields for 'Fund ID \*' and 'Unit Holder ID \*', with a 'Find UH' button.  
**Transaction Information:** Includes fields for 'Transaction Date \*' (set to 03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'.  
**Transaction Value:** Includes fields for 'Transaction Mode \*' (set to Units), 'Units Applied', and 'Percent Applied', with an 'Enrich Transaction' button.  
Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates' (which is selected and highlighted in red).  
Under the 'Certificates' tab, there are two sections: 'Min Cert Denomination' and 'Max Cert Denomination'. Each has a 'From Issued Balances' dropdown menu, both currently set to 'Not Selected'.  
Below these is a 'Certificate Details' section with a table. The table has two columns: 'Certificate Number' and 'No Of Units'. The first row is checked. Above the table is a navigation bar showing '1 of 1' and a 'Go' button.  
At the bottom is an 'Allocation Details' section with a table. The table has columns for 'Input By', 'Authorized By', 'DateTime', 'Open', 'Open', 'Authorized', 'Unauthorized', and 'Mod No'. There is a 'Cancel' button at the bottom right.

### Min Cert Denomination

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### Max Cert Denomination

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### From Issued Balances

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

**Note**

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

**No of Certificates**

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

**Certificate Details****Certificate Number**

*Alphanumeric; Mandatory*

Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

**No of Units**

*Numeric; Optional*

Specify the number of units details.

## 4.25.7 Allocation Details Button

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \* COEFF6

Allocation Date \* 01/02/2015

Allotted Units 100

Unit Price 10

Confirmed Units 100

Settlement Amt Txn Ccy 1,000.00

Gross Amt In FBC 1,000.00

Net Amt In FBC 1,000.00

Settlement Amount in Price Currency 1,000.00

Rejected Units 0

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date MMDDYYYY

Allotted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

1 of 1

Go

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

1 of 1

Go

Exit

The following allocation details are displayed:

### Allocation Details

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag
- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

## **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

### **4.25.8 Saving the Transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.26 Consolidation Transaction Summary Screen**

This section contains the following topics:

- [Section 4.26.1, "Retrieving a Record in Consolidation Transaction Summary Screen"](#)
- [Section 4.26.2, "Editing Consolidation Transaction Record"](#)
- [Section 4.26.3, "Viewing Consolidation Transaction Record "](#)
- [Section 4.26.4, "Deleting Consolidation Transaction Record"](#)
- [Section 4.26.5, "Authorizing Consolidation Transaction Record "](#)
- [Section 4.26.6, "Amending Consolidation Transaction Record "](#)
- [Section 4.26.7, "Authorizing Amended Consolidation Transaction Record "](#)

### **4.26.1 Retrieving a Record in Consolidation Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Consolidation Transaction Summary' screen by typing 'UTSTXN08' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- AMC

- Maker ID

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

### Note

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
- Input the Transaction Number
- Press F8

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17. For example: GSD217, GSD172, AGC17 etc.



#### **4.26.2 Editing Consolidation Transaction Record**

You can modify the details of FCIS Consolidation Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Consolidation Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Consolidation Transaction Detail screen is closed and the changes made are reflected in the FCIS Consolidation Transaction Summary screen.

#### **4.26.3 Viewing Consolidation Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Consolidation Transaction Summary screen as follows:

- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Consolidation Transaction Detail screen is displayed in View mode.

#### **4.26.4 Deleting Consolidation Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Consolidation Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **4.26.5 Authorizing Consolidation Transaction Record**

- An unauthorized FCIS Consolidation Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Consolidation Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

#### **4.26.6 Amending Consolidation Transaction Record**

After a FCIS Consolidation Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Consolidation Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Consolidation Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### **4.26.7 Authorizing Amended Consolidation Transaction Record**

An amended FCIS Consolidation Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### **4.27 Reissue Transaction Detail**

This section contains the following topic:

- [Section 4.27.1, "Invoking Reissue Transactions Detail Screen"](#)
- [Section 4.27.2, "Details Tab"](#)
- [Section 4.27.3, "Intermediary Tab"](#)
- [Section 4.27.4, "KYC Details Tab"](#)
- [Section 4.27.5, "Add Info Tab"](#)
- [Section 4.27.6, "Certificate Tab"](#)
- [Section 4.27.7, "Allocation Details Button"](#)
- [Section 4.27.8, "Saving the Transaction"](#)

## 4.27.1 Invoking Reissue Transactions Detail Screen

To enter a reissue transaction request into the system, perform the following sequence of steps:

Invoke the 'FCIS Reissue Transaction Detail' screen by typing 'UTDTXN10' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. The Transaction Detail screen for reissue transactions is displayed, with all the default information..

**FCIS Reissue Transaction Detail**

Save

**Client Information** **Transaction Information** **Transaction Value**

Fund ID \*

Unit Holder ID \*

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Currency

Currency Name

Transaction Mode \* Units

Units Applied

Percent Applied

**Details** Intermediary KYC Details Add Info Certificates

**Client Information** **Exchange Details** **Other Details**

Unit Holder Name

CIF Number

Fund Name Short

Fund Identification Number

Fund Base Currency

Amount in Fund Base Currency

Exchange Rate Source

Exchange Rate Applied

Override Exchange Rate? No

Communication Mode Direct (In Person)

Remarks

Maturity Date MM/DD/YYYY

☐ Auto Generate Unblock?

**Allocation Details**

Input By	DateTime	Open	Open	<input type="button" value="Dropdown"/>
Authorized By	DateTime	Authorized	Unauthorized	<input type="button" value="Dropdown"/>
		Mod No		

You can specify the following details:

### **Client Information**

#### **Fund ID**

*Alphanumeric; Mandatory*

Specify the fund ID in which the requested transaction is to be put through. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

**Unit Holder ID**

*Alphanumeric; Mandatory*

Specify the unit holder that has requested the transaction, in the Client Information section. Specify the CIF Number and then choose the required unit holder in the Unit Holder field, or else specify the ID of the unit holder in the Unit Holder field.

You must select a CIF or unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

**Transaction Information****Transaction Date**

*Date Format; Optional*

The transaction date is reckoned to be the application date by default. You can alter this and specify any date that is not designated as a holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

If you specify an earlier date, the fund that you choose for the transaction must be one for which backdating of transactions is allowed in the Transaction Processing Rules. The specified earlier date must also be within the backdating limit, as specified for the fund in the Transaction Processing Rules.

**Transaction Number**

*Display*

The system displays the transaction number.

**Transaction Currency**

*Alphanumeric; Mandatory*

Specify the currency in which the amount value for the transaction will be reckoned. Alternatively, you can select transaction currency from the option list. The list displays all valid transaction currency maintained in the system.

The currency you select here must be one that is a valid transaction currency designated for the selected fund in the Fund Transaction Currency rule.

**Reference Number**

*Alphanumeric; Mandatory*

Specify the reference number for the transaction. If the reference number is designated to be system-generated for the agency branch, then the Reference Number field is locked and the number will be generated by the system when you save the transaction.

**Currency Name**

*Alphanumeric; Optional*

Specify the name of the currency.

**Transaction Value****Transaction Mode**

*Mandatory*

Select the transaction mode from the drop-down list. Following are the options available in the drop-down list:

- Amount
- Units

## Units Applied

### Display

The system displays the units applied details.

## Amount Applied

### Display

The system displays the amount applied details.

After entering all details in Transaction Information section click on ENRICH TRANSACTION button. The list of transactions applicable for the Unit Holder selected is defaulted in UH and Fund section.

## 4.27.2 Details Tab

Click 'Details' tab in the FCIS Reissue Transaction Detail screen.

The screenshot shows the 'FCIS Reissue Transaction Detail' window with the 'Details' tab selected. The window is divided into several sections:

- Client Information:** Includes fields for Fund ID, Unit Holder ID, and a 'Find UH' button.
- Transaction Information:** Includes fields for Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Includes fields for Transaction Mode (Units), Units Applied, and Percent Applied, with an 'Enrich Transaction' button.
- Client Information (Bottom):** Includes fields for Unit Holder Name, CIF Number, Fund Name Short, Fund Identification Number, and Fund Base Currency, with a 'UH Signature' button.
- Exchange Details:** Includes fields for Amount in Fund Base Currency, Exchange Rate Source, Exchange Rate Applied, and an Override Exchange Rate? dropdown (set to No), with a 'Calculate' button.
- Other Details:** Includes fields for Communication Mode (Direct (In Person)), Remarks, and Maturity Date (MM/DD/YYYY), with an 'Auto Generate Unblock?' checkbox.
- Allocation Details:** A table with columns for Input By, Authorized By, DateTime, and Mod No. It has dropdowns for Open, Authorized, and Unauthorized, and a 'Cancel' button.

You can specify the following details:

## Client Information Section

### CIF Number

*Alphanumeric; Optional*

Specify the CIF number.

The system will display the following values:

- Unit holder name
- Fund Name Short
- Fund Identification Number
- Fund Base Currency

You can upload unit holder signature image by clicking 'UH Signature' button.

## **Exchange Details**

### **Amount in Fund Base Currency**

*Display*

The system displays the amount in fund base currency.

### **Exchange Rate Source**

*Alphanumeric; Optional*

Specify the exchange rate source. Alternatively, you can select the exchange rate source from the option list. The list displays all valid exchange rate source maintained in the system.

### **Exchange Rate Applied**

*Display*

The system displays the applied exchange rate.

### **Override Exchange Rate?**

*Optional*

Select if exchange rate is to be overridden or not from the drop-down list. The list displays the following values:

- Yes
- No

## **Other Details**

### **Communication Mode**

*Mandatory*

Select the mode of communication from the drop-down list. The list displays the following values:

- Direct (in Person)
- Check Writing
- E-Mail
- Internet
- Registered Investment Advisor
- Registered Dealer
- Savings Plan
- Swift
- Telephone

### **Remarks**

*Alphanumeric; Optional*

Specify remarks, if any.

## Maturity Date

### *Date Format; Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in the Maturity Date field. This field is only applicable for AMCs that have opted for the maturity date facility.

## Auto Generate Unblock?

### *Optional*

Check this box to automatically generate unblock transactions.

After specifying all the necessary details, click 'Calculate' button to calculate the interest details. Click the Calculate button. The system obtains the applicable exchange rate for the application date and computes the equivalent of the transaction value in the fund base currency. This value is displayed in the Amount in Fund Base Currency field. The applied exchange rate is also displayed in the Override Exchange Rate field.

## 4.27.3 Intermediary Tab

Click 'Intermediary' tab in the FCIS Reissue Transaction Detail screen.

The screenshot displays the 'FCIS Reissue Transaction Detail' window. At the top, there is a 'Save' button. Below it, the form is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'.  
- **Client Information:** Includes 'Fund ID \*' and 'Unit Holder ID \*' fields, with a 'Find UH' button.  
- **Transaction Information:** Includes 'Transaction Date \*' (set to 03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name' fields.  
- **Transaction Value:** Includes 'Transaction Mode \*' (set to Units), 'Units Applied', 'Percent Applied', and an 'Enrich Transaction' button.  
Below these sections is a tabbed interface with 'Details', 'Intermediary' (selected), 'KYC Details', 'Add Info', and 'Certificates'.  
The 'Intermediary' tab shows 'Transaction Intermediary Details' with a table. The table has columns: Entity Type, Entity ID \*, Entity Name, Parent Entity Name, Split Percentage, From Or To Leg, and an action column. The first row is checked and shows 'From' in the 'From Or To Leg' column.  
At the bottom, there is an 'Allocation Details' section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with 'Open' and 'Authorized' dropdown menus and a 'Cancel' button.

If an entity has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for an entity.

## Entity Type

Select the entity type that has been identified as the intermediary for the transaction.

## Entity ID

For each entity type, specify the intermediary in this field. The name of the selected intermediary is displayed in the Entity Name field.

While entering a transaction, system will default the intermediary specified here. However, you can override the defaulted value.

## Entity Name

When you select the broker code, the name of the broker is displayed.

## Parent Entity Name

When you select the broker code, the name of the parent broker for the selected broker is displayed.

## Split Percentage

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

## From or To Leg

Specify the from or to leg details.

### 4.27.4 KYC Details Tab

Click on 'KYC Details' tab in the FCIS Reissue Transaction Detail screen.

The screenshot displays the 'FCIS Reissue Transaction Detail' window. At the top, there is a 'Save' button. Below it, the window is divided into three main sections: 'Client Information', 'Transaction Information', and 'Transaction Value'. The 'Client Information' section includes fields for 'Fund ID \*' and 'Unit Holder ID \*', with a 'Find UH' button. The 'Transaction Information' section includes 'Transaction Date \*' (03/10/2016), 'Transaction Number', 'Reference Number', 'Transaction Currency', and 'Currency Name'. The 'Transaction Value' section includes 'Transaction Mode \*' (Units), 'Units Applied', 'Percent Applied', and an 'Enrich Transaction' button. Below these sections is a tabbed interface with 'Details', 'Intermediary', 'KYC Details' (selected), 'Add Info', and 'Certificates'. The 'KYC Transaction Details' section shows a table with columns: 'Requested', 'Requirement', 'Received', 'Received Date', and 'Tax Document \*'. The first row shows 'Requested' as checked, 'Requirement' as empty, 'Received' as empty, 'Received Date' as 'MM/DD/YYYY', and 'Tax Document \*' as 'No'. Below the table, there is a 'Chasing Date' field (MM/DD/YYYY) and a checkbox 'All the requested KYC documentation has been received' (No). At the bottom, there is an 'Allocation Details' section with fields for 'Input By', 'Authorized By', 'DateTime', and 'Mod No', along with 'Open' and 'Authorized' dropdown menus and a 'Cancel' button.

Requested	Requirement	Received	Received Date	Tax Document *
<input checked="" type="checkbox"/>		<input type="checkbox"/>	MM/DD/YYYY	No



**Requested**

*Optional*

Check this box to indicate KYC details are requested.

**Requirement**

*Alphanumeric; Mandatory*

Specify the list of KYC documents required for the unit holder.

**Received**

*Optional*

Check this box to indicate KYC details are received.

**Received Date**

*Date Format; Optional*

Specify the date on which the documents are received from the investor.

**Tax Document**

*Optional*

Select if tax document is required or not from the drop-down list. The list displays the following values:

- Yes
- No

**Chasing Date**

*Date Format; Optional*

Specify the date on which the document chasing is initiated, if the investor has not completed the KYC requirements.

**All the requested KYC documentation has been received**

*Optional*

Select if KYC is received or not from the drop-down list. The list displays the following values:

- Yes
- No

Clicking on 'UH KYC Details' button, the system displays all the KYC details available for the UH.

FCIS IPO Subscription Detail

Save

Transaction Information

Unit Holder ID \*

Fund ID \*

Order Received Date

Transaction Date \* 04/20/2016

Payment Mode \*

Payment Mode Description

Transaction Number

Transaction Currency

Reference Number

Order Received Time (HH24.MI)

Transaction Type

Description

Transaction Category

Transaction Value

Transaction Mode \* Amount

Units Applied

Amount Applied

Percent Applied

UH & Fund
Transaction
Other
Intermediary
Load Override
KYC And Document
Add Info
Fee Payment
Certificate
Limit Order

KYC Transaction Details

1 of 1
Go

Requested	Requirement *	Received	Received Date	Tax Document
<input checked="" type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	No

Chasing Date

KYC Received No

Document Details

Document ID

Time Description

Settlement Details
Receipt Details
Project Allocation Details
Allocation Details

Input By  
Authorized By

DateTime  
DateTime

Mod No  
Authorized Unauthorized  
Open Open

## Note

Transaction Status will not check the KYC Details to complete the transaction.

## 4.27.5 Add Info Tab

Click on 'Add Info' tab in the FCIS Reissue Transaction Detail screen.

The screenshot shows the 'FCIS IPO Subscription Detail' window with the 'Add Info' tab selected. The window is divided into several sections:

- Transaction Information:** Includes fields for Unit Holder ID\*, Fund ID\*, Order Received Date (MM/DD/YYYY), Transaction Date\* (03/10/2016), Payment Mode\*, Payment Mode Description, Transaction Number, Transaction Currency, Reference Number, Order Received Time (HH24.MI), Transaction Type, Description, and Transaction Category (a dropdown menu).
- Transaction Value:** Includes Transaction Mode\* (a dropdown menu), Units Applied, Amount Applied, and Percent Applied. There are buttons for 'Enrich Transaction' and 'Reset Transaction'.
- Navigation Tabs:** A row of tabs at the bottom of the main form area: UH & Fund, Transaction, Other, Intermediary, Load Override, KYC And Document, **Add Info** (selected), Fee Payment, Certificate, and Limit Order.
- Additional Information Details:** A section with a table header 'Other Info Field' and 'Field Value'. The table is currently empty.
- Footer:** Includes 'Settlement Details', 'Receipt Details', 'Project Allocation Details', and 'Allocation Details' tabs. Below these are fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open'. There are 'Ok' and 'Cancel' buttons.

### Other Info Field

*Alphanumeric; Optional*

You can maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

### Field Value

*Display*

The system displays the field value.

## 4.27.6 Certificate Tab

Click Certificate tab in the FCIS Reissue Transaction Details screen.

The screenshot shows the 'FCIS Reissue Transaction Detail' window with the 'Certificates' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID, Unit Holder ID, and a 'Find UH' button.
- Transaction Information:** Fields for Transaction Date (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode (Units), Units Applied, and Percent Applied, with an 'Enrich Transaction' button.
- Details:** A tabbed interface with 'Details', 'Intermediary', 'KYC Details', 'Add Info', and 'Certificates' (selected).
- Min Cert Denomination:** Fields for 'From Issued Balances' (Not Selected) and 'No of Certificates' (Not Selected).
- Max Cert Denomination:** Fields for 'From Issued Balances' (Not Selected) and 'No of Certificates' (Not Selected).
- Certificate Details:** A table with columns 'Certificate Number' and 'No Of Units'. The first row is checked.
- Allocation Details:** Fields for Input By, Authorized By, DateTime, and Mod No, with dropdowns for Open, Open, Authorized, Unauthorized, and Mod No, and a 'Cancel' button.

### Min Cert Denomination

*Alphanumeric; Optional*

Specify the minimum certificate denomination details.

### Max Cert Denomination

*Alphanumeric; Optional*

Specify the maximum certificate denomination details.

### From Issued Balances

*Optional*

Select from issued balances details from the drop-down list. The list displays the following values:

- Yes
- No
- Both

---

### Note

From issued balance field 'Both Option' is not applicable for the subscription transaction

---

## No of Certificates

Optional

Select the number of certificates from the drop-down list. The list displays the following values:

- Single
- Multiple

## Certificate Details

### Certificate Number

*Alphanumeric; Mandatory*

Specify the certificate number. Alternatively, you can select the certificate number from the option list. The list displays all valid certificate number maintained in the system.

### No of Units

*Numeric; Optional*

Specify the number of units details.

## 4.27.7 Allocation Details Button

The screenshot displays the 'FCIS-Transaction Allocation Details' window. It is divided into several sections:

- Allocation Details:** Contains fields for Fund ID (COEFF6), Allocation Date (01/02/2015), Alloted Units (100), Unit Price (10), Confirmed Units (100), Settlement Amt Txn Ccy (1,000.00), Gross Amt In FBC (1,000.00), Net Amt In FBC (1,000.00), Settlement Amount in Price Currency (1,000.00), Rejected Units (0), MMF Dividend Amount, Tax Income Per Share, and EUSD Gain.
- Switch-In Allocation Details:** Contains fields for To Fund ID, Allocation Date (MM/DD/YYYY), Alloted Units, Unit Price, Confirmed Units, Settlement Amt Txn Ccy, Gross Amt In FBC, Net Amt In FBC, and Rejected Units.
- Load Details:** Includes a table with columns: Fund ID, Load ID, Load Description, From Entity Type, and To Entity Type. The table is currently empty.
- Performance Fee Details:** Includes a table with columns: Fund ID, Load ID, Load Description, From Entity Type, and To Entity Type. The table is currently empty.

Navigation and control elements include 'Go' buttons, a search icon, and an 'Exit' button at the bottom right.

The following allocation details are displayed:

### **Allocation Details**

The following Allocation details are displayed:

- Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Settlement Amount in Price Currency
- Rejected Units
- MMF Dividend Amount

### **Switch-In Allocation Details**

The following Switch-in allocation details are displayed:

- To Fund ID
- Allocation Date
- Allotted Units
- Unit Price
- Confirmed Units
- Settlement Amount Transaction Currency
- Gross Amount in FBC
- Net Amount in FBC
- Rejected Units

### **Load Details**

The following Load Details are displayed during the allocation:

- Fund ID
- Load ID
- Load Description
- From Entity Type
- To Entity Type
- From Entity
- To Entity
- Load Amount
- Load Amount in Fee Currency

### **Performance Fee Details**

The following Performance Fee Details are displayed during the allocation:

- Link Transaction Number
- In Out Flag

- Element Identification
- Element Description
- Value

### **Transaction Component Details**

The following Transaction Component Details are displayed during the allocation:

- Offer Price
- Bid Price
- Share Capital
- Income
- Fund Capital
- Share Premium

### **CGT Deduction Details**

The following CGT Deduction Details are displayed during the allocation:

- Unit Holder/ Joint Unit Holder ID
- Unit Holder/ Joint Unit Holder Name
- Tax Amount

## **4.27.8 Saving the Transaction**

At this stage, you can save the transaction by clicking the Save button at the bottom of the Transaction Information Section. The transaction is saved, and the system generated transaction number (and the reference number, if any) is displayed.

---

#### **Note**

If the Auto-authorization feature is enabled for the Save operation for the AMC ID, then the transaction is saved as an authorized transaction. If not, it is saved as an unauthorized transaction. In either case, the Transaction Number is generated and displayed when you invoke the Save operation.

---

## **4.28 Reissue Transaction Summary Screen**

This section contains the following topics:

- [Section 4.28.1, "Retrieving a Record in Reissue Transaction Summary Screen"](#)
- [Section 4.28.2, "Editing Reissue Transaction Record"](#)
- [Section 4.28.3, "Viewing Reissue Transaction Record "](#)
- [Section 4.28.4, "Deleting Reissue Transaction Record"](#)
- [Section 4.28.5, "Authorizing Reissue Transaction Record "](#)
- [Section 4.28.6, "Amending Reissue Transaction Record "](#)
- [Section 4.28.7, "Authorizing Amended Reissue Transaction Record "](#)

### **4.28.1 Retrieving a Record in Reissue Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Reissue Transaction Summary' screen by typing 'UTSTXN10' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Fund ID
- Unit Holder ID
- Transaction Type
- Transaction Mode
- Transaction Date
- AMC
- Maker ID

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

For example:

You can search the record for Fund ID by using the combination of % and alphanumeric value as follows:-

- Search by A% :- System will fetch all the records whose Fund ID starts from Alphabet 'A'. For example:- AGC17,AGVO6,AGC74 etc.
- Search by %7 :- System will fetch all the records whose Fund ID ends by numeric value '7'. For example: AGC17, GSD267, AGC77 etc.



- Search by %17%:- System will fetch all the records whose Fund ID contains the numeric value 17 . For example: GSD217, GSD172, AGC17 etc..

#### 4.28.2 Editing Reissue Transaction Record

You can modify the details of FCIS Reissue Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Reissue Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Reissue Transaction Detail screen is closed and the changes made are reflected in the FCIS Reissue Transaction Summary screen.

### **4.28.3 Viewing Reissue Transaction Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Reissue Transaction Summary screen as follows:

- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Reissue Transaction Detail screen is displayed in View mode.

### **4.28.4 Deleting Reissue Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The FCIS Reissue Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **4.28.5 Authorizing Reissue Transaction Record**

- An unauthorized FCIS Reissue Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Reissue Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Reissue Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

### **4.28.6 Amending Reissue Transaction Record**

After a FCIS Reissue Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Reissue Transaction Summary screen from the Browser.

- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Reissue Transaction Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

#### 4.28.7 Authorizing Amended Reissue Transaction Record

An amended FCIS Reissue Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

### 4.29 Defaulting of Price Date in Transaction Screens

While entering a transaction in any of the Transaction Detail screens, you will have to select the fund in which the requested transaction has to be put through. Once you choose the fund from the option list, the field From Price Date will be displayed.

The table below gives you four sets of conditions that will determine the price date that will be updated in the field From Price Date.

Case	Post Priced	Forward Pricing	Specific Fund Price Frequency	Cut Off Basis	Adhoc Price Date
Case 1	Yes	No	NA	NA	NA
Case 2	Yes	Yes	'User Defined'	'Cut Off Based on Price Date'	NA
Case 3	Yes	Yes	'User Defined'	'Cut Off Based on Price Date'	Maintained
Case 4	Yes	Yes	Any option other than 'User Defined'	'Cut Off as an Independent Calendar'	Maintained

---

#### **Note**

When indicating the Adhoc Price Date you should have specified that the price entered is not meant for reporting alone, by not checking the box 'For Reporting'.

NA, wherever present, denotes the field is Not Applicable given the set of conditions.

For each of the set of conditions given in the table above, the following will be the date that will be updated in the field From Price Date:

---

#### **Case 1**

The next scheduled price date.

Example

For a Fund A, which is post priced (pricing will be of a daily frequency), the system by default the price to the current available price date.

## Case 2

The next user defined price date taking into account the number of cut off days specified.

Example

For a fund A, with the following set of maintenances, the allocation would be as follows:

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)
Fund B	Yes	14-Apr-04	2
		17-Apr-04	
		19-Apr-04	
		21-Apr-04	

For a transaction captured on 12<sup>th</sup>, the field From Price Date in the subscription transaction will be updated with the date 14<sup>th</sup> April 2004.

For a transaction captured on 13<sup>th</sup>, the field From Price Date in the subscription transaction will be updated with the date 19<sup>th</sup> April 2004 as the 17<sup>th</sup> is an AMC holiday.

---

### Note

For the transaction captured on the 13<sup>th</sup> in the above example, the default price date cannot be overridden to the adhoc date as it is not maintained but can be overridden to the 14<sup>th</sup> (the Scheduled Price Date), though it does not satisfy the pricing cut off limit.

---

## Case 3

The next user defined price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date. Example

For a fund A, with the following set of maintenances, the allocation would be as follows:

Fund Name	Forward Pricing Applicable	Scheduled Price Date	Pricing Cut-Off (days)	Adhoc Date (Subscription)	Adhoc Cut-Off (days)
Fund B	Yes	14-Apr-04	2	12-Apr-04	0
		17-Apr-04		13-Apr-04	1
		19-Apr-04		15-Apr-04	2 - Flagged for reporting
		21-Apr-04		16-Apr-04	3

Assume, 15<sup>th</sup> is a Fund holiday and 17<sup>th</sup> April, 2004 is a AMC holiday.

For a transaction captured on the 12<sup>th</sup>, the field From Price Date in the subscription transaction will be updated with the date 14<sup>th</sup> April 2004.

The above defaulted price date 14<sup>th</sup> April 2004, can be overridden to the Adhoc Date 12<sup>th</sup> April 2004.

For a transaction captured on 13<sup>th</sup>, the field From Price Date in the subscription transaction will be updated with the date 19<sup>th</sup> April 2004 as the 17<sup>th</sup> is an AMC holiday.

In the above transaction, the default price date can be overridden to the Adhoc Date, 13<sup>th</sup> April 2004 as it does not satisfy the cut-off days limit. But the 14<sup>th</sup> (the Scheduled Price Date) can be applied.

#### **Case 4**

The next scheduled price date taking into account the number of cut off days specified. You can change this price date and enter the Adhoc Price Date.

Refer to the chapter 'Setting Up Fund Rules (II)' in Volume 2 of the Fund Manager User Manual.

For further information on the Transaction Detail screens, refer to the chapters 'Processing Transaction Requests and Processing Transaction Requests (II)' in Volume 2 of the Agency Branch User Manual.

## **4.30 Completing Transaction**

A transaction is deemed as complete only after it is settled and the required KYC documents have been received from the investor, both at the unit holder level and at the transaction level.

Redemption and Switch Out transactions are allowed even if the linked subscription transactions are not complete. However, payment will not be allowed. If Redemption and Switch out transactions are settled and all the required KYC documents have been received, Completion of linked Subscription triggers the Completion of the Redemption or Switch out transaction.

A transaction can be redeemed or switched out only if the KYC/AML checks have been completed for the linked inflow transaction.

Completion is possible for IPO subscription, subscription, redemption, switch and transfer transactions.

Completion of a transaction is possible only under the following circumstances:

- Transaction has been allotted
- All the payments linked with the transaction are settled
- All KYC documents have been received from the investor at the unit holder level and at the transaction level.
- Transaction is confirmed in case of redemptions
- Linked inflow transaction is 'Complete' in case of redemptions or switch out transactions

You can perform the completion operation as follows:

- In the main menu, invoke the Transaction Input menu. For the required transaction type, choose the Summary option. The Transaction Summary screen is opened.
- In the Operation field, select the Completion option from the drop-down list.
- You can only complete records of transactions that have been allotted. Accordingly, the Status field is defaulted with 'Allotted' and you are not allowed to change this.
- To retrieve the transaction that is to be completed, specify any or all of the details of the transaction in the corresponding fields on the screen. All allotted transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- To complete any single transaction that has been retrieved,

- In the displayed list, select the row of the transaction number and specify the date of completion in the Completion Date field.
- Check the Complete checkbox. Then click the Complete Transaction button to complete the operation.

---

#### **Note**

The completion date that you specify here should be less than or equal to the application date and should be greater than or equal to the transaction date, allocation date and the settlement date of the transaction.

---

In case the KYC list is incomplete for an unsettled transaction, Completion date is updated on settlement. A settled transaction can be marked as 'Complete' only after marking that all the requested KYC documents have been received.

If your installation has not requested for KYC checks, then the transaction will be automatically marked as completed in the following cases:

- Allocation happens before clearing/settlement – In this case, during clearing, the transaction is marked as completed and the Completion date is defaulted with the Clearing date.
- Allocation happens after clearing – In this case, during allocation, transaction is marked as completed and Completion date is defaulted with the Allocation date.

In case of Redemption transactions:

- Completion should be done through 'Confirm Redemption' after settling the transaction.
- Completion should be done through 'Completion' option in Transaction Summary Screen after marking that all KYC documents have been received.

## **4.31 Processing Back Data Propagation for Transactions**

You can correct erroneous transactions as well as enter those that have been missed out and compute the effect these have on the current holdings of the unit holder through the back data propagation process. The following transactions are covered as part of this feature:

- IPO
- Subscription
- Redemption
- Normal Switch and Pseudo switch
- Transfer
- SI transactions

To facilitate this propagation process, two schema are used – the business (or normal) schema and the report schema. You are required to enter the correct data in the business schema for the required transactions and select these for propagation, again from the business schema. The transactions will be simulated in the report schema and the results can be viewed in the business schema.

Refer the chapter 'Back Data Propagation' in the Fund Manager User Manual for more details on the back data propagation process.

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## 5. Processing Transactions - II

This chapter contains the following sections:

- [Section 5.1, "Subscription Transaction Detail"](#)
- [Section 5.2, "Unitholder Deal Summary"](#)
- [Section 5.3, "Mandatory Information for All Transaction Types"](#)
- [Section 5.4, "Unit Holder Balances Summary"](#)
- [Section 5.5, "Contract Notes for Transactions"](#)
- [Section 5.6, "Entering Payment Details for Transactions"](#)
- [Section 5.7, "Enrich Exchange Rate Detail"](#)
- [Section 5.8, "Payment Clearing Detail"](#)
- [Section 5.9, "Transaction Load Override"](#)
- [Section 5.10, "Transaction Load Override Summary"](#)
- [Section 5.11, "Global Order"](#)
- [Section 5.12, "GO Maintenance Summary"](#)
- [Section 5.13, "Global Order Confirmation Detail"](#)
- [Section 5.14, "Global Order Confirmation Summary"](#)
- [Section 5.15, "GO Reconciliation Details"](#)
- [Section 5.16, "GO Reconciliation Summary"](#)
- [Section 5.17, "Global Order Settlement Details"](#)
- [Section 5.18, "Global Order Settlement Summary"](#)
- [Section 5.19, "Global Order Status"](#)
- [Section 5.20, "ISA Transfer"](#)
- [Section 5.21, "One Legged Transfer Summary"](#)
- [Section 5.22, "Distribution Void Detail"](#)
- [Section 5.23, "Distribution Void Summary"](#)
- [Section 5.24, "Intra-day Checks for Transactions"](#)
- [Section 5.25, "UH Portfolio Readjustment Details"](#)
- [Section 5.26, "UH Portfolio Readjustment Summary"](#)
- [Section 5.27, "Help Desk Facility"](#)
- [Section 5.28, "Help Desk Summary"](#)
- [Section 5.29, "Sending and Receiving Messages"](#)
- [Section 5.30, "RTA Transfer Details"](#)
- [Section 5.31, "RTA Transfer Summary"](#)
- [Section 5.32, "Consolidation of Portfolios"](#)
- [Section 5.33, "Batch Update of Transaction Date"](#)
- [Section 5.34, "Tracking Cheques"](#)

### 5.1 Subscription Transaction Detail

This section contains the following topics:

- [Section 5.1.1, "Invoking Subscription Transaction Details"](#)
- [Section 5.1.2, "UH& Fund Tab"](#)

- [Section 5.1.3, "Transaction Tab "](#)
- [Section 5.1.4, "Allocation Details Button"](#)
- [Section 5.1.5, "KYC & Document Tab"](#)

### 5.1.1 Invoking Subscription Transaction Details

For any transaction type, you can use the Transaction Detail screen to enter new transactions into the system.

The screenshot displays the 'FCIS Subscription Transaction Detail' window. It features a 'Save' button at the top left. The main area is divided into three primary sections: 'Transaction Information', 'Transaction Value', and 'Client Information'.  
 - **Transaction Information:** Contains fields for 'Unit Holder ID \*' (with a 'Find UH' button), 'Fund ID \*' (with a magnifying glass icon), 'Order Received Date' (with a calendar icon), 'Transaction Date \*' (set to 03/10/2016), 'Payment Mode \*', 'Transaction Number', 'Transaction Currency', 'Reference Number', 'Order Received Time (HH24-MI)', 'Transaction Type', 'Description', and 'Transaction Category' (a dropdown menu).  
 - **Transaction Value:** Includes 'Transaction Mode \*', 'Units Applied', 'Amount Applied', and 'Percent Applied'. It also has 'Enrich Transaction' and 'Reset Transaction' buttons.  
 - **Client Information:** Features 'CIF Number' (with a 'UH Deal' button), 'Unit Holder Name' (with a 'UH Signature' button), 'ISIN No', 'Fund Name', 'Fund Base Currency', 'Price Currency', and 'Currency of Expression Transaction' (a dropdown menu).  
 A horizontal navigation bar is located below the main sections, with tabs for 'UH & Fund', 'Transaction', 'Other', 'Intermediary', 'Load Override', 'KYC And Document', 'Add Info', 'Fee Payment', 'Certificate', and 'Limit Order'.  
 At the bottom, there is a section for user input with fields for 'Input By', 'Authorized By', 'Date Time', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open'. It also includes 'Ok' and 'Cancel' buttons.

You can access this screen if it is contained the menu access privileges given to the user group or user role that your user profile is associated with, as set up by the User Administrator for the agency branch installation.

Typically, all users belonging to the Teller user group can enter new transactions in this screen.

#### Client Information Section

In this section, specify the details of the CIF customer or the investor that has requested for the transaction.

To retrieve a CIF customer number or a unit holder number, click Find.



**CIF Number**

*Alphanumeric, Optional*

Specify the number of the CIF customer for whom the transaction is being entered, in this field.

You must select a CIF that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

**Unit Holder**

*12 Characters Maximum, Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder for whom the transaction request is being entered.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in the drop down list in this field. You can make your choice from this list.

If you have selected a unit holder for the selected CIF using the Find link, the name and number of the selected unit holder is displayed here.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

### 5.1.2 **UH& Fund Tab**

In this section, you must specify the unit holder or the CIF unit holder to whom the transfer of ownership is being affected in the case of transfer transactions.

This section is not applicable to any other transaction type other than transfer.

**CIF Number**

*Alphanumeric, Optional*

Specify the number of the CIF customer to whom the transfer is being effected, in this field.

You must select a CIF that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

**Unit Holder**

*12 Characters Maximum, Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder to whom the transfer of ownership is being affected.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in the drop down list in this field. You can make your choice from this list.

If you have selected a unit holder for the selected CIF using the Find link, the name and number of the selected unit holder is displayed here.

You must select a unit holder that is not restricted (or does not belong to a restricted category) for the fund into which the transaction is being entered. If not, the system does not allow the transaction to be saved.

The system displays the following values:

- ISIN No
- Fund Name
- Fund Base Currency
- Price Currency
- Currency of Expression Transaction

### 5.1.3 Transaction Tab

FCIS Subscription Transaction Detail

Save

**Transaction Information**

Unit Holder ID \*  [Find UH](#)

Fund ID \*  [Find](#)

Order Received Date  [Calendar](#)

Transaction Date \* 03/10/2016 [Calendar](#)

Payment Mode \*  [Find](#)

Payment Mode Description

Transaction Number

Transaction Currency  [Find](#)

Reference Number

Order Received Time (HH24:MI)

Transaction Type  [Find](#)

Description

Transaction Category

**Transaction Value**

Transaction Mode \* Amount

Units Applied

Amount Applied

Percent Applied

[Enrich Transaction](#)

[Reset Transaction](#)

UH & Fund **Transaction** Other Intermediary Load Override KYC And Document Add Info Fee Payment Certificate Limit Order

Gross or Net

Communication Mode \* Direct (In Person)

Delivery Option

[Details](#)

**Exchange Rate Details**

Source ID BLOOMB [Find](#)

Amount Applied

FX Deal Date  [Calendar](#)

Exchange Rate Applied

Override Exchange Rate? No

FX Value Date  [Calendar](#)

[Calculate](#)

**Interest Details**

[Details](#)

Interest (FRC)

Settlement Details | Receipt Details | Project Allocation Details | Allocation Details |

Input By

Authorized By

Date Time

Date Time

Mod No

Authorized  Unauthorized

Open  Open

[Ok](#) [Cancel](#)

The following are the fields in the screen:

#### Unit Holder ID

Specify the Unit holder for the transaction entered. To locate a unit holder click on “Find”

#### Transaction Date

*Date format (dd-mm-yyyy), Mandatory*

Specify the date on which the transaction request is being entered into the system. The application date is displayed here by default, and is deemed to be the transaction date.

You can enter an earlier date (for a backdated transaction) that falls within the backdating limit specified for the fund in which the transaction is being requested.

The date that you specify here must not be a designated holiday in the system. If you do specify a holiday, the system prompts you to specify a different date.

For check redemption transactions, you must specify the issue date of the check here.

For redemption, switch or transfer transactions, if the unit holder account has a stop instruction (i.e., is frozen), then you can only input the transaction if the transaction date is ahead of the Stop Account Release Date specified in the account profile. For transfer transactions, this validation is made only for the transferor account.

In case of future dated transactions, the transaction date cannot be greater than the future dating limit specified in the Transaction Processing Rules screen.

### **Reference Number**

*16 Characters Alphanumeric, Mandatory*

Specify a unique reference number that will be used to identify the transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual transaction number is generated by the system.

If the reference number is designated to be a system-generated number for the agency branch, this field is disabled when you open the screen. The system will internally generate and display this number when you save the transaction.

### **Fund Id**

*Alphanumeric, Mandatory*

Select the fund in which the transaction is being requested.

The funds displayed in the drop down list are authorized funds with a latest prevalent set of fund rules and rule effective date. They are also funds for which the type of transaction that you are entering is permissible, as defined in the Transaction Processing Rules records for the funds.

When you select the fund, the name of the fund as specified in the Fund Demographics screen is displayed in the Fund name field. Also, the base currency for the fund is retrieved from the fund rules and displayed in the Fund Base Currency field in this screen.

### **Transaction Number**

*16 Character Maximum, Alphanumeric, System-generated*

This is a unique number automatically assigned to each transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNN

Where,

TT-Transaction type (01 - IPO Subscription, and so on)

YYYY-Year of processing

JJJ- Julian date

NNNNNNN-Running sequence number for the day

### **ISIN Code**

*12 Characters Maximum; Alphanumeric; Mandatory*

Select the ISIN Code of the fund in which the transaction is being requested, from the options provided. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field and name of the fund is displayed in the Fund Name field.

## **Fund Base Currency**

### *Display Only*

When you select the fund in which the transaction is being entered, the base currency of the fund is retrieved from the fund rules and displayed here.

## **Price Basis**

### *Alphanumeric, Mandatory*

The default price basis defined in the Distributor Price Basis Setup, if any, for the fund, transaction type, distributor and investment account type involved in the transaction, is displayed in this field.

If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the fund and transaction type for the transaction, from the fund rules, is displayed here.

You can override the default when you enter the transaction.

## **From Price Date**

This field is enabled when you select the fund in which the requested transaction is to be put through. The price date is arrived at by taking into consideration several conditions. You can modify the same.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the price date from the maintenance.

---

### **Note**

This field is enabled only if you select a fund for which you have indicated forward pricing is applicable.

---

*Refer the chapter 'Other Fund Activities' for more details on maintaining alternate trade cycles for a fund.*

## **Price Basis for From Fund (For Switch Transactions Only)**

### *Alphanumeric, Mandatory*

The default price basis defined in the Distributor Price Basis Setup, if any, for the 'from' fund, transaction type, distributor and investment account type involved in the transaction, is displayed in this field.

If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the 'from' fund and transaction type for the transaction, from the fund rules, is displayed here.

You can override the default when you enter the transaction.

## **Price Basis for To Fund (For Switch Transactions only)**

### *Alphanumeric, Mandatory*

The default price basis defined in the Distributor Price Basis Setup, if any, for the 'to' fund, transaction type, distributor and investment account type involved in the transaction, is displayed in this field.

If no price basis has been maintained in the Distributor Price Basis Setup, the default price basis specified for the 'to' fund and transaction type for the transaction, from the fund rules, is displayed here.

You can override the default when you enter the transaction.

### **Transaction Type**

*Alphanumeric; Mandatory*

Specify whether the transaction involves an initial purchase, subsequent purchase or a limit order buy or sell transaction.

When the transaction is saved, the system checks to see if the balance for the unit holder at a customer / investment type is zero, or if there is no underlying balance. If so, and the type of transaction selected is not 'Initial Purchase', the system displays a warning, which can be overridden.

Also, if the 'Initial Purchase' option is chosen, and the unit holder holds any balance at the customer / investment type level, or if there is any underlying balance, the system displays a warning, which can be overridden.

In case of Switch transactions, specify the type of switch the unit holder has opted for. The values defined as a part of Parameter Maintenance will be available in the drop-down list.

In case of Transfer transaction, you can specify whether the transaction involves scrip-less to scrip-based conversions and vice versa. In case of scrip-less to scrip-based conversions, select the option 'Book to Certificate' and in case of scrip-based to scrip-less conversion, select 'Certificate to Book'.

### **Liquidation Indicator**

*Alphanumeric; Mandatory*

Specify if the redemption transaction involves a limit order sell, by selecting it from the list.

### **Product**

*Alphanumeric, Mandatory*

If the selected investor is eligible for tax-exemption, select the tax product in which the investor wishes to purchase units, in this field. When you select the product, you are indicating to the system that this transaction will affect the used up amount of the non-taxable limit set up for the selected unit holder in the Non-Tax Limits Setup options.

The proceeds of the transaction will also be reflected in the system database as non-taxable holdings for the investor.

### **To Fund**

*Alphanumeric, Mandatory for switch transactions*

Select the fund to which the selected unit holder has requested to switch or exchange the investment. If you specify the Fund ID, the ISIN Code of the fund is displayed in the To ISIN Code field.

### **To ISIN Code**

*12 Characters Maximum; Alphanumeric; Mandatory*

Select the ISIN Code of the fund to which the selected unit holder has requested to switch or exchange the investment, from the options provided. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the To Fund field.

### **From Issued Balances**

*Optional*

In the case of transaction types other than IPO or subscription, specify whether the transaction value must be reckoned from the unit holder's issued balances or the non-issued balances. Select 'Yes' to indicate that the value must be reckoned from the issued balances, and 'No' to indicate that it must be reckoned from the non-issued balances.

The issued balances are the portions of the unit holder's balance for which certificates have been issued. The non-issued balance is that portion for which certificates have not been issued. The unit holder can choose to enter into transactions (other than IPO and subscription) using either portion of the balance, but not both in a single transaction.

If you select the option 'Both' and the selected unitholder has requested certificates, system will first try to redeem all the units from the certificates provided. If units in excess of the certificates provided are to be redeemed, system will first redeem the scrip-less holdings using FIFO logic. In such cases, during transaction entry, system will check whether the unit holder has sufficient scrip-less certificate balance to process the redemption transaction.

The following example illustrates this:

### **Case 1**

Assume that a unitholder has 1000 certificate balance and 1000 scrip-less balance. During redemption entry the investor specifies 1200 units to be redeemed and provides certificates worth 800 units, then system will redeem 800 units from the scrip-based holdings and the remaining 400 from scrip-less holdings.

### **Case 2**

Assume that the unitholder has 1000 certificate balance and 1000 scrip-less balance. During redemption entry the investor specifies 1400 units to be redeemed and provides certificates worth 300 units, system will not allow you to save this redemption, since the unitholder does not have sufficient scrip-less holdings.

### **Certificates Required?**

#### *Optional*

For funds that have the certificate option as specified in the Shares Characteristics rules, specify whether the selected unit holder has requested certificates. If yes, then choose the Yes option in this field, and specify the number of certificates requested in the Number of Certificates field.

### **Number of Certificates**

*Mandatory only if you have chosen the 'Yes' option in the Certificate Required field.*

Select the denomination of certificates, whether single or multiple, that will be involved in the transaction, if certificates have been requested.

- For IPO and subscription, specify whether the unit holder has requested a single certificate or multiple certificates.
- For redemption, switch and transfer, specify whether a single certificate or multiple certificates are being redeemed, switched or transferred. For transfer transactions, specify whether the transferee unit holder has requested single or multiple certificates.

If you choose the 'Multiple' option in this field, then the certificates involved in the transaction will be reckoned in denominations governed by the maximum and minimum certificate denominations specified for the fund in the Shares Characteristics rule.

### **Transaction Mode**

#### *Alphanumeric, Mandatory*

Select the mode in which the transaction is being requested. An investor can choose to transact using a specific amount, or a certain number of units held, or a percentage of the units held. Accordingly, select the appropriate option.

For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, the mode of the transaction is considered by default to be 'amount'. It cannot be changed.

For redemption transactions involving scrip-based and Certificate option funds, you can choose to transact using a specific amount.

### **Fee Calculation Basis**

#### *Optional*

Specify whether the transaction fee should be computed in terms of the fund base currency or the transaction currency.

If the Fee currency is based on transaction currency then the load amount will be calculated in terms of the transaction currency and all Fund Base Currency equivalents for Settlement Amount, Net Amount and Gross Amount will be calculated after converting the FBC equivalent from Amount in Transaction Currency.

This option will be displayed only if the fee computation in terms of the transaction currency is allowed for the fund involved in the transaction.

This option is applicable only for IPO subscription, subscription, redemption and switch transactions.

### **Gross or Net**

#### *Alphanumeric, Mandatory*

Specify whether the value of the transaction is to be considered as a gross value from which the loads would be deducted or as a net figure apart from the loads.

For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, the value of the transaction is considered by default as a net figure, and it cannot be changed.

### **Transaction Currency**

#### *Alphanumeric, Mandatory*

Select the currency in which the payments for the transaction will be made or accepted. The drop down list contains currencies that are valid as transaction currencies for the fund, from the Fund Transaction Currency list in the fund rules.

If the specified unit holder's preferred currency is a valid transaction currency for the fund, it is displayed here by default. If not, the base currency for the selected fund is displayed here by default. In either case, you can change these default specifications and make your choice from the list.

### **Exchange Rate Source**

#### *Alphanumeric, Mandatory*

Select the exchange rate source from which the exchange rates are to be derived for the transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.

### **Transaction Value**

#### *Numeric, Optional*

Specify the value of the transaction here. You could express this either as a specific amount, a specific number of shares, or a percentage of shares, as applicable.

If you specify an amount or a number of shares here, the value should fall within the following ranges:

- It must be greater than the minimum transaction amount (or minimum number of shares) specified for the selected transaction type in the Transaction Processing Rules profile for the fund.

- It must be less than the maximum transaction amount (or maximum number of shares) specified for the selected transaction type in the Transaction Processing Rules profile for the fund.
- It must be factorable by the step amount range (or the step units range) specified for the selected transaction type in the Transaction Processing Rules profile for the fund.
- For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, the transaction amount that you specify here must fall within the minimum and maximum limits specified in the fund rules, for such transactions.

For instance, If the step amount is 10 and the minimum amount is 100, the allowable values are 100,110, 120 etc.

For transactions by gross amount, a transaction value that exceeds the Minimum Amount for Tax ID that has been specified in the fund rules, the system validates the availability of the PAN Number in the unit holder account profile. If the PAN Number has not been specified in the profile, you must enter a transaction value that does not exceed the Minimum Amount for Tax ID value, or make a change to the unit holder account and specify the PAN Number, and then attempt to input the transaction.

### Amount in Fund Base Currency

#### *Display Only*

When you specify an amount as the transaction value, the system computes the equivalent of the same in the base currency of the selected fund and displays it here.

### Interest Amount

The system computes the interest amount based on the interest calculation days, interest rate provided by you in the 'Interest Calculation Screen' (explained below). You will be able to change the amount displayed if required.

### Interest Calculator

Click 'Details' button in the 'Transaction' tab of the 'FCIS Subscription Transaction Detail' screen, to invoke the Interest Calculation Screen.

Interest Details

Calculation Type: Simple

Amount	Deposit Date	Interest Calc. Days	Interest Amount	BasisDays
1000000	11/01/2011	360		360

Total Interest Amount:

Calculate

Ok Cancel



The following are the fields in this screen:

### **Calculation Type**

*Mandatory*

Select the calculation type from option list. The options available are:

- Simple
- Complex

### **Basis Days**

*Mandatory, Numeric*

Select the interest basis days, based on which the interest will be calculated. The options available are:

- 360 days
- 365 days

## **Transaction Interest Calculation Section**

### **Amount**

*Display Only*

The transaction value provided by you is displayed here. You will not be able to change the amount displayed.

### **Transaction Currency**

*Display Only*

The system displays the transaction currency that is selected in the 'Subscription' screen.

### **Interest Amount**

*Display*

The system computes the interest amount based on the interest calculation days, and interest rate provided by you. You cannot change the amount displayed.

Click 'Calculate' button after providing the necessary information for the system to compute the interest amount. The interest amount will be calculated and displayed in the field 'Interest Amount'.

### **Payment Date**

*Display Only*

When you make a deposit to the bank, the date of payment will be displayed here.

### **No. of Days**

*Display Only*

The system displays the number of days the interest calculation has to be done for a policy.

---

#### **Note**

- Click 'Ok' button to return to the transaction screen
  - Click 'Cancel' button to withdraw the data entered and you can not save the data
  - Click 'Calculate' button after providing the interest calculation days and interest rate to calculate the interest amount.
  - Click 'Refresh' button if you require making any changes to the data provided by you.
-

For more details, refer to 'Maintaining Interest Rate Details' section which is discussed later in this chapter.

### **Override Exchange Rate?**

*Check Box, Optional*

Select this option if you want to override the computed exchange rate.

### **The 'Calculate' link for exchange rate calculation**

To compute the exchange rate that will be applied for the transaction, select this link. The system computes the exchange rate and displays it in the Exchange Rate Applied field.

### **Exchange Rate Applied**

*Numeric, Mandatory*

When you select the exchange rate source, the system computes the actual exchange rate applied using the transaction currency, fund base currency and the value of the transaction, and displays the same here.

You can override this value when you enter the transaction. To do so, select the Override Exchange Rate box, and then specify the desired exchange rate value in this field.

When you override the computed exchange rate, the overridden value must fall within the fluctuation range allowed for the transaction currency - fund base currency pair, in the Currency Pair Setup records.

### **FX Deal Date**

*Date; Optional*

The system will display the 'FX Deal Date' during transaction enrichment for subscription, redemption and pseudo-switch transactions, which you can override if required. However, if the date you specify is lesser than the application date or greater than the FX Value Date, the system will display an error message. The date should also be a TBC working day.

The date defaulted by the system will include the allocation lag for the fund; if the date so derived (after allowing for the allocation lag) is a TBC holiday, the system will display the next TBC working day.

---

#### **Note**

- If the client country parameter 'FORWARD\_FX\_RATE' is set as false, the system will allow only the application date as the FX deal date.
  - For all transactions other than subscription, redemption and pseudo-switch, the system will use the spot FX rate where the FX Value date, FX deal date and the Transaction date are the same
- 

### **FX Value Date**

*Date; Optional*

The system will display the settlement date in this field. For subscription transactions, the date will be inclusive of the maximum clearing period for the instrument, based on the actual calendar and taking into account TBC holidays. For multi-payment transactions, the settlement date would be inclusive of the maximum clearing period of all the instruments supported in the transactions.

For redemption transactions, the date derived will include the payment lag based on the payment lag calendar basis and after taking into account TBC holidays.

You can override this value, if required.

---

**Note**

If the client country parameter 'FORWARD\_FX\_RATE' is set as false, the system will allow only the application date as the FX value date.

---

If the system-derived FX deal date is greater than the date derived by the system as the FX Value Date or specified by you after overriding the default value), the system will default the FX Deal Date here

**Communication Mode**

*Alphanumeric, Optional*

Specify the mode through which the transaction request was communicated. This could either be Direct or Telephone.

For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, you must specify the communication mode as 'Check Writing'.

Whenever an initial subscription with a mode of communication that is part of the restrictive list maintained for the fund, is entered into the system, system throws up an error and does not allow you to save the transaction.

**LOI Transaction**

*Alphanumeric, Optional*

If the unit holder subscribing to the fund is designated as a Letter of Intent investor, then specify if the present transaction is to be deemed and processed as a Letter of Intent transaction. This information is applicable only for IPO, subscription and switch-in transactions.

**Payment Mode**

*Alphanumeric, Mandatory*

Select the mode in which the unit holder intends to pay the applicable charges levied for the transaction. The payment could be made through:

- Cash
- Check
- Check – Banker's Check
- Check – Self Check
- Draft
- Credit Card
- Account Transfer
- In Kind Payment
- Multi Payment Facility

For check redemption transactions, the payment mode is not applicable.

**Settlement Date**

*Date Format; Optional*

The system computes the settlement date for the transaction according to the payment lag defined for the transaction type, in the Transaction Processing Rules for the fund. The settlement date is computed as (Transaction Date + Payment Lag), and displayed in this field. You can alter the computed date and specify the required date in this field.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the settlement date from the maintenance.

*Refer the chapter 'Other Fund Activities' for more details on maintaining alternate trade cycles for a fund.*

If the client country parameter 'HSBCSPECIFIC' is set to true for your installation, system will allow you to enter a settlement date greater than, equal to or lesser than the transaction date only in case of subscription transactions.

## **EUSD Option**

### *Optional*

The EUSD option specified for the unit holder is defaulted here provided the fund is a 'EUSD In Scope' fund. However, you can modify this value. The options available are

- Withholding tax
- Exchange of information
- Tax exemption certificate

System calculates the EUSD tax based on the option specified here. However, EUSD tax is deducted from the settlement amount only if the EUSD option is Withholding tax.

## **Dealing Date**

### *Date Format; Optional*

The dealing date as maintained for the fund in the Specific Fund Price Date Setup screen is defaulted to this field. The date displayed here can be altered, if required, and you can specify the desired dealing date.

In case dealing date is not maintained for the fund or the fund is not a specific price date fund, dealing date will be equal to the transaction date and cannot be changed.

If you have defined a different trade cycle for the fund in the 'Override Trade Cycle Date' screen and the transaction falls within the override period mentioned in this maintenance, the system will default the dealing date from the maintenance.

Refer the chapter 'Other Fund Activities' for more details on maintaining alternate trade cycles for a fund.

## **Completion Date**

### *Display*

The date of completion of the transaction is displayed here.

If your installation has not requested for KYC checks, then:

- Allocation happens before clearing/settlement – In this case, during clearing, the transaction is marked as completed and the Completion date is defaulted with the Clearing date.
- Allocation happens after clearing – In this case, during allocation, transaction is marked as completed and Completion date is defaulted with the Allocation date.

The Completion Date can only be viewed in modes other than the New Mode.

Completion Date is applicable only for subscription, redemption, switch and transfer transactions.

### *Change in Beneficial Ownership*

For transfer transactions, check this box to indicate that the transaction involves a change in beneficial ownership of transferred units.

### **Remarks**

*255 Characters Maximum, Alphanumeric, Optional*

Descriptive text about the transaction can be entered here.

During transaction amendment, you can capture any appropriate remarks for the amendment here.

### **Lock-in Period for Gain Days**

*Numeric, Optional*

The default lock-in period for the funds where IOF/IRRF are applicable is defaulted here. This can however be modified.

---

### **Note**

Reversals are not allowed post allocation. However if there is any judicial blocking (partial or full) or the subscription is partially redeemed the reversals will not be allowed.

---

### **Reversal Code**

*Optional*

This field is only available during transaction amendment, and you can use it to capture the appropriate rejection code, if any, for the amendment. The codes available in the option list are specific to the transaction type being amended.

Additionally, you can also specify appropriate remarks for the amendment in the Remarks field.

### **Cancel Instruction**

*Alphanumeric; Optional*

You can use this field to indicate whether standing instructions defined in respect of a unit holder, in the selected fund, are to be cancelled. If you select this option, all standing instructions for the transaction is cancelled, including those that are to be generated after an automatic redemption occurs. Select the 'Standing Instruction' option in this field to indicate cancellation of standing instructions.

If this option has been chosen in the General Operating Rules for the fund, the automatic redemption process generates redemption transactions for unit holders in the fund, with the 'Cancel Instruction' option automatically set.

If this option has been set for the transaction in this field, the End of Day process cancels all standing instructions (irrespective of the transaction type) for the unit holder in the fund after the outflow transactions (redemption, switch and transfer) involving the unit holder have been allocated for the day.

---

### **Note**

Reversal or amendment of an outflow transaction for which Cancel Instruction has been set to 'Standing Instruction', would re-instate the standing instructions.

---

**Maturity Date**

*Date Format (dd-mm-yyyy), Optional*

If the fund in which the transaction is being put through is a closed-end fund, then specify the maturity date for the transaction in this field.

In case of block transactions, enter the maturity date of the block transaction. If the system date is equal to or greater than the date specified here, and the Auto generate Unblock option is checked then system generates an automatic unblock transaction on the date specified here. If the maturity date falls on a holiday, then the unblock transaction will be generated on the next working day.

**Auto generate Unblock**

*Optional*

If this option is checked, then the transaction will be automatically unblocked by the system on the maturity date.

This is applicable only for Block transactions. Auto Generate unblock will be generated during the EOD process 'BOD Subscription Transaction Maturity Date Settlements'.

**Block ID**

*Mandatory*

Select the ID of the transaction you wish to unblock. The option list displays the ID of all the block transactions mapped to the unitholder and fund ID specified.

This is applicable only for Unblock transactions.

**Payment Allowed**

*Optional*

For redemptions using Cash Direct accounts, you can use this field to indicate whether relevant documents related to payment for the redemption transaction have been received at the time of transaction entry.

By default, this box is checked; if you wish to withhold payment due to not receiving payment-related documents, you can uncheck this box. Transactions, in respect of which this box is unchecked, can be allotted but not confirmed.

**Generate Certificates for Spillover**

*Optional*

If this option is checked and if the last certificate is to be partially redeemed, system will generate certificate for spill-over units. By default, this option will be checked.

If you un-check this option, then in case of partial outflow if the last certificate is partially redeemed, the remaining units will be converted into scrip-less holdings.

System will mark the source of units for the relevant inflow (which is redeemed), in ageing to indicate the extent of the remaining units as Normal.

This option is applicable only for Redemption, Switch and Transfer transactions.

**Auto Clear Provisional Balance**

*Optional*

For redemption, switch or transfer transactions by 100%, you can use this field to indicate that the outflow transaction should include units in provisional balance.

If the unit holder account has any authorized/unauthorized/un allotted transaction for the same combination of fund and policy with 'Auto Clear Provisional Balance' checked, then you will not be allowed to check this box.

### **Auto Clear Reinvestments**

*Optional*

You can use this field to indicate that 100% outflow transactions (redemption, switch and transfer) should include freeze held and reinvestment units.

---

#### **Note**

The 'Auto Clear Provisional Balance' and 'Auto Clear Reinvestments' fields will be checked or unchecked based on the specification for the same in the Defaults Maintenance. However, you can change the defaulted value. These options will be enabled if the transaction mode is 'Percent' and the transaction value is '100'.

---

### **Switch – In Exchange Rate Source (For Switch transactions only)**

*Alphanumeric, Optional*

Select the exchange rate source from which the exchange rates are to be derived for the switch – in leg of the transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.

#### **The “Calculate” link for switch – in exchange rate calculation**

To compute the exchange rate that will be applied for the switch – in leg transaction, select this link. The system computes the exchange rate and displays it in the Switch - In Exchange Rate Applied field.

### **Switch – In Exchange Rate Applied (For Switch transactions only)**

*Numeric, Optional*

When you select the exchange rate source, the system computes the actual exchange rate applied using the transaction currency, fund base currency and the value of the switch – out settlement value, and displays the same here.

During allocation, the system picks up the prevailing exchange rate on the application date and converts the switch-out settlement amount (in the From Fund base currency) to its equivalent in the To Fund base currency as the switch -in transaction amount.

### **Override Switch – In Exchange Rate (For Switch transactions only)**

*Check Box, Optional*

Select this option if you want to override the computed switch - in exchange rate.

### **Fee Details**

In this section, specify the transaction time fee details for the requested transaction.

#### **Calculate Fee**

Click this link to trigger the computation of the transaction time fee. The system computes the fee and displays the fee value both in the base currency of the selected fund as well as in the selected currency for the transaction.

#### **Fee in Fund Base Currency**

*Display Only*

When you click the Calculate link, the system computes the transaction time fee in the base currency of the selected fund, and displays the same in this field.

### **Fee in Transaction Currency**

#### *Display Only*

When you click the Calculate link, the system computes the transaction time fee in the base currency of the selected fund, and displays the same in the Fee in Fund Base Currency field. It also computes the equivalent of the same in the currency specified for the transaction, and displays the same in this field.

### **Override Fee?**

#### *Optional*

Select this option to indicate to the system that you want to override the computed transaction fee component.

### **Fee after Override**

#### *Numeric, Optional*

If you are overriding the computed transaction time fee, then indicate the changed value for the fee in this field.

### **The Save Button**

Click this button to save the details you have specified. If there are any mandatory details that you have not supplied, the system does not save the transaction, but prompts you to specify the same before you can click the Save button again.

When you save a new or amended transaction by clicking this button, the transaction number for the transaction is generated and displayed.

### **Cancel**

Click this button to clear the details that you have specified, from the screen. A newly opened screen, with only the default information is displayed, so that you can make your specifications afresh.

#### **5.1.3.1 Projected Allocation Details Link**

If you wish to see a projected picture of how the transaction would most possibly be allocated before you actually save the transaction, then click the 'Project Allocation Details' link.



When you do so, the system temporarily saves the transaction into temporary stores in the database and gives it a unique key string. The system then performs a 'mock' temporary allocation, and displays the details of the same in the Allocation Projection screen .

The following allocation details are displayed:

## **The Allocation Details section**

### **Fund ID**

*Display Only*

The ID of the fund through which the transaction is done. In the case of a switch transaction, this is the 'switch from' fund.

### **The Product ID**

*Display Only*

The ID of the tax product, if the transaction involved a tax exemption eligible investor.

### **Units**

*Display Only*

The number of units allocated in respect of the transaction.

### **Unit Price**

*Display Only*

The unit price that is prevalent for the transaction type, as on the date of the temporary allocation.

**Load Amount***Display Only*

The sum total of loads applicable for the transaction.

**The Gross Amount in Fund Base Currency***Display Only*

For transactions that are put through on a gross basis, the actual transaction amount in fund base currency, without any reduction of applicable loads, is displayed here.

For transactions that are put through on a net basis, the amount displayed here is the sum of transaction amount (i.e., the transaction value) and the applicable loads, in the fund base currency.

**The Net Amount in Fund Base Currency***Display only*

For transactions that are put through on a gross basis, the actual transaction amount in fund base currency, after reduction of applicable loads, is displayed here.

For transactions that are put through on a net basis, the amount displayed here is the actual transaction amount in the fund base currency. The loads would be added to this value to arrive at the total settlement amount.

**Settlement Amount in Price Currency***Display Only*

For non currency of expression funds the settlement amount in price CCY will display Fund base CCY value.

**Settlement Amount in Transaction Currency***Display Only*

The settlement amount is the amount that the unit holder (or the third party, as specified in the transaction details) would actually pay for the transaction.

For transactions that are put through on a gross basis, the gross amount in fund base currency would be converted to the equivalent amount in the transaction currency and displayed here.

For transactions that are put through on a net basis, the sum of the net amount in fund base currency and the applicable loads would be displayed here.

To understand how the amount projections are made, consider the following example:

**Performance Fee Details section**

For hedge funds the related performance fee details will be calculated during allocation.

The following details are displayed:

- Linked transaction number
- Identification of the data element associated with performance fee
- Description associated with the data element
- Value associated with the data element

## 5.1.4 Allocation Details Button

You can view the allocation details related to a transaction in 'Transaction Allocation Details' screen. To invoke this screen, click 'Allocation Details' button in Transaction Details screen.

FCIS-Transaction Allocation Details

**Allocation Details**

Fund ID \*

Allocation Date \*

Alloted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Settlement Amount in Price Currency

Rejected Units

MMF Dividend Amount

Tax Income Per Share

EUSD Gain

**Switch-In Allocation Details**

To Fund ID

Allocation Date

Alloted Units

Unit Price

Confirmed Units

Settlement Amt Txn Ccy

Gross Amt In FBC

Net Amt In FBC

Rejected Units

**Load Details**

1 of 1

Go

Fund ID *	Load ID *	Load Description	From Entity Type	To Entity Type
-----------	-----------	------------------	------------------	----------------

**Performance Fee Details**

1 of 1

Go

Exit

The following details related to the allocation are displayed:

- Fund ID
- Allocation date and allotted amount
- Unit price and confirmed units
- Settlement amount in transaction currency
- Settlement amount in price currency
- Gross and Net amounts in Fund Base Currency
- Rejected number of units

The following details related to Load are displayed:

- Load Id and description
- Load amount
- Load amount in fee currency

The following details related to Performance Fee are displayed:

- Linked transaction number
- Incoming/ Outgoing transaction
- Identification of the data element associated with performance fee
- Description associated with the data element
- Value associated with the data element

### 5.1.5 KYC & Document Tab

You need to specify the list of required KYC documents for this transaction. System allows you to save the transaction even if the unitholder has not submitted all the required KYC documents. However, you will not be allowed to perform the completion operation on that transaction unless all the required documents have been received from the investor. This feature will be available only if your installation has requested for it.

To invoke the Transaction KYC Details Screen, click on the 'KYC & Document' tab. The following screen is invoked:

The screenshot shows the 'FCIS Subscription Transaction Detail' window. The 'KYC And Document' tab is selected. The 'Transaction Information' section contains fields for Unit Holder ID (with a 'Find UH' button), Fund ID (with a magnifying glass icon), Order Received Date (MM/DD/YYYY), Transaction Date (03/10/2016), Payment Mode (with a magnifying glass icon), and Payment Mode Description. The 'Transaction Value' section includes Transaction Number, Transaction Currency (with a magnifying glass icon), Reference Number, Order Received Time (HH24:MI), Transaction Type (with a magnifying glass icon), Description, Transaction Category (a dropdown menu), Transaction Mode (Amount), Units Applied, Amount Applied, and Percent Applied. There are 'Enrich Transaction' and 'Reset Transaction' buttons. Below this is a tabbed interface with 'KYC And Document' selected. The 'KYC Transaction Details' table has columns: Requested (checkbox), Requirement (with a magnifying glass icon), Received (checkbox), Received Date (MM/DD/YYYY), and Tax Document (No). At the bottom, there's a 'Chasing Date' (MM/DD/YYYY), 'KYC Received' (No), and a 'UH KYC Details' button. The 'Document Details' section at the very bottom has tabs for Settlement Details, Receipt Details, Project Allocation Details, and Allocation Details. The footer contains fields for Input By, Authorized By, DateTime, Mod No, Authorized, Unauthorized, Open, and Open, with 'Ok' and 'Cancel' buttons.

The following details will be captured:

#### Requested

Check those documents that have been requested from the investor.

#### Requirements

Specify the list of KYC documents required for this transaction.

You may add additional documents to the existing KYC list until the transaction is completed. However, if you add additional documents once the 'All the requested KYC documentation has been received' check box has been checked, system will uncheck the option.

### **Received**

Check this option to indicate that the investor has submitted the required document.

### **Received Date (DD/MM/YYYY)**

Specify the date on which the document was received.

### **Tax Document**

Use this check box to identify the submitted document as tax document. During Subscription and IPO Subscription transactions, investor should provide Form 60/61 if investor does not have a PAN. If investor fails to provide Form 60/61, transaction will not be processed and system will throw up an error.

If the account is a joint account, then Form 60/61 should be provided for all the joint holders without PAN as well. System will not allow you to save the transaction if all the tax documents are not provided by the investor.

### **Delete**

Use this check box to identify any document that must be marked for deletion. In the desired row, check this box. When you have selected all the documents to be deleted, click the Delete Row link at the top of the section.

However, you are not allowed to delete documents marked as requested, saved and authorized.

### **The Add Row link**

Click add icon to add a new row in this section.

### **Chasing Date (DD/MM/YYYY)**

#### *Optional*

In case the KYC list is incomplete for the transaction and the document has been requested, enter the date on which the document chasing action must be initiated.

Each time a document is requested from the investor, you must capture a chasing date for that document.

After you have entered the required document details, click the Close button to close the screen.

This feature is only available if your installation has requested for it.

### **KYC Received**

Check this option once all the requested documents have been received from the investor. You will not be allowed to check this option until all the requested documents have been marked as received.

You are not allowed to check this option until all the required KYC documents have been received both at the unit holder level and at the transaction level.

### **Document ID**

Specify the document ID.

### **Document Type**

Specify the document type.

## Type Description

Specify the description type.

## 5.2 Unitholder Deal Summary

This section contains the following topics:

- [Section 5.2.1, "Invoking Unitholder Deal Summary Screen"](#)
- [Section 5.2.2, "Broker Details Section"](#)
- [Section 5.2.3, "Settlement Details Button"](#)
- [Section 5.2.4, "Pledgee Details Tab"](#)
- [Section 5.2.5, "Fee Payment Details Tab"](#)
- [Section 5.2.6, "Certificate Details Tab"](#)
- [Section 5.2.7, "Load Override Tab"](#)
- [Section 5.2.8, "Limit Orders Tab"](#)
- [Section 5.2.9, "Allocation Details Button"](#)
- [Section 5.2.10, "Document Details Section"](#)
- [Section 5.2.11, "Add Info Tab"](#)

### 5.2.1 Invoking Unitholder Deal Summary Screen

If you wish to view the details of all the UH deals set up for the unit holder, type UTSUHDEL in the field at the top right corner of the Application tool bar and click on the adjoining arrow button.

Unitholder Deal Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Unit Holder / CIF Number  Apply At CIF Level

Apply Deal At  Load ID

Effective Start Date  Effective End Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Status	Deal Transaction Number	Unit Holder / CIF Number	First Name	Apply At CIF Level	Apply Deal At	P
------------	------	--------	-------------------------	--------------------------	------------	--------------------	---------------	---

Authorize

Exit

You may wish to view the details of a particular record, in which case, you will have to enter relevant search criteria in the Quick Find Options and the Advanced Find Options. The system will display the records that match the search criteria you have specified.

The Transaction Date records matching the search criterion specified are displayed in row lists in the lower grid portion of the screen. From this results list, choose the unit holder deal that you want to view by clicking on the record twice.

When you click on the Search Unit Holder/ Customer button alongside the Action Buttons, the Unit Holder - Deal Setup screen is invoked in View mode as shown below, where you can view the details of the record.

You can invoke this screen by typing UTDUHDEL in the field at the top right corner of the Application tool bar and click on the adjoining arrow button.

The screenshot shows the 'Unit Holder Deal Maintenance Detail' window. It has a title bar with 'Unit Holder Deal Maintenance Detail' and standard window controls. Below the title bar is a 'Save' button. The main content area is divided into three sections: 'Client Information', 'Deal Details', and 'Load Details'. The 'Client Information' section has a 'Unit Holder / CIF Number' field with a 'Find Unit Holder' button and a 'Name' field. The 'Deal Details' section has fields for 'Deal Transaction Number', 'Status' (set to 'Active'), 'Product ID', 'Product Name', 'Deal Based On', 'Description', 'Effective End Date', 'Group ID', 'Load Description', 'Load Calculation Method', 'Fund ID', 'Fund Name', 'Policy Number', 'Effective Start Date', 'Tax Type' (set to 'Select'), 'Load ID', and 'Amount Or Percentage'. There is also a 'Default Load Details' button. The 'Load Details' section has a table with columns: 'Slab Sequence No', 'From Date', 'To Date', 'From Amount', 'To Amount', 'From Units', and 'To Units'. At the bottom of the window, there is a 'Cancel' button and a status bar with fields for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized'.

Click the 'Close' button to return to the Find Options screen.

## 5.2.2 Broker Details Section

If a broker has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for the broker.

If brokers are designated as mandatory for the fund in which the transaction is being put through, then you must specify at least one broker as mandatory information in this section. If brokers are not mandatory for the fund, and you do not specify any broker in this section,

then the system reckons the broker as DIRECT and designates the same as the default broker.

FCIS Subscription Transaction Detail

Save

**Transaction Information**

Unit Holder ID \*  Find UH

Fund ID \*

Order Received Date

Transaction Date \* 03/10/2016

Payment Mode \*

Payment Mode Description

Transaction Number

Transaction Currency

Reference Number

Order Received Time (HH24:MI)

Transaction Type

Description

Transaction Category

**Transaction Value**

Transaction Mode \* Amount

Units Applied

Amount Applied

Percent Applied

Enrich Transaction

Reset Transaction

UH & Fund | Transaction | Other | **Intermediary** | Load Override | KYC And Document | Add Info | Fee Payment | Certificate | Limit Order

**Transaction Intermediary Details**

1 of 1

Entity Type	Entity ID	Entity Name	Parent Entity Name	Split Percentage	From Or To Leg
					From

Settlement Details | Receipt Details | Project Allocation Details | Allocation Details

Input By  DateTime

Authorized By  DateTime

Mod No

Authorized  Unauthorized

Open  Open

Ok Cancel

## Entity ID

*Alphanumeric, Optional*

Select the code of the broker that has been identified as the intermediary for the transaction.

By default, the code of the unit holder's default broker is displayed here. You can specify other brokers too by selecting them from the list. To invoke the list, click add icon that is found alongside the Broker Code field. You can also search for the broker using broker legacy codes.

## Entity Name

*Alphanumeric, Optional*

When you select the broker code, the name of the broker is displayed. You can also choose to select the name of the broker for the transaction.

By default, the code of the unit holder's default broker is displayed here. You can specify other brokers too by selecting them from the list. To invoke the list, click add icon that is found alongside the Broker Name field

## Parent Entity Name

*Display Only*

When you select the broker code, the name of the parent broker for the selected broker is displayed.



**Split Percentage**

*Numeric, Optional*

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

**From Or to leg**

Mention the start and end point of the transaction date

**Delete?**

*Optional*

Select this option to mark the selected broker as inapplicable for the transaction.

To delete any given row in the grid, check the Delete? check box, and then click the Delete link at the right bottom of this section. The checked rows are deleted. If you delete a row in which a broker has been selected, then that broker is not deemed as an intermediary for the transaction.

To add a new row at the bottom of the grid in this section, click the Add link.

**5.2.3 Settlement Details Button**

In this section, you can capture the details of settlement and payment made for the transaction in the case of IPO, subscription and redemption transactions. Payment Details link

is displayed on selecting any Payment Mode other than 'Cash' and 'Against Payment'. Click the Payment Details link to invoke the Settlement Information screen .

When you have entered a new IPO or Subscription transaction in this screen, you need not specify the payment details before you save the transaction. You can subsequently authorize the transaction, and then specify the payment details through the 'Modify' operation. The transaction will then be subsequently allocated when these payment details are cleared.

For a redemption transaction, the payment details are mandatory and you can specify the same after you save the transaction in this screen.

Following are the fields in Settlement Instructions screen:

## **Settlement Details Section**

### **Settlement Level**

#### *Display*

The settlement level currency defined at the segment level is defaulted here. You are not allowed to modify this.

## Settlement Method

### *Mandatory*

The settlement method is the method of comparison between the amount received from the investor and the amount utilized in case of IPO subscription and Subscription transactions. Following are the methods available:

- Gross Amount – If you choose this method, then the sum of payment amount will be compared with the gross amount of the transaction (either in the fund base currency or the transaction base currency, as specified).
- Net of Agent Fees – If you choose this option, then the sum of Payment amount in FBC will be compared with the difference between the settlement amount and the sum of all load amounts whose From and To Entity Type is Agent.

Payment Amount (in FBC) = Settlement Amount - [(To Load Amount + To Derived Load Amount) - (From Load Amount + From Derived Load Amount)]

- Net of FM Fees – If you opt for this, then the sum of Payment amount (in FBC) will be compared with the difference between the settlement amount and the sum of all load amounts whose To and From Entity Type is AMC.

Payment Amount (in FBC) = Settlement Amount - [(To Load Amount + To Derived Load Amount) - (From Load Amount + From Derived Load Amount)]

- Net of All Fees - If you choose this option, then the sum of Payment amount (in FBC) will be compared with the difference between the settlement amount and the sum of all loads whose To and From Entity type is UH.

Payment Amount (in FBC) = Settlement Amount - [(From Load Amount + From Derived Load Amount) - (To Load Amount + To Derived Load Amount)]

During clearing subscription transactions and confirming redemption transactions, system checks if the sum of the payments is equal to the settlement as per the settlement method rule specified here.

For redemption transactions, the payment amount is compared with the settlement amount and the settlement method is defaulted to 'Gross Amount'. You will not be allowed to modify this.

## Payment Details section

### **Payment Reference Number**

*Alphanumeric, Mandatory*

Enter a unique reference number for this payment.

### **Beneficiary ID**

*Alphanumeric; Optional*

In case of a redemption transaction, where the transaction has been initiated by the primary unit holder and the 'Redemption Payout' option is checked at the unit holder level (in the 'Unit Holder Maintenance Detail' screen), the system will default the beneficiaries maintained for the unit holder when you save the transaction. You can change these details, if required.

Additionally, the system will also default the bank details maintained at the unit holder level for the beneficiaries, if you do not capture settlement details before saving the transaction,

If multiple beneficiaries have been linked to the unit holder, the redemption proceeds will be paid to each beneficiary in the transaction base currency. The order in which the beneficiaries will be paid out is derived from the order maintained for the beneficiaries at the unit holder level.

## **Settlement %**

*Numeric; Optional*

The system will default the percentage for each beneficiary from the unit holder level. You can change it, if required. If the total percentage maintained for all beneficiaries at the unit holder level does not add up to 100%, the system will include the main unit holder as a beneficiary and credit the remainder of the payout to him.

However, while modifying the defaulted details, if you remove the main unit holder and include another beneficiary and the total payout percentage does not add up to 100%, the remaining will not be paid to the main unit holder. Instead the system will credit it to the last beneficiary in the list of beneficiaries.

---

### **Note**

Beneficiary ID and Settlement Percentage fields are applicable only for redemption transactions.

---

## **Sub Payment Mode**

*Conditional*

If the mode of payment is 'Multi payment facility', then select the sub payment mode.

For all other modes of payment, payment mode specified for the transaction is defaulted as the sub payment mode and you are not allowed to change it.

## **Payment Currency**

*Mandatory*

Specify the currency in which the payment must be made for the selected payment mode. By default, it is reckoned to be the Transaction Currency.

## **Payment Date (dd/mm/yyyy)**

*Mandatory*

Enter the date of payment. By default, the transaction date is displayed. If the transaction date is not specified, then the application gets defaulted here. You can change this, if required.

---

### **Note**

Payment Date cannot be back dated.

---

## **Payment Amount**

*Mandatory*

Enter the payable amount. Amount entered here will be reckoned in the payment currency.

## **Bank Charges**

*Numeric, Display*

This is the charges to be borne by the AMC. This amount is inclusive of the charges for payment. Amount entered here will be reckoned in the payment currency.

If the mode of payment is Demand Draft or Outstation Cheque, based on the load maintained for the combination of AMC and transaction currency, the applicable amount slab will be displayed here on tabbing out of the payment amount field.

While processing settlements, the bank charges will be added to the payment amount for settling the transaction.

This field will be displayed only if the client country parameter 'BANKCHARGES' is set to true for your bank.

---

**Note**

DD charges can be calculated in multiple currencies. The Load Id for the AMC should be defined in PARAMS maintenance delimited by "-". For instance, EUR-5555, USD-6666, then 5555 and 6666 are Load Ids. If it is a mono-currency installation, load Id alone should be stored.

---

The load Id should be amount based with the return value as amount. Please note that there will not be any check to this effect and you need to maintain appropriate value since it is a one-time setup.

**Exchange Rate Source**

*Alphanumeric, Mandatory*

Select the exchange rate source from which the exchange rates are to be derived for the transaction. The source specified in the transaction screen is displayed here. You can modify this, if required.

Upon modifying the exchange rate source, if the payment currency differs from the fund base currency (FBC)/ transaction currency (TC) and if the payment amount is greater than or equal to zero, then system computes and displays the FBC Amount in the fund base currency/ transaction base currency equivalent.

If both the currencies are same then the payment charges is deducted from the payment amount and displayed as FBC/TC amount in case of Subscription transactions. For redemption transactions, the payment charges is added to the payment amount and displayed as FBC/TC amount.

**FX Rate**

*Mandatory*

FX rate for the chosen exchange rate source is displayed here.

On modifying the FX rate, if the payment currency differs from the fund base currency (FBC)/ transaction currency (TC), and the FX rate is greater than or equal to zero, then system calculates and displays the FBC/TC amount based on the payment amount, payment charges and FX rate.

**Due Date (DD/MM/YYYY)**

*Display*

Settlement Due date calculation is based on Payment Lag Calendar basis, payment lag and dealing date. The Payment lag calendar basis determines whether AMC, Currency, Fund or System Calendar will be considered to identify holidays.

For redemptions, Settlement due date and Settlement date/Value date is defaulted based on the Currency Cut Off Time and payment lag for the fund and redemption transaction type.

For instance, If the Cutoff time for the currency USD is 11:00 am and the Payment lag is 1 for the fund - transaction type, and the system time is well below the specified cut off time, then system will calculate the settlement due date/Settlement date by adding the payment lag (1 Business day of the currency calendar) to the dealing date of the transaction. If the System time falls after the cutoff time of the currency then settlement date/due date will be defaulted with the sum of dealing date, payment Lag + 1 Business day. If this derived date falls on currency holiday then get the next working date based on currency calendar and default it. If currency calendar is not maintained then the same date is defaulted.

For Subscriptions, Settlement due date is defaulted based on adding the dealing date, for the transaction type and payment lag maintained for the fund and subscription transaction type. If the due date falls on a holiday then the next working date is arrived based on fund calendar. If no Fund calendar is maintained, then system checks for the AMC and system calendar respectively.

If dealing date for a transaction is not specified then system calculates the dealing date based on the dealing lag maintenance and adds the payment lag maintained for the combination of fund and transaction type.

### **Paid Date (DD/MM/YYYY)**

You need to specify the paid date for subscription transactions. In case of redemption transactions, system defaults the paid date based on the dealing date, payment lag and currency cutoff -time. However, you are allowed to modify this.

On specifying the paid date, System calculates the FBC/TC amount based on the Exchange Rate source and FX Rate entered.

---

#### **Note**

Paid Date cannot be less than Payment Date and the transaction date. However, it can be back dated or future dated. You will not be allowed to enter paid date if you have not specified the exchange rate information.

---

### **Auto Settle**

By default, this option is set to 'No'. However, you can change this. If you set this option to 'Yes', then the particular payment is settled by auto clearing process based on the settlement due date.

You can override the auto settlement process by specifying the paid date and manually settling the payment.

### **Payment Type**

#### *Mandatory*

This defines the type of payment. Following are the options available:

- **Retained By:** If case of any rounding differences between the transaction amount and the payment amount, you can enter the rounding difference as a separate payment entry with the Payment type as 'Retained By'.
- **Absorbed:** In case the payment received is more than the amount used for unitization then you can enter a separate payment entry with payment type as 'Absorbed'.
- **Self:** Use this type if the payments are received from the customer.
- **Third Party:** If the beneficiary name of the bank account is different from the registered holder's name for redemption payment then the payment type should be defaulted as 'Third Party'. In case of subscription, if the remitter's name is different from the registered holder's name, then the payment type should be defaulted as 'Third Party'.

If you have selected 'Cheque' or 'Money Transfer' as the mode of payment, then you must enter multiple instruments of the same payment type. However, if the mode of payment is 'Multi Payment Mode', then you can enter multiple instruments of different payment type.

### **Instrument Status**

#### *Display*

The status of the instrument as indicated in the Payment Clearing screen is displayed here.

## Settled?

### *Optional*

Check this option if the settlement is complete.

Transactions can be marked as 'Settled' only if all the payment are settled and the sum of the payment amount is equal to the transaction amount in terms of the fund base currency. Also the units in Provisional Balance will be moved to Unit balance.

---

### Note

- During allocation of a non cash based subscription transaction, system checks the clearing status of the transaction. If it is cleared, then the transaction is marked as settled and the unit holder's unit balance will reflect the units that were allotted for that transaction.
  - On authorizing the payment entries for an allotted transaction, system checks the clearing status of the transaction. If it is cleared, then the transaction is marked as settled and units allotted for that transaction will be moved from the provisional balance to unit balance for that unit holder.
  - If settlement status for the transaction is settled then on changing the settlement information i.e. if the settlement amount in FBC/TC is not equal to the amount used for unitization then the settlement status will be marked as Unsettled.
- 

## Reverse?

### *Optional*

You can reverse the payment, both multiple and single payment (s) provided there are no linked transactions. In case there is no transaction linked to the current transaction, then on reversal, system changes the settlement status as Unsettled and moves the Units from Unit Balance to Provisional Balance.

---

### Note

Only Settled payments can be reversed. You can modify the settlement instructions of the transaction post utilization also. However, allocation happens even in the absence of any payment instruction.

---

## Calculate Link

Click on this link to calculate Exchange rate and FBC amount based on the entered payment amount and payment charges.

---

### Note

In the Settlement Instruction screen, you can enter the charges for payment. This feature is only available if your installation has specifically requested for it. For an exhaustive note on this feature, refer the Annexure.

---

## Payment Details Link

Click 'Payment Details' button under Pymt Dtls to invoke the Payment Details screen. The payment details include the following:

- The type of payment i.e., whether the payment is being made by the unit holder that has requested the transaction or by an external third party.
- The details of the bank and branch of the bank for the payment

- The details of any payment instruments such as checks, the number, date and the clearing date.
- In the case of payment by account transfer, the details of the bank account to which / from which the payment is being made.
- The unit holder's address details for check based payments
- The details of the unit holder's bank

---

#### **Note**

- For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, the payment details are not applicable, and need not be specified.
  - If the client country parameter 'DEFAULTPAYMENT' is set to true, then the settlement details maintained for the combination of unit holder, fund, transaction type, payment mode and transaction currency are defaulted.
- 

Payment Details for Mode of Payment as Check, Credit Card, Debit Card or Draft and for Mode of Payment as Multi Payment Facility with sub mode of payment as Check, Credit Card, Debit Card or Draft

Capture the following details if the mode of payment chosen is check, credit card, debit card or demand draft:

#### **Payment Type**

*Alphanumeric, Mandatory*

The payment type refers to whether the payment is being made by the unit holder who has requested for the transaction or by an external third party. Accordingly, select "self" if the unit holder is making the payment, and select "third party" if the payment is being made by an external party other than the unit holder.

#### **Drawee Branch**

*Alphanumeric, Mandatory*

Specify the name of the bank where the payment instrument is drawn, if the mode of payment is Check, Credit Card, Debit Card or Draft.

#### **Drawee Branch**

*Alphanumeric, Mandatory*

Specify the branch of the selected bank where the payment is drawn, if the mode of payment is Check or Draft.

#### **Check Number/ Card Number/Draft Number**

*16 Characters Maximum, Alphanumeric, Optional*

Specify the number of the payment instrument, the check, the credit/debit card or the demand draft.

#### **Check Date/ Draft Date**

*Date, (dd-mm-yyyy) Optional*

Specify the date on which the check or demand draft is drawn.

#### **Card Reference Number**

*Alphanumeric, Optional*

In the case of payment by credit card or debit card, specify the reference number of the credit card/debit card that is being used to make the payment.



### **Unit holder Address**

*Alphanumeric, Optional*

You may specify the address of the unit holder involved in the transaction.

Payment Details for Transfer Mode of Payment and for Mode of Payment as Multi Payment Facility with sub mode of payment as Transfer or as Advice

Capture the following details if the mode of payment chosen is transfer:

### **Payment Type**

*Alphanumeric, Mandatory*

The payment type refers to whether the payment is being made by the unit holder who has requested for the transaction or by an external third party or by a broker. Accordingly, select “self” if the unit holder is making the payment, “third party” if the payment is being made by an external party other than the unit holder, and select “broker” if the payment is being made by a broker.

### **Maintained Bank Accounts**

*Alphanumeric, Mandatory*

If you have chosen ‘Self’ as the payment type, bank details are defaulted based on the combination of transaction type, fund Id, payment mode and transaction currency maintained for the unit holder.

The system displays the accounts available for a unit holder (in the option list) for IPO subscription, subscription and redemption transactions in the following order:

- Account maintained for ‘All’ funds and ‘All’ transaction types
- Account for the specified fund and transaction type
- Account for the specified payment mode in the order mentioned above
- Account in the specific currency or ‘MCY’ (Multi Currency) in the order specified above

If neither transaction currency account nor multi-currency account is available, the transaction is saved as an ‘Incomplete’ one in case of subscription and IPO transactions. You will have to input payment details later to complete it. In case of redemption and pseudo-switch transactions, the system fails the transaction if the Payment Mode is ‘Transfer’ and allows saving of the transaction if the Payment Mode is ‘Cheque’.

---

#### **Note**

The same logic holds true for SI transactions as well.

---

If you selected ‘Third Party’ as the payment type, all the banks maintained in the system are available in the option list. You must choose the one that will be used to make the payment.

All those accounts belonging to the account type allowed for the combination of type of transaction and the fund involved will be available.

### **Branch**

When you select the bank account of the unit holder that is being used to make the payment, the name of the branch of the bank in which the account resides is displayed here.

In case of third party payment, all the branches maintained for the selected bank are displayed in the option list. You must choose the one that will be used to make the payment.

**Account Number**

When you select the back account of the unit holder that is being used to make the payment, the account number of the transfer account is displayed here.

In case of third party payment, enter the number of the back account that is being used to make the payment.

**Account Type**

When you select the back account of the unit holder that is being used to make the payment, the type of the transfer account is displayed here.

For third party payments, select the type of the transaction account from the drop down list.

**Account Currency**

*Display Only*

When you select the back account of the unit holder that is being used to make the payment, the currency of the transfer account is displayed here.

This currency must be the same as the transaction currency. If this is not so, the unit holder must specify an account in which the account currency is the same as the transaction currency.

**Account Holder Name**

*Display Only*

When you select the back account of the unit holder that is being used to make the payment, the name of the holder of the transfer account is displayed here.

**Transfer Reference Number**

*Alphanumeric, Optional*

Specify the reference number of the transfer that is being used to make the payment.

**Broker ID**

*Mandatory*

If you have chosen "broker" as the Payment Type, you need to specify the identification code maintained for the broker in the system.

**Routing Bank Details Link**

Click on this link to view the routing details for the bank. The details are picked up from the unit holder level.

*For further information on this screen, refer 'The Bank Details' section of the Managing Investor Accounts chapter under Volume II*

Payment Details Mode of Payment as In Kind Payment and for Mode of Payment as Multi Payment Facility with sub mode of payment as In Kind Payment

**In Kind Payment Details**

*Mandatory*

If the payment is made in kind instead of cash, for instance, in the form of securities or bonds, you need to capture the details of the instrument being pledged.

The following details of fund involved in the transaction and the bank details of the unit holder maintained at the unit holder level are picked up and displayed for all modes of payment and sub payment modes:

- ISIN Code

- Fund
- Fund Base Currency
- Bank and Branch Code
- Account Currency
- Account Number
- Account Name
- Whether direct debit is applicable
- Whether the account is closed

If the mode of payment is Multi Payment Facility and the sub mode of payment is Against Payment, the above mention unit holder's bank details and the fund details are displayed.

## 5.2.4 Pledgee Details Tab

In case of an investor has taken a loan on the units in a fund and those units are blocked, you can indicate whether the dividend proceeds on the blocked units should be paid to the pledgor, pledgee or to hold back the payment.

This section is applicable only to Block transactions. Click on the 'Pledgee' tab in the FCIS Block Transaction Detail screen to invoke the screen.

FCIS Block Transaction Detail

Save

Client Information

Transaction Information

Transaction Value

Fund ID \*

Unit Holder ID \*

Find UH

Transaction Date \* 03/10/2016

Transaction Number

Reference Number

Transaction Currency

Currency Name

Transaction Mode \* Amount

Amount Applied

Units Applied

Enrich Transaction

Details | Intermediary | KYC Details | Add Info | **Pledgee** | Certificates

Pledgee Details

Pledgee Name

Zip Code

Pledgee Bank

Account Number

IBAN

Address

State

Pledgee Branch

Pay Dividend To

Allocation Details | View Balance

Maker ID

Authorized By

DateTime

DateTime

Open Open

Authorized Unauthorized

Mod No

Cancel

### **Pay Dividend To**

*Alphanumeric, Optional*

Indicate whether the dividend proceeds on the blocked units should be paid to the pledgor, pledgee or to hold back the payment.

- If you opt to hold back, Dividend on blocked units will not be paid/reinvested until all the blocked units are unblocked.
- If you opt to pay dividend to the pledgor, dividend on blocked units will be credited to unitholder bank account depending on the UH IDS setup.
- If you opt to pay the dividend to the pledgee, dividend on blocked units will be credited to pledgee bank account irrespective of UH IDS setup.

---

#### **Note**

If no option is selected, then dividend on blocked units will be paid / reinvested to the unitholder account depending on the UH IDS.

---

You will be allowed to capture the following details only if you have chosen to pay the dividend to the pledgee.

#### **Pledgee Name**

*60 Characters Maximum, Alphanumeric, Mandatory*

Specify the name of the person or institution with which units are pledged for the block transaction.

#### **Address**

*255 Characters Maximum, Optional*

Enter the address of the pledgee.

#### **Zip Code**

*6 Characters Maximum, Optional*

Specify the zip code of the specified city of residence of the pledgee.

#### **State**

*60 Characters Maximum, Alphanumeric, Optional*

Specify the state in which the city of residence of the pledgee is located.

#### **Pledgee Bank**

*12 Characters Maximum, Alphanumeric, Mandatory*

From the list, select the name of the bank in which the account is held.

#### **Pledgee Branch**

*12 Characters Maximum, Alphanumeric, Mandatory*

From the list, select the name of the branch of the bank in which the account is held.

#### **Account Number**

*16 Characters Maximum, Alphanumeric, Mandatory*

Specify the number of the account held by the pledgee in the selected bank.

## **5.2.5 Fee Payment Details Tab**

You can capture the details of any payments made towards the transaction time fee, in this section. When you select the fund in which the transaction is to be put through, this section is

enabled only if any transaction time fees are mapped to the fund as chargeable for the transaction type.

#### **Fee Payment Details for Mode of Payment as Check, Credit Card or Draft**

Capture the following details if the mode of fee payment chosen is check, credit card or demand draft:

##### **Drawee Bank**

*Alphanumeric, Optional*

Specify the name of the bank where the fee payment instrument is drawn, if the mode of payment is Check, Credit Card or Draft.

##### **Drawee Branch**

*Alphanumeric, Optional*

Specify the branch of the selected bank where the fee payment is drawn, if the mode of payment is Check or Draft.

##### **Check Number/ Card Number/Draft Number**

*16 Characters Maximum, Alphanumeric, Optional*

Specify the number of the fee payment instrument being either check, the credit card or the demand draft.

##### **Check Date/Credit Card Date/Draft Date**

*Date, (dd-mm-yyyy) Optional*

Specify the date on which the check or demand draft is drawn, or the credit card payment is made.

##### **Clearing Date**

*Date, (dd-mm-yyyy) Optional*

Specify the date on which the check / draft is expected to be cleared.

The clearing date should not be earlier than the check / draft date, and must not be a designated holiday in the system.

##### **Card Reference Number**

*Alphanumeric, Optional*

In the case of fee payment by credit card, specify the reference number of the credit card that is being used to make the fee payment.

#### **Fee Payment Details for Transfer Mode of Payment**

Capture the following details if the mode of fee payment chosen is transfer:

##### **Maintained Bank Accounts**

*Alphanumeric, Mandatory*

All the bank accounts that have been maintained for the selected unit holder are displayed in the drop down list in this field. You must choose the one that will be used to make the fee payment. When you do, all the details of the selected account are displayed in the corresponding fields in this section.

##### **Bank**

*Display Only*

When you select the bank account of the unit holder that is being used to make the fee payment, the name of the bank in which the account resides is displayed here.

**Branch***Display Only*

When you select the back account of the unit holder that is being used to make the fee payment, the name of the branch of the bank in which the account resides is displayed here.

**Account Number***Display Only*

When you select the back account of the unit holder that is being used to make the fee payment, the account number of the transfer account is displayed here.

**Account Type***Display Only*

When you select the back account of the unit holder that is being used to make the fee payment, the type of the transfer account is displayed here.

**Account Currency***Display Only*

When you select the back account of the unit holder that is being used to make the fee payment, the currency of the transfer account is displayed here.

This currency must be the same as the transaction currency. If this is not so, the unit holder must specify an account in which the account currency is the same as the transaction currency.

**Account Holder Name***Display Only*

When you select the back account of the unit holder that is being used to make the fee payment, the name of the holder of the transfer account is displayed here.

## 5.2.6 Certificate Details Tab

Click on the Certificates tab of the 'FCIS Block Transaction Detail' screen. You can capture details of certificates involved in a transaction, in this section.

The screenshot shows the 'FCIS Block Transaction Detail' window with the 'Certificates' tab selected. The window is divided into several sections:

- Client Information:** Fields for Fund ID\*, Unit Holder ID\*, and a Find UH button.
- Transaction Information:** Fields for Transaction Date\* (03/10/2016), Transaction Number, Reference Number, Transaction Currency, and Currency Name.
- Transaction Value:** Fields for Transaction Mode\* (Amount), Amount Applied, and Units Applied, with an Enrich Transaction button.
- Details:** A tabbed interface with options for Details, Intermediary, KYC Details, Add Info, Pledgee, and Certificates (which is active).
- Min Cert Denomination:** A dropdown menu currently set to 'Not Selected'.
- Max Cert Denomination:** A dropdown menu currently set to 'Not Selected'.
- Certificate Details:** A table with columns for Certificate Number\*, No Of Units, and Partial. The first row shows a checked checkbox for Certificate Number\* and an unchecked checkbox for Partial.
- Allocation Details:** A section with fields for Maker ID, Authorized By, DateTime, and Mod No, along with Open/Open and Authorized/Unauthorized dropdowns.

A Cancel button is located at the bottom right of the window.

You must capture the certificate details as mandatory information for a transaction in the following circumstances:

- For all transactions involving scrip-based funds
- For all scrip-less funds in which the certificate option is available, and the unit holder requests for the issue of certificates.

The minimum and maximum certificate denominations maintained for the fund in which the transaction is being put through are retrieved and displayed here. If user overrides are designated as available in the Shares Characteristics rule for the fund, then you can override these values in this section when you are entering a transaction.

You can capture the numbers of the certificates involved in a transaction. Partial usage of the units in an issued certificate is only permissible for redemption, switch, transfer, block and unblock transaction types.

---

### Note

In case of Transfer transactions, system marks the original certificates held by the transferor as being transferred and new certificates are generated with the transferee as the 'To Unitholder'.

---

## Check numbers for check redemption transactions

For check redemption transactions, which you enter for an investor with check writing facility in a fund for which check writing is allowed, you must specify the number of the check being redeemed, in this section.

---

### Note

If more than one check is being presented for redemption, you must enter one redemption transaction for each check.

---

## Fields in this section

### Certificate Required?

Select the option Yes, to specify requirement of certificate

### Minimum Certificate Denomination

*Numeric, Mandatory*

This is the least number of units or the minimum lot that would comprise a single certificate. This value is maintained in the Shares Characteristics rule for the fund, and is displayed here. If user overrides are designated as allowed in the Shares Characteristics rule, you can override this value and specify the required minimum lot.

### Maximum Certificate Denomination

*Numeric, Mandatory*

This is the highest number of units or the maximum lot that would comprise a single certificate. This value is maintained in the Shares Characteristics rule for the fund, and is displayed here. If user overrides are designated as allowed in the Shares Characteristics rule, you can override this value and specify the required minimum lot.

### Certificate Number

*Alphanumeric, Mandatory*

Specify the number of the certificate that is to be redeemed, switched, transferred, blocked, unblocked, split, consolidated or reissued, as the case may be.

When you specify the certificate number, the number of units contained in it is displayed in the Units field.

### Total Units

*Display Only*

When you specify the certificate number, the number of units contained in it is displayed in this field.

### Partial?

Select this option to indicate that only a portion of the units contained in the certificate must be used for the transaction.

For certificates that are being redeemed, switched, transferred, blocked or unblocked, you can either use the whole portion of units or a part, as requested by the unit holder.

For certificates that are being split, consolidated or reissued, partial usage of the number of units contained in the certificate is not permissible.

The following example will make this clear:



## Delete?

### Optional

Select this option to mark the selected row as inapplicable for the transaction.

To delete any given row in the grid, check the Delete? check box, and then click the Delete link at the right bottom of this section. The checked rows are deleted. If you delete a row in which a certificate number has been specified, then that certificate is not reckoned as part of the transaction.

To add a new row at the bottom of the grid in this section, click the Add link.

## 5.2.7 Load Override Tab

In this section, you can override or alter the value of any load (including derived loads, if any) mapped to the selected fund and applicable for the transaction type, which is to be computed at the time of allocation. The frequency of computation for such loads would be "allocation".

This section is only enabled for funds that have allocation time loads mapped to them as applicable for the transaction type.

When you select the fund in which the transaction is to be put through, any mapped allocation time loads are displayed as a list in this section.

The screenshot displays the 'FCIS Subscription Transaction Detail' window. The 'Load Override' tab is selected, showing a 'Load Override Details' table with columns: Load ID, Load Details, Load Description, Group Id, Amount/Percent, Change Type, Change Value, and Projected Return Value. The table is currently empty. The window also includes sections for 'Transaction Information' (Unit Holder ID, Fund ID, Order Received Date, Transaction Date, Payment Mode, Payment Mode Description) and 'Transaction Value' (Transaction Number, Transaction Currency, Reference Number, Order Received Time, Transaction Type, Description, Transaction Category, Transaction Mode, Units Applied, Amount Applied, Percent Applied). At the bottom, there are fields for 'Input By', 'Authorized By', 'DateTime', 'Mod No', 'Authorized', 'Unauthorized', 'Open', and 'Open', along with 'Ok' and 'Cancel' buttons.

## Load ID

### Display Only

The ID of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The load ID is displayed as a link. To view details of the load, click the ID link.

The screenshot shows the 'Load Maintenance Detail' application window. It has a title bar with 'New' and 'Enter Query' buttons. The main content area is divided into several sections: 'Basic Information' with fields for 'Load ID \*', 'Load Description \*', 'Cumulative loads' (No), 'PriceBasisLoad?' (No), 'ROA Threshold For Initial Fee', 'Load Type' (Fee), 'Amount Or Percentage' (Amount), 'Consider as Lower Boundary?' (No), and 'Amount Basis' (Select One); 'Slab Mode' with 'UH Deal Maintainable' (No), 'Mode' (Date), 'Period basis' (Days), and 'Load Calculation Method' (Slab Basis); 'Tables Referred' with a list of checkboxes for Agent, Agency Branch, Broker, IFA, Investor, Payment Mode, Fund, Investor Fund, Investor Txn, Account Officer, Transaction Rule, Transaction Details, and Custom Values; and a 'Criteria' section with a large empty box and buttons for 'Criteria', 'Basis', and 'Derived'. At the bottom, there is a 'Mapped Installation IDs' section with a table header containing 'Input by', 'DateTime', 'Mod No', and 'Open', and an 'Exit' button.

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

If the load is criteria based, the criteria will be displayed in the Load Details screen.

If a derived load has been mapped, it is also displayed here and can be overridden.

## Description

### Display Only

The description of the allocation time load that has been mapped to the fund for the transaction type is displayed here.

## Amount/Percentage

### Display Only

The type of the allocation time load that has been mapped to the fund for the transaction type is displayed here. The 'type' of the load refers to the base value upon which the load is applied. There are two possible types – amount-based loads, and percentage-based loads.

## Change type for each slab

### *Optional*

When you override or alter an allocation time load at the time of entering a transaction, you can effect the change in any of the following ways:

- Discount (reducing the load return value in all the slabs)
- Increase (increasing the load return value in all slabs)
- Return Value (assigning an altered return value that will be applicable to all the loads)

To understand clearly how the override would be performed in any of these ways, let us consider an example.

Let us suppose that the following loads are mapped to the Carey Bugle Memorial Fund for all transaction types, with the processing frequency as 'allocation':

Load ALLOCL1, a percentage-based load with a return value of 5 % for slab 1 and 2, and 4% for slab 3.

Load ALLOCL2, a percentage-based load with a return value of 3.5% for all slabs.

Load ALLOCL3, an amount-based load with a return value of 10 USD for slabs 1 and 2, and 9 USD for slabs 3 and 4.

Let us suppose that you are accepting a subscription request into this fund, from the unit holder Mr. Bill Smith, and upon his directives, you have overridden these allocation time loads as follows:

Load ALLOCL1 is to be discounted. You choose the 'Discount' option in the Change Type field and specify the discount value in the Value field in the Load Override section as 1%, to be applicable to all slabs of ALLOCL1. The new percentages applicable for slabs 1 and 2 would be 4%, and for slab 3, the new percentage would be 3%.

Load ALLOCL2 is to be increased. You choose the 'Increase' option in the Change Type field, and specify the new return value as 1%, applicable to all slabs of ALLOCL2. The new percentage applicable for all slabs of ALLOCL2 is 4.5%.

For load ALLOCL3, you choose the 'Return Value' option and specify the new return value as 8 USD for all slabs of ALLOCL3. The new return value for all slabs, 1,2, 3 and 4 for the load ALLOCL3 would be reckoned as 8 USD.

### **Value**

#### *Numeric, Optional*

Specify the altered return value for the allocation time load that you are overriding.

### **Amount Basis**

Specify the amount basis to be considered here

To understand how the new value would work, consider the example given under the Change Type field.

## **5.2.8 Limit Orders Tab**

### **Limit Order Type**

#### *Alphanumeric; Mandatory for Limit Orders*

Specify whether the limit order is price based or date based.

**Limit Price**

*Numeric; Mandatory for Price Based Orders*

Specify the price for the price based limit order transaction. This represents the price equal to or below which the transaction must be put through (for buy orders), or the price equal to or above which the transaction must be put through (for sell orders).

**Limit Start Date (DD/MM/YYYY)**

*Date Format, Mandatory*

For price based limit orders, specify the date that commences the period within which the limit order must be executed. On any date on and after this, the limit order could be executed when the limit price conditions are met.

The date you specify here must be a future date.

**Limit End Date (DD/MM/YYYY)**

*Date Format, Mandatory*

For price based limit orders, specify the date that closes the period within which the limit order must be executed. Beyond this date, the limit order stands cancelled and will not be processed.

The date you specify here must be a future date, later than the Limit Start Date.

**Limit Date (DD/MM/YYYY)**

*Date Format, Mandatory*

For date based limit orders, specify the future date on which the limit order must be executed. If this date is subsequently specified as a holiday, the limit order pricing rule (Prior or After) specified in the General Operating Rules is used to determine the date on which the order would be executed.

For date based Limit Transaction, Limit Price is not applicable. The system will display warning message as 'Limit Price is Not Required for Date based limit orders'.

## **5.2.9 Allocation Details Button**

The details of subsequent allocation of the transaction, if any, are displayed in this section. When you are entering a new transaction, this tab is not available.

All fields are view only fields and no data entry is possible.

**Date Allotted**

This is the date on which the Fund Manager allocated the units in respect of the transaction.

**Units Allotted**

This is the number of units that were allocated by the Fund Manager. in respect of the transaction.

**Units Confirmed**

This is the number of units that were confirmed after allocation by the Fund Manager in respect of the transaction.

**Units Rejected**

This is the number of units, if any, that were rejected in respect of the transaction by the Fund Manager

### **Unit Price Applied**

This is the price per unit that was prevalent for the fund and transaction type at the time of acceptance of the allotted transaction.

### **Provisional Shares**

This is the number of provisional shares allocated in respect of the transaction by the Fund Manager. Provisional shares are allocated for transactions, the payment instrument in respect of which is pending clearance.

## **5.2.10 Document Details Section**

In this section, you can specify the document type for the unit holder. The document types can be maintained in the System Parameters Maintenance screen. This section will be enabled only if your installation is integrated with DMS.

### **Document ID**

*Optional*

You can either enter the document id in this field or choose the document id from the Document Find screen which is opened when you click 'KYC & Document' tab .

In the Document Find screen, specify the first name and second name of the unit holder whose document you wish to retrieve. The various documents stored against the name of the unit holder that you have entered, will be displayed. Double click on the corresponding document, to choose the same. You can also click on the document id link to view the scanned document.

---

### **Note**

If you enter the document id and then click 'KYC & Document' tab, the Document View screen will be opened, where you will see the scanned document.

---

### **Document Type**

*Display*

When you enter or choose the document id, this field will be updated.

### **Document Description**

*Display*

When you enter or choose the document id, this field will be updated.

For further information on maintenance of system parameters, refer to the chapter 'Maintaining System Parameters' in Volume 1

## **5.2.11 Add Info Tab**

To maintain any additional information for a transaction, click on the Transaction Add Info link in the Transaction input screen.

You can only maintain additional information if any information heads have been maintained in the System Parameters, to be applicable for the segment.

The information heads that you maintain are user defined.

---

**Note**

The Additional Information section allows you to capture valuation data and has no processing implications.

---

## 5.3 **Mandatory Information for All Transaction Types**

The transactions input detailed screen consists of the following sections:

- Client Information
- Transaction Information
- Broker Details
- Payment Details
- Fee Details
- Certificate Details
- Load Override Details
- Allocation Details
- Document Details

The mandatory information you need to supply before saving the transaction is given below as under each section. This is applicable to all transaction types:

### **Client Information Section**

- The CIF Number for the investor, or, if this is not known, the investor number (or Unit Holder ID) in the Investor field.
- The Unit Holder ID for non-CIF investors.

### **Transaction Information Section**

- The date of the transaction, in the Transaction Date field. If you are entering a backdated transaction, the date must be within the backdating limits specified for the fund in the Transaction Processing Rules.
- The fund in which the transaction was requested, in the Fund field. You must also specify the ISIN Code of the fund, in the ISIN Code field.
- The desired mode for the transaction, in the Transaction Mode field.
- The currency for the transaction, in the Transaction Currency field.
- The volume of the transaction, in terms of the selected transaction mode, in the Transaction Value field.
- The mode of communication that was used to request the transaction, in the Communication Mode field.
- The desired mode of payment for the transaction, in the Payment Mode field, for IPO, subscription and redemption transactions.
- Whether the applicable exchange rate that is prevalent at the time of transaction entry, must be overridden, in the Override Exchange Rate? field.
- Whether the transaction is to be initiated by gross amount / units, or net amount, in the Gross / Net field, for IPO, subscription and redemption transactions.
- The exchange rate source to be used, in the Exchange Rate Source field.
- Whether the transaction is an LOI transaction, in the LOI Transaction field.
- The maturity date for the transaction, if any, in the Maturity Date field.
- Whether the fee for the transaction is to be overridden, in the Override Fee field.

- The Price Basis for the transaction

#### Payment Details Section

- For redemption transactions, all the details in the Payment Details section.
- For IPO and subscription transactions, the payment type in the Payment Type field.

#### Fee Payment Details Section

- If fees are applicable, then all the details of fee payment, in the Fee Payment Details section.

#### Certificate Details Section

- The certificate numbers for certificate based transactions.

## 5.4 Unit Holder Balances Summary

This section contains the following topic:

- [Section 5.4.1, "Invoking Unit Holder Balances Summary Screen"](#)

### 5.4.1 Invoking Unit Holder Balances Summary Screen

In the 'UnitHolder Balances Summary' screen, you can query the database to obtain fund-wise balances of unit holders, as of a price date or settlement date. You can invoke this screen by typing 'UTDUHBAL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

UnitHolder Balances Summary

Execute Query

Fund ID \*  Fund Identification Number

Unit Holder ID \*  Date Basis

Value Date \*

Unit Holder Name

Fund Id Detail 1 of 1

Fund ID  CIF Number

Unit Holder ID  Total Unit Balance

Transaction Details

Transaction Number	Transaction Date	Units	Price Date	Settlement Date	Date of Allocation	Old Tra
1 of 1						

As of a price date or a settlement date, you can view the balances for:

- A specific unit holder in all funds. You must provide the ID of the required unit holder in this case. This is a mandatory field.

- A specific unit holder in a specific fund. You must provide the IDs of both the required fund as well as the unit holder, in this case.
- All unit holders in a specific fund. You must provide the ID of the required fund in this case.

To obtain the required balances for viewing in this screen, you must specify the following information that would be used as search criteria:

- ID of the fund for which you require to view the unit holder balances
- ISIN Code of the fund
- Date basis. This would indicate whether you wish to view the balances as of a price date or a settlement (value date). Specifying the date basis is mandatory.
- The date (price date or settlement date, as indicated in the Date Basis), as of which you wish to view balances. Specifying the required date is mandatory.
- ID of the unit holder for which you wish to view fund-wise balances as of the indicated date

The following details are displayed in the Fund ID Detail portion of the Unit Holder Balances screen:

- ID of the fund for which the unit holder balances are displayed
- CIF of the unit holder whose balances are displayed
- ID of the unit holder
- Total Unit balance of the unit holder in the fund, as of the indicated date
- You can view a transaction-wise breakup details for the unit balance, in the Transaction Details section:
- CIF of the unit holder
- ID of the unit holder
- ID of the fund in which the transaction was put through
- Transaction number
- In case of reversals, the old transaction number
- Transaction date
- Date of Allocation
- Unit balance due to the transaction
- Date as of which the balances are displayed. This could be a price date or a settlement date
- Old Transaction Number

## 5.5 Contract Notes for Transactions

Confirmation reports (contract notes) for transactions allocated on a business day may be obtained by printing them through the Confirmation Reports menu item in the Queries menu. You can print the notes as often as required through the Confirmation Reports menu.

The End of Day processes on a given business day also execute an EOD job that prints contract notes in respect of transactions allocated on a given business day. The job checks to see if the contract notes have already been printed from the menu. If so, duplicates will be printed only if the 'Duplicates Required' option in the task parameters static information for the job has been enabled and set to 'Yes'. If the Duplicates Required option has been set to 'No', duplicate contract notes are not printed by the EOD job. The Duplicates Required option is configured by the implementers at your installation, according to your requirement in respect of printing of duplicate contract notes.



If the contract notes have not been printed through the Confirmation Reports menu, the EOD job prints the contract notes.

Also, if allowed, as explained above, the EOD job prints transaction contract notes for transactions involving only those unit holders for whom the 'File' option has not been set as the preferred mailing mode in the unit holder account details. For transactions involving any unit holders for which the 'File' option has been set in the account details, the EOD job suppresses the printing of contract notes.

## **5.6 Entering Payment Details for Transactions**

This section contains the following topics:

- [Section 5.6.1, "Payment Incomplete Transactions"](#)
- [Section 5.6.2, "Gross Basis and Net Basis Transactions"](#)

### **5.6.1 Payment Incomplete Transactions**

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without entering any details of payment, in either of the following cases:

- For instance, in the case of a gross basis transaction, you would capture the mode of payment as mandatory information, but the investor need not actually furnish details of any payment instrument at the time of transaction entry.
- In the case of net basis transactions, you would not capture any payment details, as the actual amount of the transaction is not known at the time of transaction entry.

Whenever you do not enter the payment details, the transaction is saved as a payment incomplete transaction.

Further, a payment incomplete transaction can be authorized, and the payment details "completed" or entered subsequently, after authorization.

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### **5.6.2 Gross Basis and Net Basis Transactions**

An investor may request either a gross basis or a net basis for processing a transaction, at the time when you enter the request into the system.

## **5.7 Enrich Exchange Rate Detail**

This section contains the following topics:

- [Section 5.7.1, "Exchange Rate Enrichment for Exchange Rate Incomplete Transactions"](#)
- [Section 5.7.2, "Invoking Enrich Exchange Rate Detail"](#)
- [Section 5.7.3, "Performing Bulk Update of Exchange Rate"](#)
- [Section 5.7.4, "Authorizing Exchange Rate Enrichments"](#)

### **5.7.1 Exchange Rate Enrichment for Exchange Rate Incomplete Transactions**

When you enter a transaction request from an investor into the system (in the Transaction Details screens), you can save the transaction without specifying an exchange rate, in cases

where the exchange rate for the source selected for the transaction has not been uploaded or is unavailable.

Whenever you do not enter the exchange rate, the transaction is saved as an exchange rate-incomplete transaction.

Further, an exchange rate incomplete transaction can be authorized, and the exchange rate “completed” or entered subsequently, after authorization.

### **Transaction Enrichment**

The process of entering the exchange rate for an exchange rate incomplete transaction is known as Exchange Rate Enrichment.

#### **Why must enrichment be performed?**

A transaction can only be picked up by the End of Day process for allocation of units only if it is authorized and all necessary details are present in the transaction record. If the exchange rate is not available, the equivalent transaction amount in fund base currency cannot be computed. In the event of the transaction being authorized before the exchange rate details are specified, it must be made “exchange rate-complete” before it can be picked up subsequently for allocation.

#### **When to perform enrichment?**

Exchange rate enrichment must be performed as a mandatory procedure before an exchange rate incomplete transaction is allocated.

Exchange rate enrichment must also be performed for authorized transactions generated due to a standing instruction.

## 5.7.2 Invoking Enrich Exchange Rate Detail

You can specify the exchange rate for exchange rate incomplete transactions in the 'FCIS Enrich Exchange Rate Detail'. You can invoke this screen by typing 'UTDTXNEE' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

FCIS Enrich Exchange Rate Detail

Save

Transaction Type: UT

Operation Mode: -Select-

Exchange Rate Status: -Select-

Ref Type: All

Search Criteria

AMC ID:

Fund ID:

Product ID: UT

Policy Number: UT

Policy Txn Number:

Fund Name Short:

Exchange Rate Source:

Source Name:

ISIN Code:

From Date: MM/DD/YYYY

To Date: MM/DD/YYYY

Transaction Number:

Unit Holder ID:

Find UH

OK

Execute

Reset

Process

Enrich Exchange Rate Details

Enrich	Product ID	Policy Number	Policy Txn Number/Reference Number	Transaction Number	Transaction Date	Unit Holder ID
--------	------------	---------------	------------------------------------	--------------------	------------------	----------------

Cancel

Enrich the exchange rate details in this screen as follows:

- Transaction type – You can choose either UT or LEP. If u choose UT only incomplete UT transactions will be displayed for enrichment. If you choose LEP and mention the 'Product ID' and 'Policy Number', then all the underlying incomplete UT transactions of the particular policy will be available enrichment
- Operation Mode – You can choose to enrich exchange rates, authorize, bulk exchange rate enrichment or view enrich exchange rate
- Ref type – The ref types that are available are All, Standing Instructions, IPO Subscription, Subscription, Redemption, Switch & Transfer. You can choose any of these.
- AMC ID - Specify the AMC ID. Alternatively, you can select AMC ID from the option list. The list displays all valid AMC ID maintained in the system.
- Fund ID - Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.
- Select the ID of the fund or the ISIN Code of the fund in which the exchange rate incomplete transaction was entered, in the Fund ID and the ISIN Code fields. Select the procedure of operation in the Operation Mode field
- Select the Enrich Exchange Rate option in the Operation Mode field, in the Find Records section of the screen.

- If the transaction for which you are enriching the exchange rate is an unauthorized transaction, select the Unauthorized option in the field Exchange Rate Status.
- If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, choose the Incomplete option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the transaction, and click 'Ok' button.
- Select the product for which you wish to enrich transactions
- Select the policy number
- Select the policy transaction number that should be enriched
- Specify the transaction number. Alternatively, you can select transaction number from the option list. The list displays all valid transaction number maintained in the system
- Specify the Unit Holder ID
- All transactions that are retrieved according to your specifications are displayed as a list in the Enrich Exchange Rate Details grid, in the lower portion of the screen.
  - For each transaction that you want to enter the exchange rate, select the row of the transaction in the list grid.
  - Specify the exchange rate for the transaction.
- Click 'Ok' button.

Clicking 'Execute' button, the system displays the following enrich exchange rate details:

- Enrich
- Product ID
- Policy Number
- Policy Transaction Number
- Transaction Number
- Transaction Date
- Unit Holder ID
- Fund ID
- Transaction Mode
- Transaction Currency
- Fund Base Currency
- Source ID
- Override Exchange Rate
- Exchange Rate Applied
- Switch-In-Fund Base Currency
- Switch-In-Source ID
- Switch-In Exchange Rate Applied
- Mod No
- FX Deal Date
- FX Value Date

### **5.7.3 Performing Bulk Update of Exchange Rate**

Bulk Exchange rate enrichment is performed for authorized but un-allotted transactions in the system. To perform bulk update of exchange rates select 'Bulk Exchange Rate Enrichment' in the operation field.

Certain other fields will be displayed in this screen if you choose the operation as 'Bulk Exchange Rate Enrichment'.

To invoke this screen type UTDTXNEE in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Enrich the exchange rate details in this screen as follows:

- Select the operation mode as 'Bulk Exchange Rate Enrichment'.
- Select the reference type for which you are performing exchange rate enrichment.
- Select the ID of the fund or the ISIN Code of the fund in which the bulk exchange rate enrichment is being performed, in the Fund ID and the ISIN Code fields.
- The date range when the transaction was processed.
- If the transaction for which you are enriching the exchange rate is an authorized but unallotted transaction, choose the 'Complete' option in the field Exchange Rate Status
- If the transaction for which you are entering the exchange rate is an authorized transaction for which the exchange rate has not been entered, choose the 'Incomplete' option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the transaction, and click 'Process' button to submit the job to update the exchange rate details.
- Else, click 'Execute' button to update the update the exchange rate details.

### 5.7.4 **Authorizing Exchange Rate Enrichments**

After you have enriched the exchange rate in the Exchange Rate Enrichment screen, another user must authorize the enrichment for it to be effective in the system database, so that the transaction can be picked up for allocation.

To authorize the enrichment of exchange rate for a transaction, do as follows:

- Select the ID of the fund or the ISIN Code of the fund in which the transaction was entered, in respect of which exchange rate enrichment was done, in the Fund ID and the ISIN Code fields.
- Select the Authorize option in the Operation Mode field, in the Find Records section of the screen.
- Only unauthorized exchange rate enrichment transactions can be authorized. Select the Unauthorized option in the Exchange Rate Status field.
- In the Exchange Rate Source field, select the exchange rate source specified for the exchange rate enriched transaction, and click 'Ok' button.
- All exchange rate-enriched transactions that are retrieved according to your specifications are displayed as a list in the Records Matching The Search Criteria grid, in the lower portion of the screen.
- For each transaction for which you want to authorize the exchange rate enrichment, select the row of the transaction in the list grid.
- In the Auth Status field, select the Authorize option to mark the enrichment for authorization.
- After similarly marking as many records as necessary for payment enrichment authorization, click 'Authorize' button to effect the authorization.
- Transactions enriched through bulk operation need not be authorized.

## 5.8 **Payment Clearing Detail**

This section contains the following topics:

- [Section 5.8.1, "Invoking Clearing Payment Instruments"](#)
- [Section 5.8.2, "Updating Clearing Status of Payment Instrument"](#)
- [Section 5.8.3, "Payment Clearing Details"](#)
- [Section 5.8.4, "Authorizing Clearing Status"](#)
- [Section 5.8.5, "Tracking Status of Returned Cheques"](#)
- [Section 5.8.6, "Authorizing Tracking Status"](#)

### 5.8.1 **Invoking Clearing Payment Instruments**

The system provides the facility to keep track of the clearing status of payment instruments for transactions, or, in the case of LEP (Life and Endowment Products), on a policy level, on an online basis.

To update the clearing status of a payment, use the 'Payment Clearing Detail' screen. You can invoke this screen by typing 'UTDPYCLR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Payment Clearing Detail

Save

AMC ID Transaction Number ISIN Code

Payment Mode ALL Fund ID Fund Name

Level Transaction From MMDDYYYY To MMDDYYYY

Date Range Show Details

Clear All Reject All

Payment Clearing

Transaction Number	Txn Dtl	Payment Mode	Payment Details	Clearing Date	Clearing Status	Drawee Bank Name	Pledgee Branch	Txn Base C
--------------------	---------	--------------	-----------------	---------------	-----------------	------------------	----------------	------------

Cancel

## 5.8.2 Updating Clearing Status of Payment Instrument

To update the clearing status of a payment instrument for a transaction in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the payment instruments must be cleared:
- In the Mode field, select the New option.
- In the Level field, select the Transaction option.
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to update the clearing status of the payment instrument. To clear a specific payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click on the Show Details button. All transactions with payment instruments that match your search criteria are displayed, in the lower grid portion of the screen, in a list. Transactions that satisfy the following criteria are displayed:
  - All necessary information such as payment mode, sub payment mode, payment currency, payment amount, etc. is recorded.
  - FBC/TC amount equivalent and paid date (if auto settlement option is unchecked) are recorded.

- Click on the Payment Details link to invoke the Settlement Information screen. The payment details of all legs involved in the transaction is displayed.
- Click 'Payment Details' button under Pymt Dtls column to invoke the Payment screen.
- Specify the clearing date in the Clearing Date field. By default, the clearing date is deemed to be the application date.
- Specify any relevant remarks in the Remarks field.
- After marking as many instruments as necessary for clearing or rejection, click the Save button to save your changes.
- To clear all instruments displayed in the list, choose the Clear All button. To reject all instruments displayed in the list, choose the Reject All button. Depending on what you choose, either Clear All or Reject All, the clearing status field under the Payment Clearing grid will display the clearing status.

### 5.8.3 **Payment Clearing Details**

The following details are displayed in the Payment Clearing screen:

- The transaction number of the transactions with the selected mode of payment or a check number.
- The payment mode used in the specified transaction
- The instrument number of the payment instrument used for the transaction
- The date of the payment instrument.
- The currency of the payment instrument.
- The amount of the payment instrument.
- The bank name and branch name of the bank where the payment instrument was drawn.

### 5.8.4 **Authorizing Clearing Status**

After you have updated the clearing status for a transaction payment instrument, another user must authorize the clearing status, for it to be effective in the system data stores.

To authorize a clearing status in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the clearing status of payment instruments must be authorized:
- In the Mode field, select the Authorize option.
- In the Level field, select the Transaction option.
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to authorize the clearing status of the payment instrument. To authorize a specific cleared payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the clearing status, select Authorize from the drop down menu in the Auth Status field. Your specification here will mark the clearing status of the instrument for authorization.



- After marking the clearing status of as many instruments as necessary for authorization, click the Authorize button to effect the authorization. Authorization of the payment clearing of a subscription transaction will settle all unsettled redemptions linked to it.

### Clearing Status

*3 Character, Alphanumeric, Mandatory*

Select Clear to mark the check as Cleared. Select Reject to mark the check as Returned / Rejected.

### Clearing Date

*Date, Mandatory*

Specify the date on which the clearing takes place. By default, the clearing date is deemed to be the application date.

### Remarks

*255 Characters Maximum, Alphanumeric, Mandatory*

Specify any relevant remarks regarding the clearing status.

## 5.8.5 Tracking Status of Returned Cheques

After a transaction has been allocated, the purchase transaction will have a cooling block set, which implies that no units can be redeemed from this transaction's lots. The cooling block will be removed (transaction will be cooled off) when the status of the instrument is updated as cleared.

You can track the status of the physical instruments using the Payment Clearing screen.

Payment Clearing Detail

Save

AMC ID  Transaction Number  ISIN Code

Payment Mode  Fund ID  Fund Name

Level  From  To

Date Range

Payment Clearing

<input type="checkbox"/>	Transaction Number	Txn Dtl	Payment Mode	Payment Details	Clearing Date	Clearing Status	Drawee Bank Name	Pledgee Branch	Txn Base C
	1 of 1								

To track the status of a payment instrument for a transaction in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the payment instruments must be tracked:
- In the Mode field, select the 'New' option.
- In the Level field, select the Settlement option.
- You can search for a record using any of the following criteria:
- Fund ISIN
- Fund Id
- AMC Id
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to update the status of the payment instrument. Only Cheque, Demand Draft and Money Transfer payment modes are applicable. To clear a specific payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date, the allotted date or the payment date of the transaction would be found.
- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, in the lower grid portion of the screen in a list.
  - All necessary information such as transaction number, payment mode, clearing date, payment currency, payment amount, etc is recorded.
- Click on the Payment Details link to view the Settlement Information screen. The payment details of all legs involved in the transaction is displayed.
- Specify the status of the instrument in the Instrument Status field. The options:
  - Credit Received - Once this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units.
  - Debit Received - Indicates that information about Cheque rejection is received from Bank.
  - Reject Status Awaited - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument.
  - Rejected - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record.
- Specify any relevant remarks in the Remarks field.
- After marking as many instruments as for tracking, click the Save button to save your changes.

If you select an Instrument Status for one or all of Instruments for a transaction that results in payment / transaction rejection, system gives the following warning message "This will reject the entire transaction. Do you want to go ahead?"

### **5.8.6 Authorizing Tracking Status**

After you have updated the status of a transaction payment instrument, another user must authorize the instrument status, for it to be effective in the system data stores.

To authorize an instrument status in the Payment Clearing screen, do as follows:

- In the Selection Criteria section, specify the following details as search parameters to retrieve the transaction records for which the status of payment instruments must be authorized:

- From the Actions list, select the Authorize option.
- In the Level field, select the Settlement option.
- In the Payment Mode field, select the mode of payment specified for the transaction for which you want to authorize the status of the payment instrument. To authorize a specific payment instrument, enter the number of the instrument in the Specific Number field.
- In the Date Range fields, specify a range of dates that would signify the period between which the transaction date or the allotted date of the transaction would be found.
- Click on the Show button. All transactions with payment instruments that match your search criteria are displayed, with the instrument details, in the lower grid portion of the screen, in a list.
- For each payment instrument that you want to authorize the status, select Authorize from the drop down menu in the Authorization Status field. Your specification here will mark the status of the instrument for authorization.
- After marking the status of as many instruments as necessary for authorization, click the Authorize button to effect the authorization.

### **Instrument Status**

*Alphanumeric, Mandatory*

Specify the status of the instrument in the Instrument Status field. The options:

- Credit Received - If this status is selected, system triggers automatic clearing of the associated transaction record and convert provisional units into confirmed units.
- Debit Received - Indicates that information about Cheque rejection is received from Bank.
- Reject Status Awaited - Indicates that information about Cheque rejection has been received at AMC/TA through return of physical instrument.
- Rejected - This means that both; rejected cheque and reject information from the bank have been received. Once this status is updated, system will trigger automatic reversal of the associated transaction record.

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#### **Note**

If the record is uploaded with the status 'Debit Received', the options in the drop-down list are 'Reject Status Awaited' and 'Rejected'.

- If the record is uploaded with the status 'Reject Status Awaited', the options in the drop-down list are 'Debit Received' and 'Rejected'.
  - If the payment mode is Money Transfer, then the options available are 'Credit Received' and 'Rejected'.
  - If the record is uploaded from the Bank Reconciliation screen with the status 'Credit Received' or 'Rejected', then the record will not be available in the New mode and you will not be allowed to update the instrument status.
- 

In case of uploaded records, system adds the following in the Remarks field:

'Through Bank Recon Upload When No Action'

## **5.9 Transaction Load Override**

This section contains the following topics:

- [Section 5.9.1, "Invoking Load Override Details"](#)
- [Section 5.9.2, "Forcing Recalculation"](#)

## 5.9.1 Invoking Load Override Details

In FLEXCUBE Investor Services, you have the facility of changing the return value or final amount value of a load (charge) that is applicable for a transaction requested by an investor.

To override such a load, use the 'FCIS Transaction Load Override Detail' screen. You can invoke this screen by typing 'UTDTXNLO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot displays the 'FCIS Transaction Load Override Detail' application window. It features a 'Find Criteria' section with various input fields and a 'Load Details' section with a data table. The 'Find Criteria' section includes fields for Transaction Type (set to 'All'), Fund ID, Fund Name Short, ISIN Code, Agent Code, Branch, Policy Number, Policy Transaction Number, Transaction Number, and Record Status. There are also radio buttons for 'All', 'Unit Holder ID', and 'Transaction Number', with 'All' selected. A 'Force Re-Calculation' checkbox is present. The 'Load Details' section shows a table with columns: Check, Transaction Number, Unit Holder ID, Fund ID, Load ID, Load Type, and Group. Below this is another table with columns: Transaction Number, Fund ID, Load ID, Load From Entity Type, and Load To Entity Type. At the bottom, there are fields for Input By, Authorized By, DateTime, Modification Number, Record Status, and Auth Status, along with 'Save' and 'Cancel' buttons.

To override a load, do as follows:

- Retrieve the record of the load that you want to override by specifying search parameters. You can specify any or all of the following to enable the search:
  - The type of transaction for which the load is applicable, in the Transaction Type field
  - The unit holder ID of the investor that has requested the transaction for which you want to override a load
  - The number of the transaction for which you want to override a load
  - The fund (in the Fund field) in which the transaction was put through, for which you want to override a load. You can also specify the ISIN Code of the fund.
  - The agency branch where the transaction was put through, in the Agent and Branch fields.
  - In each field, you can choose the ALL option so that you can obtain a list of all transactions for which a load override can be performed.
- When you have specified your criteria, click OK.
- The transactions retrieved from the database as a result of the search are displayed in the lower grid portion of the screen. To override a load, click the Over Ride button at the

extreme right end of the required row. The Txn Load Override screen is displayed, with the existing return value and the amount value of the load shown.

- In the Override field, specify either the new, overridden return value or the overridden amount, and click OK.
- Click the OK button to save your changes.

The following must be borne in mind at a general level, while carrying out load overrides in this screen:

- Any load that is a tax cannot be overridden. A particular Load is deemed a tax if the fund load mapping record has a value specified for the Apply Return Value On field.
- Interconnected Loads:
  - In the system, two loads are deemed to be interconnected loads if the From Entity of the one is the same as the To Entity of the other. After you exercise a Load Override in this screen and attempt to save the override record, the system flashes a warning message if the concerned load is an interconnected one. The message also displays the transaction number and the connected loads. If you choose Yes in this message box, these changes will be reflected during allocation of the transaction.
- Once a load override is saved in this screen, it is removed from the view list. To retrieve it, you must specify the search criteria again.
- If the original load is a percentage based load, and is loaded to price, the original load amount displayed is a per unit figure. The following illustration will make this clear:

Let us suppose that the Transaction Price is 10, and the load percentage is 5%. The amount displayed is as follows:

5% of 10=0.5.per unit.

If the load is not loaded to price, then the actual load amount is displayed here. Considering the same example above, If the transaction amount is 1000 currency units, and the load percentage is 5%, with the load not loaded to price, the load amount displayed is as follows:

5% of 1000=50 currency units.

## **5.9.2 Forcing Recalculation**

When you open the load override screen for the first time (i.e., before any load overrides have been performed) and retrieve some load records, the computed load amounts are not displayed in the Amount/Return Value fields in the Txn Load Override screen. This will be so if you have not checked the Force Recalculation? field check box in the main Transaction Load Override screen. To indicate to the system that load computation must be done, you must Select this option. When you do so, the original computed loads, before any overrides, is displayed in the Return Value/Amount fields in the Txn Load Override screen.

After you perform the load overrides and override some or all of the retrieved loads, the overridden load records are saved as unauthorized load overrides. At this stage, when you open the Load Override screen and retrieve the overridden load records by specifying search criteria, you have the following options:

- If you check the Force Recalculation? check box, the system will compute the loads again, without taking into account the overrides you have performed. The load amounts displayed after this computation are the original, pre-override amounts.
- If you want to revert to the saved load override record and the overridden load values, do not check the Force Recalculation? check box. The overridden load records will be retrieved and displayed.

If a load override that is performed is subsequently authorized, then you will not be able to retrieve it through specifying search criteria.

### **Transaction Type**

Indicate the one of the following transaction type from the drop-down list:

- IPO Subscription
- Reinv IPO Subscription
- Subscription
- Reinv Subscription
- Redemption
- Switch From
- Transfer
- Block
- Unblock
- Consolidation
- Split
- Reissue

Choose one of the following options and enter the associated number for the selected option in the text box below:

- All
- Unit Holder ID
- Transaction Number

Click OK. Based on the information keyed in, in the Find Criteria section, system displays details in the following sections:

#### **5.9.2.1 Load Details Section**

System displays the following details:

- Transaction number
- Unit Holder ID
- Fund ID
- Load ID
- Load Type
- Group ID
- Transaction Amount
- Load Calculation Method
- Amount or Percentage

You need to check against the transaction for the selected transaction number in the check box provided.

#### **5.9.2.2 Load Details Section**

The system displays the following Load Details for the selected transaction number:

- Load ID
- Load From Entity Type

- Load to Entity Type
- Transaction Amount
- Transaction Date
- Load To Price
- Load VAT To Price
- Mandatory
- Priority Number
- Free Transaction
- Apply Return Value on
- No of Decimals for Load
- Round of truncate for Load
- Group ID
- To Override

### **Investor**

*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, based on the selection criteria, are displayed

### **Fund ID**

*Display Only*

The ID of the fund on which the transaction has occurred is displayed here

### **Original Return Value**

*Display Only*

The original return value percentage of each of the applicable loads before the override is displayed here.

### **Original Load Amount**

*Display Only*

The original load amount of each of the applicable loads before the override is displayed here, after being calculated based on the return value.

You are allowed to override the following details in this section:

### **Override Return Value**

*Numeric, Optional*

Enter a value to override the original Return Value for the given load, for the given transaction. If nothing is entered then the Return Value will be taken as it is for allocation purposes provided the Override Load Amount is not changed. If the Return value specified is a percentage, you can override this percentage too.

If the Load Amount is changed, the change is also reflected in the Load Return Value field.

### **Override Load Amount**

*Numeric, Optional*

Enter an amount to override the original Load Amount for the given load, for the given transaction. If nothing is entered then the Load Amount will be taken as it is for allocation purposes provided the Override Return Value is not changed.

If the Load Return Value is changed, the change is also reflected in the Load Amount field.

To Override

Indicate one of the following to indicate your preference for overriding, from the drop-down list:

- Both
- Return Value
- Load Amount

#### **5.9.2.3 Derived Load Details**

The system displays the following details:

- Transaction Number
- Unit Holder ID
- Fund ID
- Load ID
- Parent Load ID
- Transaction Amount



You can check against the transaction number for which transaction is done in the check box.,

The screenshot shows the 'Load Maintenance Detail' window with the following sections:

- Basic Information:**
  - Load ID \*
  - Load Description \*
  - Cumulative loads: No
  - PriceBasisLoad?: No
  - ROA Threshold For Initial Fee
  - Load Type: Fee
  - Amount Or Percentage: Amount
  - Consider as Lower Boundary?: No
  - Amount Basis: Select One
- Slab Mode:**
  - UH Deal Maintainable: No
  - Mode: Date
  - Period basis: Days
  - Load Calculation Method: Slab Basis
- Tables Referred:**
  - ☐ Agent
  - ☐ Agency Branch
  - ☐ Broker
  - ☐ IFA
  - ☐ Investor
  - ☐ Payment Mode
  - ☐ Fund
  - ☐ Investor Fund
  - ☐ Investor Txn
  - ☐ Account Officer
  - ☐ Transaction Rule
  - ☐ Transaction Details
  - ☐ Custom Values
- Criteria:**
  - Criteria
  - Criteria
  - Criteria
- Mapped Installation IDs:**

Input by	DateTime	Mod No	Open
Autobid by	Date Time		

If the load is criteria based, the criteria will be displayed in the Load Details screen.

If any derived loads are applicable, they are also displayed and can be overridden.

### Load Type

*Display Only*

The type of load, indicating whether it is a fee or an incentive, is displayed here.

### Transaction Amount

*Display Only*

The transaction amount of the given transaction is displayed here.

### Calculation Method

*Display Only*

This Field displays the Calculation Method (either Slab, Linear or Weighted) for the particular Load.

**Amount/Percent***Display Only*

This Field displays whether the Return Value is displayed in Amount or Percentage.

**Load Details****Original Return Value***Display Only*

The original return value of each of the applicable loads before the override is displayed here, either as a percentage or a load amount.

**5.9.2.4 Authorizing load Override**

A user other than the one who performed the override must authorize any override of a load.

To authorize a load override, use the Transaction Load Override Authorization screen. You can access this screen by clicking the Summary option in the Txn Load Override menu item in the Transactions Input menu category of the Agency Branch main menu.

When you open this screen, the load overrides that have been exercised, that are pending authorization, are displayed along with their details.

Mark each override you want to authorize by selecting the Authorize option in the Authorize field against the required override row.

After you have marked as many records as necessary for authorization, click the Authorize button to effect the authorization.

**5.10 Transaction Load Override Summary**

This section contains the following topics:

- [Section 5.10.1, "Retrieving a Record in Transaction Load Override Summary Screen"](#)
- [Section 5.10.2, "Editing Transaction Load Override Record"](#)
- [Section 5.10.3, "Viewing Transaction Load Override Record"](#)
- [Section 5.10.4, "Deleting Transaction Load Override Record"](#)
- [Section 5.10.5, "Authorizing Transaction Load Override Record"](#)
- [Section 5.10.6, "Amending Transaction Load Override Record"](#)
- [Section 5.10.7, "Authorizing Amended Transaction Load Override Record"](#)

**5.10.1 Retrieving a Record in Transaction Load Override Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'FCIS Transaction Load Override Summary' screen by typing 'UTSTXNLO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

- The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.
- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Unit Holder ID
- Policy Number
- Fund ID
- Reference Number

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

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### Note

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Number
  - Press F8
-

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value

### **5.10.2 Editing Transaction Load Override Record**

You can modify the details of Transaction Load Override record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The FCIS Transaction Load Override Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The FCIS Transaction Load Override Detail screen is closed and the changes made are reflected in the FCIS Transaction Load Override Summary screen.

### **5.10.3 Viewing Transaction Load Override Record**

To view a record that you have previously input, you must retrieve the same in the FCIS Transaction Load Override Summary screen as follows:

- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The FCIS Transaction Load Override Detail screen is displayed in View mode.

### **5.10.4 Deleting Transaction Load Override Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. . The FCIS Transaction Load Override Detail screen is displayed.

- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.10.5 Authorizing Transaction Load Override Record**

- An unauthorized FCIS Transaction Load Override record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Load Override Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

### **5.10.6 Amending Transaction Load Override Record**

After a FCIS Transaction Load Override record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the FCIS Transaction Load Override Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The FCIS Transaction Load Override Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **5.10.7 Authorizing Amended Transaction Load Override Record**

An amended FCIS Transaction Load Override record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

## **5.11 Global Order**

This section contains the following topics:

- [Section 5.11.1, "Maintaining Global Order"](#)
- [Section 5.11.2, "Invoking Global Order Maintenance Detail Screen"](#)

### **5.11.1 Maintaining Global Order**

Global Order is a process where a distributor bulks their investor's transactions including Subscriptions, Redemptions and send to the Asset Management Companies or to the Fund

Houses as a single Transaction for processing before the funds cut-off time on daily basis. The distributors generally will have an identification number with the fund houses or AMC's which is called as Nominee Account Number. On receipt of a bulk order or GO from the distributor, the fund house will confirm the units allotted to this distributor or to the Nominee Account.

On receipt of confirmation from fund house, distributor will then confirm the global order at his end. If there is any discrepancy in global order, then global order will go through a reconciliation mechanism to address the difference. Once the discrepancy, if any, is resolved, distributor will allocate units to underlying unit holders.

The GO will be grouped according to Fund, transaction type (subscription and redemption), transaction mode (units/amount), Transaction Category (Advised, Execution and Legacy), Account type, Indicator (gross/Net) and transaction date. This is applicable for daily price funds. For non daily price funds, the system will generate separate GO which will not include Transaction date in grouping.

## 5.11.2 Invoking Global Order Maintenance Detail Screen

You can maintain Global Order set up using 'Global Order Maintenance Detail' screen. To invoke this screen, type 'UTDGOMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the 'GO Maintenance Detail' screen.

### AMC ID

*Alphanumeric; 12 Characters; Mandatory*

Specify the AMC for which the GO is maintained. You can also select the valid AMC ID from the adjoining option list.

**Unit Holder ID**

*Alphanumeric; 12 Characters; Mandatory*

Specify the Unit Holder for which the GO is maintained. You can also select the valid Unit Holder ID from the adjoining option list.

**Unit Holder Name**

*Display*

The system displays the unit holder name for the selected Unit Holder ID.

**Global Order Generation Type**

*Optional*

Select the Global Order generation type from the drop-down list. Following are the options available in the drop-down list:

- User Initiated Generation
- Generation at Cut-off time

**GO Settlement**

*Optional*

Select the GO Settlement details from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

**Nominee Account Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the nominee account number.

**Include Back Dated Trade**

*Optional*

Select if back dated trade is included from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

**GO Differential Distribution Logic**

*Optional*

Select the GO differential distribution logic from the drop-down list. Following are the options available in the drop-down list:

- To Highest Transaction Amount
- Highest Transaction to the Lowest

If you maintain distribution logic as 'To Highest Transaction Amount' then the differential units will be adjusted to the transaction which has the highest transaction amount.

If you maintain distribution logic as 'Highest Transaction Amount to Lowest' then the system will distribute the difference amount from the highest transaction amount to the lowest in step up units.

**Net Off Distributor Fee**

*Optional*

Select if distributor fee is netted off or not from the drop-down list. Following are the options available in the drop-down list:

- Yes
- No

### **Generate GO**

#### *Optional*

Select if all the GO should be generated or GO as per transaction category should be generated from the adjoining drop-down list. Following are the options available:

- Generate All
- Generate per transaction category

### **5.11.2.1 UH Account Type Mapping Details**

#### **UH Account Type**

*Alphanumeric; 2 Characters; Mandatory*

Specify the UH account type. You can also select the valid account type from the adjoining option list.

#### **Account Description**

##### *Display*

The system displays the description for the selected UH account type.

Once GO is generated, the system will generate subscription multiple order generation message (SWIFT) /redemption multiple order generation message for subscription/redemption global orders respectively as per the Swift pooling frequency defined in the system.

For non daily priced funds, the system will generate GO as per transaction cut-off date and it will take trade cycle override into account while generating GO.

In case for a trade TBC is different from FBC, the system will only pick trades for which exchange rate is available. Exchange rate required to be maintained for the trades where exchange rate is not available. If no exchange rate is available for the trades where TBC is different from FBC then those trades will not be picked for GO.

The system will run a pre EOD batch to check if all trades for a given date have been sent across in a GO which will be based on price date.

## **5.12 GO Maintenance Summary**

This section contains the following topics:

- [Section 5.12.1, "Retrieving Global Order Maintenance Record"](#)
- [Section 5.12.2, "Viewing Global Order Maintenance Record"](#)
- [Section 5.12.3, "Editing Global Order Maintenance Record"](#)
- [Section 5.12.4, "Deleting Global Order Maintenance Record"](#)
- [Section 5.12.5, "Authorizing Global Order Maintenance Record"](#)
- [Section 5.12.6, "Amending Global Order Maintenance Record"](#)
- [Section 5.12.7, "Copying Global Order Maintenance Record"](#)
- [Section 5.12.8, "Closing Global Order Maintenance Record"](#)



### 5.12.1 Retrieving Global Order Maintenance Record

You can view Global Order details using 'GO Maintenance Summary' screen. To invoke this screen, type 'UTSGOMNT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Global Order Maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

AMC ID  Unit Holder ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	AMC ID	Unit Holder ID	Global Order Generation Type	Nominee Account Number	GO Settlement	Include Back
------------	------	--------	----------------	------------------------------	------------------------	---------------	--------------

Exit

You can retrieve previously entered Global Order Maintenance as follows:

- Invoke the 'GO Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID
  - The Unit Holder ID. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions in the Global Order Maintenance Detail screen:

- View a Record
- Edit a Record

- Delete a Record
- Authorize a Record
- Amend an Authorized Record
- Close a Record
- Copy a Record

### **5.12.2 Viewing Global Order Maintenance Record**

To view a record that you have previously entered, you must retrieve the same in the 'Global Order Maintenance Summary' screen, as follows:

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Global Order Maintenance Detail' screen is displayed in the view mode.

### **5.12.3 Editing Global Order Maintenance Record**

You can modify the Global Order details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to modify in the list of displayed records. The 'Global Order Maintenance Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'Global Order Maintenance Detail' screen is closed and the changes made are reflected in the 'Global Order Maintenance Summary' screen.

### 5.12.4 **Deleting Global Order Maintenance Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Maintenance Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

---

#### **Note**

The maker of the record can only delete the unauthorized record.

---

### 5.12.5 **Authorizing Global Order Maintenance Record**

Apart from the maker, someone else must authorize an unauthorized global order record deal in the system for it to be processed. To authorize a record:

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- The status of the transaction in the 'Authorized' field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### 5.12.6 **Amending Global Order Maintenance Record**

After a global order record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the 'Global Order Maintenance Summary' screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The 'Global Order Maintenance Detail' screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

### **5.12.7 Copying Global Order Maintenance Record**

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Maintenance Detail' screen is displayed.
- Click Copy from the action list in the 'Details' screen, to create a new record with the same details.

### **5.12.8 Closing Global Order Maintenance Record**

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Maintenance Detail' screen is displayed.
- Click Close from the action list in the 'Details' screen.

You can re-open any closed record at a later point in time.

## **5.13 Global Order Confirmation Detail**

This section contains the following topic:

- [Section 5.13.1, "Invoking Global Order Confirmation Detail Screen"](#)

### **5.13.1 Invoking Global Order Confirmation Detail Screen**

You can specify the price received from the fund house against the GO using 'GO Confirmation Detail' screen. the system which provide the details of price uploaded for the

Global Orders. To invoke this screen, type 'UTDGOCNF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the 'GO Confirmation Detail' screen. You can enter the following in this screen:

### GO Number

*Alphanumeric; 16 Characters; Mandatory*

Specify the Global Order number.

If you click on 'Populate' button, the following fields are displayed:

### GO Date

*Display*

The system displays the Global Order date.

### AMC ID

*Display*

The system displays the AMC ID.

### Fund ID

*Display*

The system displays the fund ID.

### Transaction Category

*Display*

The system displays the transaction category. One of the following values are displayed in this field:

- Legacy
- Advised Business
- Execution Only

**GO Transaction Type***Display*

The system displays the GO transaction type.

**Unit Holder ID***Display*

The system displays the unit holder ID.

**Unit Holder Name***Display*

The system displays the unit holder name.

**UH Account Type***Display*

The system displays the UH account type.

**Nominee Account Number***Display*

The system displays the nominee account number.

**GO Mode***Optional*

Select the GO mode from the drop-down list. Following are the options available in the drop-down list:

- Unit
- Amount

**GO Status***Optional*

Select the Global Order status from the drop-down list. Following are the options available in the drop-down list:

- Confirmed
- Rejected
- Pending Confirmation
- Amount Mismatch
- Unit Mismatch
- Price Mismatch

For Amount based order, if confirmation amount is mismatch then system will save record with Status as 'Amount Mismatch'.

For Unit based order, if confirmation unit is mismatch then system will save record with Status as 'Unit Mismatch'.

For Amount/ unit based order, if confirmation price is different than the fund price (for transaction date and transaction type combination) then system will save GO with status as 'Price Mismatch'.

If unit/ amount and confirmation price matches then system will save the GO with confirmed status as 'GO Confirmed'.

You can change the GO status manually to either GO confirmed or GO rejected in the GO Confirmation screen. All other statuses are defaulted by the system without manual intervention. Once GO is rejected, post confirmation of rejected order and all underlying transactions in the GO will be rejected. These will not be taken up for allocation.

### **GO Units**

#### *Display*

The system displays the Global Order units.

### **GO Confirmed Units**

*Alphanumeric; 8 Characters; Optional*

Specify the Global Order confirmed units.

### **GO Amount**

#### *Display*

The system displays the Global Order amount.

### **GO Confirmed Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the Global Order confirmed amount.

### **GO Confirmed Price**

*Alphanumeric; 8 Characters; Optional*

Specify the Global Order confirmed price.

The system will consider the confirmation price received against a GO as the fund price for the GO confirmation date.

### **GO Price Date**

#### *Display*

The system displays the Global Order price date.

### **Remarks**

*Alphanumeric; 255 Characters; Mandatory*

Specify remarks, if any.

The 'GO Confirmation Detail' screen will support all messages received via Swift Messages and will be enabled for any manual confirmation.

If no confirmation is received from the fund house, then GO will not be reversed, however, it will reflect GO status as 'Pending Confirmation' in 'GO Confirmation Detail' screen.

The system will run the pre-EOD batch to check if all GOs generated for the day have been confirmed. The batch will also include unconfirmed GOs for back dated. Only if GO is confirmed, the underlying trades will be allotted.

## **5.14 Global Order Confirmation Summary**

This section contains the following topics:

- [Section 5.14.1, "Retrieving Global Order Confirmation Record"](#)
- [Section 5.14.2, "Viewing Global Order Confirmation Record"](#)
- [Section 5.14.3, "Editing Global Order Confirmation Record"](#)
- [Section 5.14.4, "Deleting Global Order Confirmation Record"](#)

- [Section 5.14.5, "Authorizing Global Order Confirmation Record"](#)
- [Section 5.14.6, "Copying Global Order Confirmation Record"](#)
- [Section 5.14.7, "Closing Global Order Confirmation Record"](#)

### 5.14.1 Retrieving Global Order Confirmation Record

You can view Global Order Confirmation details using 'GO Confirmation Summary' screen. To invoke this screen, type 'UTSGOCNF' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:

You can retrieve a previously entered Global Order Confirmation Details as follows:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - GO Date
  - GO Transaction Type
  - AMC ID
  - Fund ID



- GO Mode
- GO Status
- Transaction Category. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions from the Global Order Confirmation Detail screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Close a Record
- Copy a Record

### **5.14.2 Viewing Global Order Confirmation Record**

To view a record that you have previously entered, you must retrieve the same in the 'GO Confirmation Summary' screen, as follows:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'GO Confirmation Detail' screen is displayed in the view mode.

### **5.14.3 Editing Global Order Confirmation Record**

You can modify the Global Order confirmation details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double click the record that you want to modify in the list of displayed records. The 'GO Confirmation Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'GO Confirmation Detail' screen is closed and the changes made are reflected in the 'GO Confirmation Summary' screen.

#### **5.14.4 Deleting Global Order Confirmation Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The 'GO Confirmation Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

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#### **Note**

The maker of the record can only delete the unauthorized record.

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#### **5.14.5 Authorizing Global Order Confirmation Record**

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the 'GO Confirmation Summary' screen from the Browser.
- The status of the transaction in the 'Authorized' field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

#### **5.14.6 Copying Global Order Confirmation Record**

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.

- The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
- The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Confirmation Detail' screen is displayed.
- Click Copy from the action list in the 'Details' screen, to create a new record with the same details.

### **5.14.7 Closing Global Order Confirmation Record**

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Confirmation Detail' screen is displayed.
- Click Close from the action list in the 'Details' screen.

You can re-open any closed record at a later point in time.

## **5.15 GO Reconciliation Details**

This section contains the following topic:

- [Section 5.15.1, "Invoking Global Order Reconciliation Detail"](#)

### **5.15.1 Invoking Global Order Reconciliation Detail**

The system will compare the confirmation message received from the fund house with the original message generated. If there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund ID/ transaction type/ transaction date, then same will get reflect in the 'GO Reconciliation' screen. You can manually correct the status message as 'Confirmed' or 'Rejected' which will be confirmed from the fund house.

If the latest GO price is different from the existing fund price, then you need to confirm the GO price. Update the correct price in the GO, once the price issue is sorted out. On updating the correct price, all the GO will have the same price for the transaction date/fund/transaction type combination.

IF GO price is correct, you can update other GO (for same transaction date/transaction type/fund) and even fund price. On update, all the GO will have same price for the transaction date/fund/transaction type combination. Once the price is amended with the correct price, you can authorize the transaction from 'GO Reconciliation' screen.

The mismatch transaction will no longer reflect in the 'GO Reconciliation' screen once authorized.

To invoke this screen, type 'UTDGORCN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the 'GO Confirmation Detail' screen.

### GO Number

*Alphanumeric; 16 Characters; Mandatory*

Specify the Global Order number.

If you click on 'Populate' button, the following fields are displayed:

### GO Date

*Display*

The system displays the Global Order date.

### AMC ID

*Display*

The system displays the AMC ID.

### Fund ID

*Display*

The system displays the fund ID.

### GO Transaction Type

*Display*

The system displays the GO transaction type.

**Nominee Account Number***Display*

The system displays the nominee account number.

**UH Account Type***Display*

The system displays the UH account type.

**GO Mode***Display*

The system displays the GO mode

**GO Status***Optional*

Select the Global Order status from the drop-down list. Following are the options available in the drop-down list:

- Price Mismatch
- Amount Mismatch
- Unit Mismatch
- Confirmed
- Rejected

The system will compare the confirmation message received from the fund house with the original message generated

In case, if there is a mismatch in the fund price received from the fund house for this order compared to fund price received for an earlier order having same fund id/transaction type/transaction date, then same will get reflect in the “GO Reconciliation” screen for manual correction with status message as ‘Confirmed Price Mismatched’.

The correct price will be confirmed from the fund house outside the system.

If the latest GO price is different from the existing fund price, you need to confirm GO price.

Once the price issue is sorted out, you should update the correct price in the GO.

IF GO price is correct, then update the fund price. On update, all the GO will have same price for the transaction date/fund/transaction type combination.

Once the price is amended with the correct price, you should authorize the transaction from ‘GO Reconciliation’ screen.

The mismatch transaction will no longer reflect in the GO Reconciliation screen once authorized.

**GO Confirmed Price**

*Alphanumeric; 8 Characters; Mandatory*

Specify the Global Order confirmed price.

**GO Units***Display*

The system displays the Global Order units.

The confirmation message received from the fund house will be compared with the original message generated.

For a units based order, in case, if there is a mismatch in the GO Units Value received from the fund house, then same will get reflect in the 'GO Reconciliation' screen for manual correction with status message as 'Confirmed Units Mismatched'

The correct value will be confirmed from the fund house outside the system

Once the units issue is sorted out, you need to update the units with correct units in 'GO Reconciliation' screen

Once the units are amended with the correct Units, you should authorize the transaction from GO Reconciliation screen

The mismatch transaction will no longer reflect in the GO Reconciliation screen once authorized.

### **GO Confirmed Units**

*Alphanumeric; 8 Characters; Optional*

Specify the Global Order confirmed units.

Once the GO is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying GO trades are allocated during EOD, the system will do a reconciliation of allotted units against confirmed units.

If there is a difference in the allotted units, the same will be reflected in the "GO Reconciliation" screen with a status message "GO Allotted Units Mismatched". This will be before rounding difference process.

To sort the difference, the system will calculate the threshold units in 'Fund Rules' screen. If the difference units are more than the threshold units maintained, you need to manually round off the units.

If the difference units falls under the threshold units maintained, the system will automatically rounded off using a distribution logic with values as "To Highest Transaction Amount" and "Highest Transaction Amount to Lowest"

This distribution logic are applicable to funds, which fall under the AMC for which Distribution logic has been maintained

If user maintained distribution logic as "To Highest Transaction Amount" then the system will adjust the differential units to the transaction which has the highest transaction amount.

If user maintained distribution logic as "Highest Transaction Amount to Lowest" then system will distribute the difference amount from the highest transaction amount to the lowest in step up units.

If the AMC confirmed units are more than the system allotted, then system calculates Negative (-ve) differential units. If the AMC confirmed units are less than the system allotted, then system calculates Positive (+ve) differential units

Once the rounding difference is sorted out, this transaction will no longer reflect in the "GO Reconciliation" screen.

The difference units distributed based on the logic will be tracked separately during allocation

Based on the logic- system will update the allocated units with extra or reduced units

## **GO Amount**

### *Display*

The system displays the Global Order amount.

## **GO Confirmed Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the Global Order confirmed amount.

The confirmation message received from the fund house will be compared with the original message generated

For an amount based order In case, if there is a mismatch in the GO Amount Value received from the fund house, then same will get reflect in the 'GO Reconciliation' screen for manual correction with status message as "Confirmed Amount Mismatched"

The correct value will be confirmed from the fund house outside the system

Once the Amount issue is sorted out, you need to update the amount with correct amount in GO Reconciliation screen

Once the amount are amended with the correct amount, you should authorize the transaction from 'GO Reconciliation' screen

The mismatch transaction will no longer reflect in the 'GO Reconciliation' screen once authorized.

## **GO Price Date**

### *Display*

The system displays the Global Order price date.

## **Remarks**

*Alphanumeric; 255 Characters; Optional*

Specify remarks, if any.

## **Amend Transaction**

### *Mandatory*

Select this option if you want the system to automatically amend the underlying transactions.

Once the GO is confirmed all the underlying transactions will be picked up for allocation by allocation batch. Once the underlying GO trades are allocated during EOD, system will do a reconciliation of allotted units against confirmed units.

If there is a difference in the allotted units, the same will be reflected in the 'GO Reconciliation Detail' screen with the status message as "GO Alloted\_Units Mismatched"

This will be before rounding difference process.

If the AMC confirmed units are more than the system allotted, then the system will calculate Negative (-ve) differential units.

If the AMC confirmed units are less than the system has allotted, then the system will calculate Positive (+ve) differential units

Once the rounding difference is sorted out, this transaction will no longer reflect in the 'GO Reconciliation Detail' screen.

The GO Reconciliation screen will show any unconfirmed global orders and those with a price mismatch or those where the allotted units does not match the confirmed number of units during de-aggregation.

In case the confirmation message is not received on any date, the system will show all the transactions with, confirmation related columns as BLANK and the Confirmation Status field will show the message as "Confirmation message pending".

## 5.16 GO Reconciliation Summary

This section contains the following topics:

- [Section 5.16.1, "Retrieving Global Order Reconciliation Record"](#)
- [Section 5.16.2, "Viewing Global Order Reconciliation Record"](#)
- [Section 5.16.3, "Editing Global Order Reconciliation Record"](#)
- [Section 5.16.4, "Deleting Global Order Reconciliation"](#)
- [Section 5.16.5, "Authorizing Global Order Reconciliation Record"](#)
- [Section 5.16.6, "Copying Global Order Reconciliation Record"](#)
- [Section 5.16.7, "Closing Global Order Reconciliation Record"](#)

### 5.16.1 Retrieving Global Order Reconciliation Record

You can view Global Order Confirmation details using 'GO Reconciliation Summary' screen. To invoke this screen, type 'UTSGORCN' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can retrieve a previously entered Global Order Reconciliation Details as follows:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID
  - GO Number
  - Price Date
  - Transaction Type
  - Transaction Mode
  - GO Status
  - The Fund ID. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions in the 'Global Order Reconciliation Detail' screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Close a Record
- Copy a Record

### **5.16.2 Viewing Global Order Reconciliation Record**

To view a record that you have previously entered, you must retrieve the same in the 'GO Reconciliation Summary' screen, as follows:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to view in the list of displayed records. The 'GO Reconciliation Detail' screen is displayed in the view mode.

### 5.16.3 Editing Global Order Reconciliation Record

You can modify the Global Order Reconciliation details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'GO Reconciliation Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'GO Reconciliation Detail' screen is closed and the changes made are reflected in the 'GO Reconciliation Summary' screen.

### 5.16.4 Deleting Global Order Reconciliation

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The 'GO Reconciliation Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

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#### **Note**

The maker of the record can only delete the unauthorized record.

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### **5.16.5 Authorizing Global Order Reconciliation Record**

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- 'The status of the transaction in the 'Authorized' field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### **5.16.6 Copying Global Order Reconciliation Record**

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Reconciliation Detail' screen is displayed.
- Click Copy from the action list in the 'Details' screen, to create a new record with the same details.

### **5.16.7 Closing Global Order Reconciliation Record**

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Reconciliation Detail' screen is displayed.
- Click Close from the action list in the 'Details' screen.

You can re-open any closed record at a later point in time.

## 5.17 Global Order Settlement Details

This section contains the following topic:

- [Section 5.17.1, "Invoking Global Order Settlement Detail Screen"](#)

### 5.17.1 Invoking Global Order Settlement Detail Screen

You can maintain the pending transactions for the settlement using 'GO Settlement Detail' screen.

To invoke this screen, type 'UTDGOSTL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:

Input by	Authorized by	DateTime	Mod No	Open	Authorized
----------	---------------	----------	--------	------	------------

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the 'GO Settlement Detail' screen.

#### **GO Number**

*Alphanumeric; 16 Characters; Mandatory*

Specify the Global Order number.

If you click on 'Populate' button, the following fields are displayed:

#### **GO Date**

*Display*

The system displays the Global Order date.

#### **AMC ID**

*Display*

The system displays the AMC ID.

**Fund ID***Display*

The system displays the fund ID.

**GO Transaction Type***Display*

The system displays the GO transaction type.

**Unit Holder Name***Display*

The system displays the unit holder name.

**UH Account Type***Display*

The system displays the UH account type.

**GO Mode***Display*

The system displays the GO mode

**GO Units**

*Alphanumeric; 8 Characters; Optional*

Specify the GO units.

**GO Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the GO amount.

**Settlement Status***Optional*

Select the settlement status from the adjoining drop-down list. Following are the option available:

- GO Settled

**Sub Payment Mode***Mandatory*

Select sub payment mode from the adjoining drop-down list. Following are the options available:

- Money Transfer
- Telegraphic Transfer
- Wire Transfer

**Bank**

*Alphanumeric; 4 Characters; Mandatory*

Specify the bank code. This adjoining option list displays all valid bank code maintained in the system. You can choose the appropriate one.

**Branch Code**

*Alphanumeric; 4 Characters; Mandatory*

Specify the branch code. This adjoining option list displays all valid branch code maintained in the system. You can choose the appropriate one.

**Account Type**

*Numeric; 3 Characters; Mandatory*

Specify the type of account. This adjoining option list displays all valid account type maintained in the system. You can choose the appropriate one.

**Account Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the currency details. This adjoining option list displays all valid currency code maintained in the system. You can choose the appropriate one.

**Account Holder Name**

*Alphanumeric; 8 Characters; Mandatory*

Specify the account holder name.

**Account Number**

*Alphanumeric; 8 Characters; Mandatory*

Specify the account number.

**Settlement Amount**

*Alphanumeric; 8 Characters; Mandatory*

Specify the settlement amount.

**Settlement Date**

*Date Format; Optional*

Specify the settlement date.

**Payment Mode**

*Optional*

Select the mode of payment from the drop-down list. Following are the options available in the drop-down list:

- Cash
- Cheque
- Money Transfer

**Transaction Category**

*Optional*

Select the transaction category from the adjoining drop-down list. The available values are:

- Legacy
- Advised Business Only
- Execution Only

**Remarks**

*Alphanumeric; 255 Characters; Mandatory*

Specify remarks, if any.

## **5.18 Global Order Settlement Summary**

This section contains the following topics:

- [Section 5.18.1, "Retrieving Global Order Settlement Record"](#)
- [Section 5.18.2, "Viewing Global Order Settlement Record"](#)
- [Section 5.18.3, "Editing Global Order Settlement Record"](#)

- [Section 5.18.4, "Deleting Global Order Settlement Record"](#)
- [Section 5.18.5, "Authorizing Global Order Settlement Record"](#)
- [Section 5.18.6, "Amending Global Order Settlement Record"](#)
- [Section 5.18.7, "Copying Global Order Settlement Record"](#)
- [Section 5.18.8, "Closing Global Order Settlement Record"](#)

### 5.18.1 Retrieving Global Order Settlement Record

You can view Global Order Settlement details using 'GO Settlement Summary' screen. To invoke this screen, type 'UTSGOSTL' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button..

You can retrieve a previously entered Global Order Settlement Details as follows:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - GO Number
  - Transaction Date
  - GO Transaction Type

- The AMC ID
- The Fund ID
- Transaction Mode
- Transaction Category
- Settlement Status. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

After retrieving a record, you can perform the following actions in the Global Order Settlement Detail screen:

- View a Record
- Edit a Record
- Delete a Record
- Authorize a Record
- Amend an Authorized Record
- Close a Record
- Copy a Record

### **5.18.2 Viewing Global Order Settlement Record**

To view a record that you have previously entered, you must retrieve the same in the 'GO Settlement Summary' screen, as follows:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'GO Settlement Detail' screen is displayed in the view mode.

### **5.18.3 Editing Global Order Settlement Record**

You can modify the Global Order Settlement details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.



- The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
- The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
- The Fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'GO Settlement Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'GO Settlement Detail' screen is closed and the changes made are reflected in the 'GO Settlement Summary' screen.

#### **5.18.4 Deleting Global Order Settlement Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The fund ID in the 'Fund ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The 'GO Settlement Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

---

#### **Note**

The maker of the record can only delete the unauthorized record.

---

#### **5.18.5 Authorizing Global Order Settlement Record**

Apart from the maker, someone else must authorize an unauthorized global order confirmation record deal in the system for it to be processed. To authorize a record:

- Invoke the 'GO Reconciliation Summary' screen from the Browser.
- The status of the transaction in the 'Authorized' field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### 5.18.6 Amending Global Order Settlement Record

After a global order settlement record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the 'GO Settlement Summary' screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The 'GO Settlement Detail' screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

Amend the necessary information. Click the Save button to save the changes.

### 5.18.7 Copying Global Order Settlement Record

To create a new record with details similar to a previously created record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double-click the record that you want to delete. The 'Global Order Settlement Detail' screen is displayed.
- Click Copy from the action list in the 'Details' screen, to create a new record with the same details.

### 5.18.8 Closing Global Order Settlement Record

To close an authorized record, refer to the following steps:

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The AMC ID in the 'AMC ID' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

- Double-click the record that you want to delete. The 'Global Order Settlement Detail' screen is displayed.
- Click Close from the action list in the 'Details' screen.

You can re-open any closed record at a later point in time.

## 5.19 Global Order Status

This section contains the following topic:

- [Section 5.19.1, "Retrieving Global Order Status Record"](#)

### 5.19.1 Retrieving Global Order Status Record

You can view the status of a GO at different stages using 'GO Status Summary' screen. To invoke this screen, type 'UTSGOENQ' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can retrieve previously entered Global Order Status Details as follows:

- Invoke the 'GO Status Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.

- The GO Number
- The GO Date
- AMC ID
- Fund ID
- GO Status
- Latest Sequence Number. If you choose the blank space, then all the records are retrieved.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

## 5.20 ISA Transfer

This section contains the following topics:

- [Section 5.20.1, "Maintaining ISA Transfer"](#)
- [Section 5.20.2, "Invoking One Legged Transfer Screen"](#)
- [Section 5.20.3, "Validating ISA Transactions"](#)

### 5.20.1 Maintaining ISA Transfer

You can maintain ISA transfer details using 'One Legged Transfer' screen. This screen supports the following transactions:

- Transfer out
- Transfer in
- In Specie Transfer out
- In Specie Transfer in

#### **Transfer Out**

This is a one legged transfer which is used to redeem holdings. On selecting the transfer out option, the system will auto calculate the number of units and will populate the Fund Grid.

Transfer out will be a Redemption transactions and it will go as per aging logic maintained at fund level.

The system will generate the underlying Transactions by units on authorisation of the transaction in the Transaction value field of the detail section. Under this One-legged Transfer, when all transactions are generated successfully, a unique reference number will be generated and this reference will be reference number for underlying transactions.

The system will generate the redemption transactions on authorisation of this one-legged transfer. While generating if one of the transactions fail due to any of the validations, all underlying transactions will be rolled back. For failed transaction, the system will display an error message.

The payment preference maintained at the time of Uh creation will be used as settlement mode. Transfer out can be used for ISA/non ISA accounts

#### **Transfer In**

This is a one legged amount based transfer. You can enter the transfer amount and fund details. On authorisation, the system will generate authorised subscription transactions at the fund Level. A new ref type (OI - One Legged Transfer In) will be available for such transfers. The settlement mode for such transactions will be cash.

The Current Year ISA Subscription Amount will be used to update the ISA Limits. The system will validate the ISA amounts against the existing limits if the Unitholder Account already exists.

If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year then on authorization of the transaction the system display an error message as “Exceeds the ISA allowance for the current tax year”.

The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year. The system will not allow backdated transfers. However, you can record date of transfer which can be back dated.

The system will use amount captured in the current year ISA subscription amount limit field to update utilised amount for the unitholder.

### **In Specie Transfer Out**

An investor can Transfer out his ISA account to another ISA manager during the current ISA tax year. This will essentially be a one- legged unit based transaction. Following are the different options available:

- Any year ISA - The system will auto calculate number of units that can be transferred and will populate the fund Grid.
- Previous Year ISA full – The system will auto calculate number of units that can be transferred and will lock the fund grid
- Current year ISA- The system will auto calculate number of units that can be transferred and will lock the fund grid
- Previous year ISA partial – The system will auto calculate number of units that can be transferred. However, you can modify this.

On authorisation of the record, the system will generate redemption transactions at the Fund Level. In specie redemption transactions will have payment mode as ‘In Kind’

Inspecie Transfer Out will record these transfers. While saving, the system will automatically populate the Current Year ISA Subscription Amount and the Previous Year ISA amounts.

If any un-allotted transactions are available at the time of ISA Transfer out transactions, the system will display an error message as “Un-Allotted Transactions available. Please do the Transfer once all Units are Priced!”.

After an Any year ISA, the system will transfer the transactions,. If there is an investment in the ISA account then the system will display an error message as “ISA account transferred- New investments not allowed” while saving

---

### **Note**

This will not apply for system generated transactions. This check will only be done for the Tax Year when the Full Transfer was done. Post that tax year this validation will not be applied.

---

The system will display G1/G2 split of units (at fund level) under transfer. This will also be applicable to non ISA accounts.

### **In-specie Transfer-In**

You can transfer your ISA account to another ISA manager during the current ISA tax year by either a complete ISA transfer or a Partial ISA transfer. This will essentially be a one- legged unit based transaction.

The system will allow you to select ISA manger and based on the ISA manager chosen, the system will validate the transfer in funds against the list of funds mapped to ISA manager.

If the fund does not exist in the list maintained at the Entity level then the system will display the an error message as “Fund not in Acceptance list for ISA manager”.

The validation will be based on the Fund ID and the New ISA manager captured at the time of in-specie Transfer in transaction. This will be unit based transfer, you will not be allowed to enter Amount.

On authorisation of the record, the system will generate an authorized Net Unit-based Subscription Transactions at the Fund Level. Inspecie Transfer In will be made available for these transactions. The settlement mode for these transactions will be ‘In Kind’.

The Current Year ISA Subscription Amount will be used to validate the ISA Limits.

If the ISA transfer in transaction exceeds the ISA allowance/ limit for the current tax year, then on save of the transaction the system displays an error message as “Exceeds the ISA allowance for the current tax year”

The system will consider the current ISA Transfer in transactions at the time of ISA allowance/ limit computation for the tax year.

You can record G1/G2 split of units under transfer at fund level. Backdated transfers will not be allowed. There will be no limit validation for previous year ISA transfer in. The previous year ISA transfer in date can be lesser than account opening date.

First ISA transaction date will also be recorded during transaction capture.

---

**Note**

One Legged Transfer screen transactions cannot be amended in transaction screens.

---

## 5.20.2 Invoking One Legged Transfer Screen

You can specify ISA transfer details using 'One Legged Transfer' screen. You can invoke this screen by typing 'UTDOLT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

One Legged Transfer

Save

Unit Holder ID \* Find UH

Unit Holder Name

Transfer Type Transfer OUT

Transaction Date \* MM/DD/YYYY

CIF Number

Reference Number

Transaction Currency \*

Communication Mode DIRECT

Old ISA Manager

New ISA Manager

First ISA Txn Date MM/DD/YYYY

Remarks

Curr Year ISA Amount

Prev Year ISA Amount

Transfer Option

Enrich

OneleggedTransferDetails

Transaction Number	Fund ID	Fund Name	Units	G1 Units

Input by DateTime Mod No Open

Authorized by Authorized

Cancel

You can specify the following details:

### Unit Holder ID

*Alphanumeric; 8 Characters; Mandatory*

Specify the unit holder ID.

### Unit Holder Name

*Display*

The system displays the unit holder name for the selected Unit Holder ID while saving.

### CIF Number

*Alphanumeric; 8 Characters; Mandatory*

Specify the customer ID.

### Transfer Type

*Optional*

Select the type of transfer from the adjoining drop-down list. Following are the options available:

- Transfer In
- Transfer Out
- In Specie Transfer Out
- In Specie Transfer In

**Reference Number**

*Display*

The system displays the reference name.

**Transaction Date**

*Date Format; Mandatory*

Specify the transaction date.

**Transaction Currency**

*Alphanumeric; 3 Characters; Mandatory*

Specify the transaction currency.

**ISA Related****Old ISA Manager**

*Alphanumeric; 8 Characters; Optional*

Specify old ISA Manager details. This adjoining option list displays all valid old ISA manager details maintained in the system. You can choose the appropriate one.

**New ISA Manager**

*Alphanumeric; 8 Characters; Optional*

Specify new ISA Manager details. This adjoining option list displays all valid new ISA manager details maintained in the system. You can choose the appropriate one.

**First ISA Transaction Date**

*Date Format; Optional*

Specify first ISA transaction date.

**Current Year ISA Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the current year ISA amount.

**Prev Year ISA Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the previous year ISA amount.

**Transfer Option**

*Optional*

Select the transfer option from the adjoining drop-down list. Following are the options available:

- Any Year ISA
- Previous Year ISA
- Current Year ISA
- ISA Partial

**One Legged Transfer Details****Transaction Number**

*Display*

The system displays the transaction number on authorization.



**Fund ID**

*Alphanumeric; 8 Characters; Mandatory*

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

**Fund Name**

*Display*

The system displays the name of the fund for the selected fund ID.

**Units**

*Numeric; 8 Characters; Optional*

Specify the in-specie transfer in units.

This field is enabled only for in-specie transfer in type of transaction.

**G1 Units**

*Numeric; 8 Characters; Optional*

Specify the in-specie transfer in G1 units.

This field is enabled only for in-specie transfer in type of transaction.

**G2 Units**

*Numeric; 8 Characters; Optional*

Specify the in-specie transfer in G2 units.

This field is enabled only for in-specie transfer in type of transaction.

### **5.20.3 Validating ISA Transactions**

Any 'IN' transaction captured for unitholder ID having account type as ISA will be validated for breach of overall limit within the date range maintained for the account type in 'Account Type Maintenance' screen. The validation will be based on transaction date. This validation is only for the mapped ref types.

If any backdated transactions are entered for previous year (less than from date), the system will display the warning message as "Entered transaction does not belong to current period- Do you wish to continue?".

Limit validations will be done for transactions entered for previous ISA year.

If any future dated transactions are entered for coming tax year (greater than To date), the system will display the warning message as "Entered transaction does not belong to current period- Do you wish to continue?".

Limit validations will be done for transactions entered for coming ISA year.

ISA validations will again be subject to appropriate ref type being mapped in the 'Account Type Maintenance' screen. If ref type is not mapped in 'Account Type Maintenance' screen, the transaction will not be validated for limit breach validation.

If an IN transaction is reversed or cancelled utilized amount will be reset.

If a transaction is breaching ISA limit maintained at account type level, then the system will display a warning message.

Gross amount in Fund base currency will be used to validate the amount limit breach. For user entered transaction, there will be online check if the transaction amount is breaching the limit. For unit based transactions, the system will use the latest available NAV to calculate the amount.

In case of cross currency transactions,,latest exchange rate maintained for default source will be used when account type currency is different from fund base currency

In case of standing instructions, there will be no validations during setup. During SI transaction generation, the system will validate for overall limit breach and if breaching will not generate the SI transaction, it will log in error table.

Apart from online check, there will be limit breach check at allocation level. Any transaction breaching the overall limit will not be allocated.

## **5.21 One Legged Transfer Summary**

This section contains the following topics:

- [Section 5.21.1, "Retrieving ISA Transfer Details"](#)
- [Section 5.21.2, "Editing ISA Transfer Details"](#)
- [Section 5.21.3, "Viewing ISA Transfer Details"](#)
- [Section 5.21.4, "Deleting ISA Transfer Details"](#)
- [Section 5.21.5, "Authorizing ISA Transfer Details"](#)
- [Section 5.21.6, "Amending ISA Transfer Details"](#)

### 5.21.1 Retrieving ISA Transfer Details

You can view ISA transfer details using 'One Legged Transfer - Summary' screen. To invoke this screen, type 'UTSOLT' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

One Legged Transfer Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized

Unit Holder ID

Transfer Option

Reference Number

Open

Transfer Type

Transaction Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Unit Holder ID	Transfer Type	Transfer Option	Transaction Date	Reference Number
------------	------	----------------	---------------	-----------------	------------------	------------------

Exit

You can retrieve previously entered ISA Transfer Details as follows:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - Unit Holder ID
  - Transfer Type
  - Transfer Option
  - Transaction Date
  - Reference Number
  - If you choose the blank space, then all the records are retrieved.

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Unit Holder ID
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

**Example**

You can search the record for Account Type by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose Unit Holder ID starts from Alphabet 'A'. For example, AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Unit Holder ID ends by numeric value '7'. For example, AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Unit Holder ID contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth

**5.21.2 Editing ISA Transfer Details**

You can modify the ISA Transfer Details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'One Legged Transfer - Detail' screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'One Legged Transfer - Summary' screen is closed and the changes made are reflected in the 'One Legged Transfer - Summary' screen.

**5.21.3 Viewing ISA Transfer Details**

To view a record that you have previously input, you must retrieve the same in the 'One Legged Transfer - Summary' screen as follows:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.

- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'One Legged Transfer - Detail' screen is displayed in View mode.

#### **5.21.4 Deleting ISA Transfer Details**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The 'One Legged Transfer - Detail' screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

#### **5.21.5 Authorizing ISA Transfer Details**

An unauthorized fund restriction record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The 'One Legged Transfer - Summary' screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a transaction, the system will create UT transactions and displays only the corresponding transaction overrides.

#### **5.21.6 Amending ISA Transfer Details**

After a fund restriction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the 'One Legged Transfer - Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The 'One Legged Transfer - Detail' screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

## 5.22 Distribution Void Detail

This section contains the following topics:

- [Section 5.22.1, "Invoking Distribution Void Detail Screen"](#)
- [Section 5.22.2, "Validating ISA Void"](#)

### 5.22.1 Invoking Distribution Void Detail Screen

You can do void processing at UH and transaction level. You can specify the unit holder ID or specific transaction number, and then that specific UH/transaction will be void in system with immediate effect (post authorization). You can capture void reason during void save.

The account can be voided for a given date range.

You can specify the void details by using 'Distribution Void Detail' screen. To invoke this screen, type 'UTDDVOID' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button to perform the following operations:

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

You can specify the following details:

#### **Fund ID**

*Alphanumeric; 6 Characters; Mandatory*

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

#### **Payment Number**

*Alphanumeric; 8 Characters; Mandatory*

Specify the payment number. This adjoining option list displays all valid payment number maintained in the system. You can choose the appropriate one.

#### **Payment Date**

*Date Format; Optional*

Specify payment date.

**Effective Date**

*Date Format; Mandatory*

Specify the application date.

**Distribution Type**

*Alphanumeric; 8 Characters; Mandatory*

Select the type of distribution. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

**Unit Holder ID**

*Alphanumeric; 8 Characters; Mandatory*

Specify the unit holder ID. You can also click on 'FundUH' button to select the valid unit holder ID.

**Account Type**

*Optional*

Select the type of account. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

**Unit Holder Name**

*Display*

The system displays the unit holder name.

**Distribution Amount**

*Numeric; 8 Characters; Optional*

Specify the distribution amount.

**Tax Amount**

*Numeric; 8 Characters; Optional*

Specify the valid tax amount.

**Void Status**

*Optional*

Select the void status from the adjoining drop-down list. Following are the options available:

- Full
- Partial
- Un-Void

**Distribution Void Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the distribution void amount.

This field is enabled only if you have selected 'Void Status' as 'Partial'.

**Tax Void Amount**

*Alphanumeric; 8 Characters; Optional*

Specify the distribution void tax amount.

This field is enabled only if you have selected 'Void Status' as 'Partial'.

**Remarks**

*Alphanumeric; 255 Characters; Mandatory*

Specify remarks, if any.

## 5.22.2 Validating ISA Void

### **Distribution Void**

You can maintain partial Voids and full amount void values at a unit holder distribution level using distribution void feature.

You can mark the distribution record as fully void or partially void by selecting Full/Partial option in 'Void Status' field.

If you select 'Partial void' option, then you can provide the Void Distribution amount and the void Tax amount. You can also amend this maintenance and change the status to Blank.

You can amend the distribution void amount and distribution void tax amount with effective date being the application date. The system will store the latest effective date record in the system as latest record which will be available for amending the void record.

The distribution void processing is only for reporting purpose and will not have any systemic impact on tax credit.

### **Tax Credit**

You can process tax credit transactions by providing the details such as fund ID dividend payment number, account type. the system will default the tax credit date to the application date. Based on this, any tax deducted from the unitholder will be credited back to the unitholder.

In case, if the unitholder is marked as void or any transaction belonging to unitholder is marked as Void, then the tax credit will not happen the system will mark the record as error and log the details into a table.

Tax credit Reversal batch will trigger reversal of Tax credit reinvestments and Tax credit payments.

To reverse the Tax Credit Reinvestment transaction, you will have to select the Fund and Processing mode as reverse so that payment number are available for selection. On selection of payment number and entering remarks, you should run the reversal batch process.

Payment numbers which are gone through Tax Credit processing will only be available for reversal processing. If Tax Credit Reversal has been performed for a payment, such payment number will be available for Tax Credit processing again. However, such payment number will not be available for Tax Credit Reversal processing until such payment is go through Tax Credit processing subsequently.

On Reversal of Tax Credit, the system will place reversal entries for tax credits reinvested and internally track reversal of tax credit payments. You should reverse after the payday with the system treating the reversal of reinvestment transactions and payments in the same way the distribution reversal process does.

On successful reversal processing, if there are dependent transactions like redemptions, switch out and transfer out linked to tax credit Reinvestments, then such transactions will not be reversed and these details will be logged.

In case the dividend is reversed before tax credit processing, then such dividends will not come for Tax Credit Processing. In case dividend is reversed after tax credit processing, you will have to reverse the tax credit separately.

If Dividend is amended, then revised dividends will come for Tax credit processing. In such case, revised Tax amount will come for credit processing for dividend payments and



reinvestments. If you amend the dividend after tax credit, in such case, tax credit will to be reversed and reprocessed.

### Dividend Reversals

If dividend is reversed after tax credit, the dividend reversal or dividend reprocess batch will not trigger the reversal of Tax Credit transactions, because Dividend reprocessing and Tax Credit batch is independent activities. You will have to manually trigger tax credit reversal batch.

## 5.23 Distribution Void Summary

This section contains the following topics:

- [Section 5.23.1, "Retrieving Void Details"](#)
- [Section 5.23.2, "Editing Void Details"](#)
- [Section 5.23.3, "Viewing Void Details"](#)
- [Section 5.23.4, "Deleting Void Details"](#)
- [Section 5.23.5, "Authorizing Void Details"](#)
- [Section 5.23.6, "Amending Void Details"](#)

### 5.23.1 Retrieving Void Details

You can view void details using 'Distribution Void Summary' screen. To invoke this screen, type 'UTSDVOID' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Distribution Void Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Fund ID  Distribution Type

Unit Holder ID  Void Status

Effective Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Fund ID	Distribution Type	Payment Number	Unit Holder ID	Void Status	Effective Date	Account Type	Payment C
------------	------	---------	-------------------	----------------	----------------	-------------	----------------	--------------	-----------

Exit

You can retrieve a previously entered void Details as follows:

- Invoke the 'Distribution Void Summary' screen from the Browser.

- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - Unit Holder Name
  - Unit Holder ID
  - Transaction Number
  - From Date
  - To Date
  - Void Level
  - If you choose the blank space, then all the records are retrieved.

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

**Note**

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Unit Holder ID
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

**Example**

You can search the record for Unit Holder ID by using the combination of % and alphanumeric value as follows:

- Search by A%: The system will fetch all the records whose Unit Holder ID starts from Alphabet 'A'. For example, AGC17, AGVO6, AGC74 and so forth.
- Search by %7: The system will fetch all the records whose Unit Holder ID ends by numeric value '7'. For example, AGC17, GSD267, AGC77 and so forth.
- Search by %17%: The system will fetch all the records whose Unit Holder ID contains the numeric value 17. For example, GSD217, GSD172, AGC17 and so forth

### **5.23.2 Editing Void Details**

You can modify the Void Details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'Distribution Void Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.

- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'Distribution Void Detail' screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'Distribution Void Summary' screen is closed and the changes made are reflected in the 'Distribution Void Summary' screen.

### **5.23.3 Viewing Void Details**

To view a record that you have previously input, you must retrieve the same in the 'Distribution Void Summary' screen as follows:

- Invoke the 'Distribution Void Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/ Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'Distribution Void Detail' screen is displayed in View mode.

### **5.23.4 Deleting Void Details**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'Distribution Void Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The 'Distribution Void Detail' screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **5.23.5 Authorizing Void Details**

An unauthorized fund restriction record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the 'Distribution Void Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The 'Distribution Void Summary' screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a transaction, details of validation, if any, that were overridden by the maker of the transaction during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### **5.23.6 Amending Void Details**

After a fund restriction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the 'Distribution Void Summary' screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The 'Distribution Void Detail' screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.

Amend the necessary information and click on Save to save the changes.

## **5.24 Intra-day Checks for Transactions**

This section contains the following topics:

- [Section 5.24.1, "Invoking Intra-day Transaction Check Screen"](#)
- [Section 5.24.2, "Pre-EOD Check for Intra-day Transaction Validation"](#)

### **5.24.1 Invoking Intra-day Transaction Check Screen**

For a fund, limits on transaction volumes (minimum and maximum limits for both amount and units) are defined in the Transaction Processing Rules, for each transaction type. The limits so defined are validated whenever individual transactions are allocated in the system.

You may require the transaction limits for a fund to be checked for and enforced at any of the following levels of aggregation:

- For transactions across all unit holder accounts transacting in a fund
- For transactions across all accounts in a CIF which transacts in the fund
- For transactions across all identification types and identification numbers transacting in the fund

To specify the level at which the check must be performed, you can use the Intra-Day Transaction Check screen, which you can invoke from the Fund Manager menu.

To invoke this screen, type UTDIDYCK in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Intra Day Transaction Check' application window. It features a 'Save' button at the top left. A 'Criteria Level' dropdown menu is set to 'CIF', with a 'Process' button to its right. Below this is a table with columns: Transaction Number, Txn Date, CIF Number, Unit Holder ID, Transaction Mode, and Amount. The table is currently empty. At the bottom right is a 'Cancel' button.

In this screen, you specify the aggregation level at which the check must be performed, in the Criteria field. Click 'Process' button to apply the check. The system aggregates all the unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund.

### Criteria Level

#### *Mandatory*

Select the level at which transactions must be aggregated for enforcement of the transaction limit check. The system aggregates all unallocated transactions into each fund at the level you have specified, and displays those transactions that violate the limits maintained in the Transaction Processing Rules for the fund.

You can specify any of the following levels:

- CIF - Across all accounts in a CIF which transacts in the fund
- Unit Holder - Across all unit holder accounts transacting in a fund
- Identification Number - Across all identification types and identification numbers transacting in a fund

Clicking 'Process' button, the system displays the following values:

- Transaction Number
- Transaction Date
- CIF Number
- Unit Holder ID
- Transaction Mode
- Amount

- Units
- Percent
- Identification Type
- Identification Number

### 5.24.2 Pre-EOD Check for Intra-day Transaction Validation

During the Pre-EOD processes, the system checks for the transactions that violate the minimum / maximum limits defined for the fund, aggregated at CIF level, and ensures that they are not put through.

#### Intra-day Check – Example

In the Transaction Processing Rules, the following minimum and maximum limits have been maintained:

Fund ID	Transaction Type	Minimum Amount	Maximum Amount	Minimum Units	Maximum Units
Royal Trust Growth Fund	Subscription	1,000	10,000,000	100	1,000,000

The details of unit holders transacting in the Royal Trust Growth Fund are as follows:

Unit Holder ID	CIF	Account Type	Identification Type	Identification Number
UH1	CIF 1	CPFOA	NRIC	N0001
UH2	CIF 1	CPFSA	NRIC	N0001
UH3	CIF 1	Cash	Passport	A80899
UH4	CIF 2	ASPFOA	NRIC	N0001

The following transactions are entered into the Royal Trust Growth Fund:

Transaction Number	Unit Holder	CIF	Transaction Type	Transaction Mode	Amount	Units
S1	UH1	CIF1	Subscription	Amount	10,000,000	
S2	UH2	CIF1	Subscription	Units		1,000,000
S3	UH3	CIF1	Subscription	Amount	900	
S4	UH4	CIF2	Subscription	Units		90

When the intra-day check is enforced, the following transactions violate the check:

#### **At Unit Holder aggregation level**

The transactions S3 and S4 are displayed in the Intra-Day Transaction Check screen, since the transaction volumes are below the minimum transaction amount and minimum transaction units for subscription maintained for the fund in the Transaction Processing Rules.

#### **At CIF aggregation level**

The transactions S1 and S3 are summed for CIF 1, and the sum (10,000,900) exceeds the maximum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S1 and S3 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S2 falls below the minimum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 is displayed in the Intra-Day Transaction Check screen.

#### **At Identification Number level**

The transactions S2 and S4 are summed for NRIC – N0001, and the sum (10,000,090 units) exceeds the maximum units for subscription transactions for the Royal Trust Growth Fund. Therefore, S2 and S4 are displayed in the Intra-Day Transaction Check screen.

Also, the number of units for transaction S3 falls below the minimum amount for subscription transactions for the Royal Trust Growth Fund. Therefore, S3 is displayed in the Intra-Day Transaction Check screen.

## **5.25 UH Portfolio Readjustment Details**

This section contains the following topics:

- [Section 5.25.1, "Readjusting Unit Holder Portfolio"](#)
- [Section 5.25.2, "Main Tab"](#)
- [Section 5.25.3, "Transaction Details Tab"](#)
- [Section 5.25.4, "Errors Tab"](#)

### **5.25.1 Readjusting Unit Holder Portfolio**

You can define percentage of the readjusted portfolio fund wise for a given Unit Holder using the 'Readjustment of UH Portfolio' screen. Based on this percentage defined, the system will readjust portfolio by means of switch/pseudo switch on the given funds of the unit holder. All the switch and pseudo switch transactions are unit based transactions. You can invoke this

screen by typing 'UTDUHPR' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the 'Readjustment of UH Portfolio' screen.

## 5.25.2 Main Tab

### **Unit Holder ID**

#### *Mandatory*

Specify the unit holder ID. You can also click 'Find UH' button to find the authorized unit holders. The system displays a list of authorized unit holders maintained in the system.

### **Aggregate Currency**

#### *Optional*

In case the readjustments are between the funds of different fund base currency (FBC), then you have to specify the aggregate currency. Specify the aggregate currency. You can also select the aggregate currency from the adjacent option list. The option list consists of all the valid and authorized currency codes maintained in the system. While processing the transaction, the system will convert the currencies of the current holdings of the selected funds into aggregate currency for the purpose of comparing and achieving the required portfolio.

The system triggers an error message if there are funds involving more than one FBC and if the aggregate currency is not specified. However, if all the funds defined in the screen are having same fund base currency, then the system defaults the aggregate currency with the same fund base currency. For instance, if all the funds defined are having FBC as 'USD', then on saving the details, the system will default aggregate currency as 'USD'.



---

**Note**

The aggregate currency chosen should be the FBC of at least one of the funds selected.

---

**Readjustment Status***Display*

Based on the status of the readjustment, the status is displayed here. The following are the status available:

- Not Processed
- Transaction Generated
- Failure during transaction Generation

You can modify the details only if the readjustment status is 'Not Processed'.

---

**Note**

For a given unit holder, there can be only one 'Not Processed' readjustment.

---

**Readjustment ID***Display*

On saving the details, the readjustment ID is generated. Later, you can use this number to query the details.

**Cancelled***Optional*

The system will not generate the transactions that are 'authorized but are yet to be processed'. This option is enabled only during amending operation.

**Fund ID***Mandatory*

Specify the fund ID. You can also select the fund ID from the option list provided. The option list displays the valid fund IDs maintained in the system. You should at least specify two funds for readjustments and for the given unit holder, at least one of the funds defined should have the settled unit balance.

**Fund Name***Display*

Based on the fund ID selected, the fund name is displayed.

**Fund Base Currency***Display*

Based on the fund ID selected, the fund base currency is displayed.

**% Holding after Readjustment***Mandatory*

Define the percentage of the readjusted portfolio for the unit holder. After readjustment, this is the percentage of the total holdings of the settled units for the selected funds. The total percentage should added up to hundred percent.

### 5.25.3 Transaction Details Tab

Click 'Transaction Details' tab to view the generated transaction details.

The screenshot shows a web application window titled "UH Portfolio Readjustment Detail". At the top, there is a "Save" button. Below it, a tab bar contains "Main", "Transaction Details" (which is selected and highlighted in red), and "Errors". The "Transaction Details" section features a table with the following columns: Txn No, Fund ID, To Fund ID, Txn Type, Ref Type, Txn Amount, and Units. The table is currently empty. At the bottom of the window, there is a footer area with labels for "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized", along with a "Cancel" button.

The following details are displayed:

- Transaction Number
- Transaction Type
- Fund ID

### 5.25.4 Errors Tab

During transaction generation, if one of the transactions fails, then the system will log an error as 'Transaction Processing Failed'. It will not generate the partial successful transactions. The failed reasons can be viewed under 'Errors' tab. Click 'Errors' tab to view the error details:

The screenshot shows the same "UH Portfolio Readjustment Detail" window, but with the "Errors" tab selected in the tab bar. The "Errors" section displays a table with two columns: "Error Code" and "Description". The table is currently empty. The footer area at the bottom remains the same, with labels for "Input by", "Authorized by", "DateTime", "Mod No", "Open", and "Authorized", and a "Cancel" button.

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**Note**

In case of pseudo switch, the transaction currency for the subscription transaction will be the fund base currency of the redemption transaction fund.

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### **5.25.5 Processing Readjustment Portfolios**

As part of EOD process, all the settled units as on date are considered for readjustments. The total current holdings are arrived using the latest NAV of the funds involved. The current holdings of each fund are compared with the required readjusted portfolio (both amounts are in aggregate currency). The transaction type to be used is based on the net inflows and outflows required to achieve the required readjustment. If a switch transaction is required among these funds, the system will generate normal switch or pseudo switch based on the funds involved belong to the same AMC or different AMC respectively. The readjustment request is rejected if there is any amount block on one of the fund where in units has to be switched out.

## **5.26 UH Portfolio Readjustment Summary**

This section contains the following topics:

- [Section 5.26.1, "Retrieving Readjustment Portfolio"](#)
- [Section 5.26.2, "Editing Readjustment Portfolio"](#)
- [Section 5.26.3, "Viewing Readjustment Portfolio "](#)
- [Section 5.26.4, "Deleting Readjustment Portfolio"](#)
- [Section 5.26.5, "Authorizing Readjustment Portfolio"](#)
- [Section 5.26.6, "Amending Readjustment Portfolio"](#)

## 5.26.1 Retrieving Readjustment Portfolio

The portfolio readjustment details must be authorized by another user. You can invoke 'UH Portfolio Readjustment Summary' screen by typing 'UTSUHPR' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

UH Portfolio Re Adjustment Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Unit Holder ID  Aggregate Currency

Re Adjustment Status  Re Adjustment ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Unit Holder ID	Aggregate Currency	Re Adjustment Status	Re Adjustment ID
------------	------	----------------	--------------------	----------------------	------------------

Exit

You can retrieve a previously entered broker deal as follows:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The aggregate currency
  - The readjustment ID in the 'Re Adjustment ID' field. If you choose the blank space, then all the records are retrieved.
  - The Readjustment status in the 'Re Adjustment Status' field.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

You can perform Edit, Delete, Amend and Authorize operation by selecting from the Action list.

## 5.26.2 Editing Readjustment Portfolio

You can modify the details of the readjustment portfolio that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
  - The readjustment ID in the 'Re Adjustment ID' field. If you choose the blank space, then all the records are retrieved.
  - The Readjustment status in the 'Re Adjustment Status' field.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The 'UH Portfolio Readjustment Detail' screen is displayed.
- Select Unlock operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The 'UH Portfolio Readjustment Detail' screen is closed and the changes made are reflected in the 'UH Portfolio Readjustment Summary' screen.

### **5.26.3 Viewing Readjustment Portfolio**

To view a record that you have previously entered, you must retrieve the same in the 'UH Portfolio Readjustment Summary' screen, as follows:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
  - The readjustment ID in the 'Re Adjustment ID' field. If you choose the blank space, then all the records are retrieved.
  - The Readjustment status in the 'Re Adjustment Status' field.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The 'UH Portfolio Readjustment Detail' screen is displayed in the view mode.

### **5.26.4 Deleting Readjustment Portfolio**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorized' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Open' field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- The readjustment ID in the 'Re Adjustment ID' field. If you choose the blank space, then all the records are retrieved.
- The Readjustment status in the 'Re Adjustment Status' field.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The 'UH Portfolio Readjustment Detail' screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

---

#### **Note**

The maker of the record can only delete the unauthorized record.

---

### **5.26.5 Authorizing Readjustment Portfolio**

Apart from the maker, someone else must authorize an unauthorized broker deal in the system for it to be processed. To authorize a record:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- 'The status of the transaction in the 'Authorized' field. Choose the 'Unauthorized' status.
- Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Select the Authorization operation from the Action list to authorize the selected record.

### **5.26.6 Amending Readjustment Portfolio**

After a broker deal record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization:

- Invoke the 'UH Portfolio Readjustment Summary' screen from the Browser.
- Select the status of the transaction that you wish to retrieve for amendment. You can only amend only authorized records.
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to amend. The 'UH Portfolio Readjustment Detail' screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.
- Amend the necessary information. Click the Save button to save the changes.

## **5.27 Help Desk Facility**

This section contains the following topics:

- [Section 5.27.1, "Invoking Help Desk Detail Screen"](#)
- [Section 5.27.2, "Initiating and Processing Queries"](#)

### 5.27.1 Invoking Help Desk Detail Screen

The FLEXCUBE Investor Services system provides the facility of querying and reporting between entities in the system.

To query about any other entity or report information (such as complaints) regarding any entity in the system, use the Help Desk Detail' screen. You can invoke this screen by typing 'UTDHLPDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Helpdesk Mode *	Event Date/Time *	Event Mode *	Event Description *	Event Object Available	Event Image
Inquiry	11/24/2016 19:35:58	Person		Yes	Event Image

You can use this screen to

- Initiate a query regarding any information requested by any entity that is defined in the system.
- Process or follow-up any such queries
- Edit, view or close any queries

### 5.27.2 Initiating and Processing Queries

To initiate (or process) a query, in the Help Desk (Detail) screen, specify the following in the Help Details section:

- The type of entity that is initiating the query, in the Reporting Entity Type field. Also select the ID of the reporting entity in the Reporting Entity ID field.
- The type of query, in the Query Type field. The query could be an inquiry, or an action. Select the appropriate option.
- The category of the query, in the Query Category field. Choose the required option from the drop down list.
- The degree of criticality of the query, in the Query Severity field.
- If you are following up a previously entered query, select the status of the query in the Status field.
- The description of the report, or query, in the Problem Description field.

- The name of the person who will attend the query, in the Attended By field.
- Also specify the following in the Helpdesk Events section:
- The mode of the query, or the query type, in the Helpdesk Mode field.
- The mode through which the query is being made, in the Event Mode field.
- The description of the query, in the Event Description field.
- Any image, such as a document or fax, regarding the query or report, in the Event Image field. Click the Scan button to specify this.
- Click the Save button to save your query.

Any follow up or processing of the query can likewise be entered in a similar manner, as described above.

To add a new row to the Helpdesk Events grid, choose the Add button.

### **Helpdesk Reference Number**

#### *Display Only*

Every query you initiate in the system is assigned a unique reference number by the system. If you are entering a new query in this screen, this field is empty and locked, and when you specify all the information that is mandatory for initiating a query, the reference number is generated by the system when you Save the information.

If you have retrieved a query for viewing or processing, the reference number of the retrieved query is displayed here and it cannot be altered.

### **Attended by**

#### *Alphanumeric, Optional*

Specify the name of the person who is assigned to attend to the details of the query.

### **Reporting Entity Type**

#### *Alphanumeric, Mandatory*

Specify the type of entity that is initiating the query. Choose from the drop down list.

### **Query Severity**

#### *Alphanumeric, Mandatory*

Specify the criticality of the query, by selecting it from the drop down list. This could be one of the following: Low, Moderate or High.

### **Reporting Entity ID**

#### *Alphanumeric, Mandatory*

Specify the ID of the entity that is initiating the query.

### **Status**

#### *Alphanumeric, Mandatory*

When you are initiating a new query, this field is locked and has a default value, "Open", signifying that the query is yet to be processed. Subsequently, when you retrieve the record of a query in this screen, and edit the same, you can update the status of the query by making the appropriate selection in this field. A query can be open, closed or being followed up. Accordingly, choose the desired option from the drop down list.

### **Query Type**

#### *Alphanumeric, Mandatory*

Specify the type of query that is being initiated, by selecting it from the drop down list. This could be one of the following: Inquiry or Complaint.



**Query Category**

*Alphanumeric, Mandatory*

Specify the subject of the query, by selecting it from the drop down list.

**Problem Description**

*255 Characters Maximum, Alphanumeric, Optional*

Narrate the problem, if any, or the statement of the query, in a few words.

**Helpdesk Events Section**

You must specify the details of the modes in which any query is initiated or followed up, in this section.

**Helpdesk Mode**

For new queries, the mode specified here must be Inquiry. When you are capturing details of action taken or following up a query, the mode specified here could be Action or Inquiry, as is applicable.

**Event Date / Time**

The time at which the query/follow up action was received is displayed here.

**Event Mode**

Specify the mode through which the query / follow up action was received.

**Event Description**

Give a brief description, if any, about how the query / follow up action was received.

**Event Image**

If the details of the query / follow up action is contained in a document, specify the path to the same here.

**Event Object Available**

Indicate from the drop-down list if the event object is available or not.

## 5.28 Help Desk Summary

This section contains the following topics:

- [Section 5.28.1, "Retrieving a Query Record"](#)
- [Section 5.28.2, "Editing a Query Record"](#)
- [Section 5.28.3, "Viewing a Query Record"](#)
- [Section 5.28.4, "Deleting a Query Record"](#)
- [Section 5.28.5, "Authorizing Query Record"](#)
- [Section 5.28.6, "Amending a Query Record"](#)
- [Section 5.28.7, "Authorizing a Query Record"](#)

### 5.28.1 Retrieving a Query Record

To view or edit a helpdesk query, use the 'Help Desk Summary' screen. You can invoke this screen by typing 'UTSHLPDS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Help Desk Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Helpdesk Reference No  Reporting Entity ID

Reporting Entity Type

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Helpdesk Reference No	Query Type	Problem Description	Reporting Entity ID	Reporting Entity Type
------------	------	-----------------------	------------	---------------------	---------------------	-----------------------

Exit

You can retrieve a previously entered query record in the Help Desk Summary screen, as follows:

- In the browser, select the Help Desk Summary from the Transaction menu category of the Agency Branch module:
- The status of the transaction in the Authorized field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
- The status of the Transaction in the Open field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
- The Helpdesk Reference Number

After Consolidation Transaction are entered into the system, you can perform any of the following operations:

- Edit or delete them, provided they are still unauthorized.
- Retrieve and view them.
- Have them authorized by another user.

### 5.28.2 Editing a Query Record

You can modify the details of a Help Desk record that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- In the main menu, invoke the Transaction menu. Select Help Desk, choose the Summary option. The Help Desk Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for modification. You can only modify records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be modified, specify any or all of the details of the transaction in the corresponding fields on the screen. All unauthorized transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction type that you want to modify in the list of displayed transactions, in the lower portion of the screen
- The Help Desk Detail screen is opened by double clicking on the selected row, with the selected transaction displayed.
- To modify the record you can select the Unlock operation from the drop down Actions List
- You can modify the required records for an unauthorized transaction.
- Accordingly, modify the necessary information, and click the Save button to save your changes.
- The Help Desk Detail screen is closed and the changes made are reflected in the Help Desk Summary screen.

### **5.28.3 Viewing a Query Record**

To view a Help Desk record that you have previously entered, you must retrieve the same in the Help Desk Summary screen, as follows:

- From the main menu, invoke the Transaction menu. Select Help Desk, and choose the Summary option. The Help Desk Summary screen is opened.
- In the Authorization Status field, select the status of the Consolidation Transaction that you want to retrieve for viewing. You can view records of transactions that are:
  - Unauthorized
  - Authorized

To retrieve the Help Desk record that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click

All transactions with the specified details are retrieved and displayed in the lower portion of the screen.

Select the Help Desk record that you want to view in the list of displayed transactions, in the lower portion of the screen.

The Help Desk Detail screen is opened by double clicking the selected record, with the selected record displayed in view mode.

### **5.28.4 Deleting a Query Record**

You can delete only unauthorized Help Desk record in the system.

To delete a Help Desk record that you have previously entered, you must retrieve the same in the Help Desk Summary screen, as follows:

- From the main menu, invoke the Transaction Input menu. Select Help Desk and choose the Summary option. The Help Desk Summary screen is opened.

- In the Authorized field, select the status of the Help Desk that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the Help Desk that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search'. All Help Desk records with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the Help Desk that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Help Desk Detail screen is opened by double clicking on the selected row in view mode, with the selected Help Desk record displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

### **5.28.5 Authorizing Query Record**

An unauthorized record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Help Desk Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the Unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search'. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Help Desk Detail screen is displayed. Select Authorize operation from Action.
- When the checker authorizes a transaction, details of validations, if any, that were overridden by the maker of the transaction during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### **5.28.6 Amending a Query Record**

Authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

Select the status of the Help Desk record that you wish to retrieve for amendment. You can only amend records of transactions that are authorized.

Specify any or all of the details of the Help Desk record in the corresponding fields on the screen. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.

Double click the adjustment transaction that you want to amend. The Help Desk. Click the Unlock operation from the Action list to amend the transaction.

Amend the necessary information. Click 'OK' to save your changes. Only escalation details can be changed during an amend operation.

### **5.28.7 Authorizing a Query Record**

An amended Help Desk record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

The process of authorization is subsequently the same as that for normal transactions.

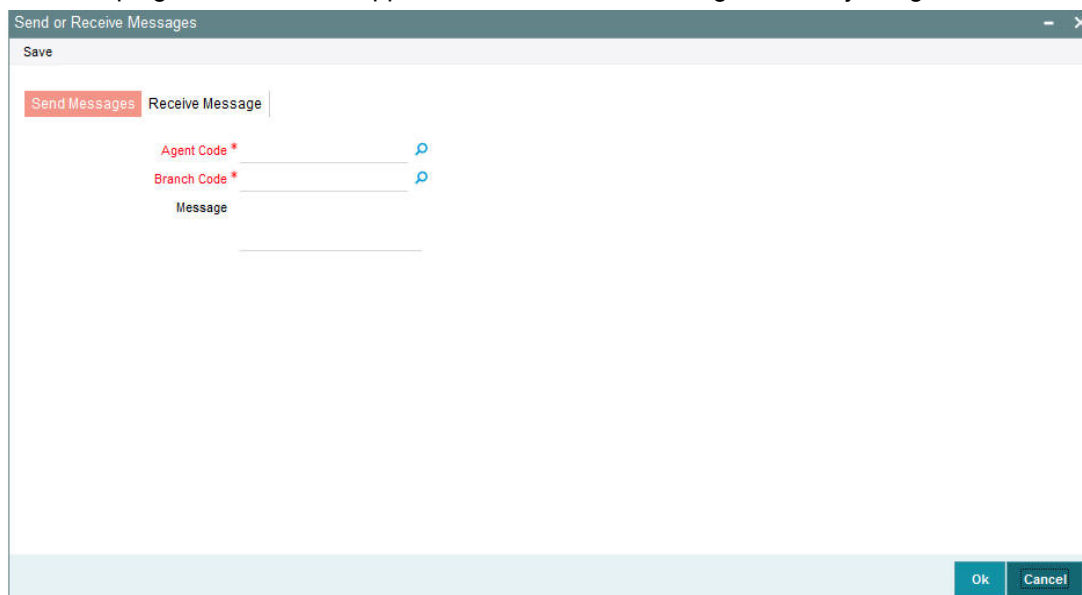
## 5.29 Sending and Receiving Messages

This section contains the following topics:

- [Section 5.29.1, "Invoking Send/ Receive Messages Screen"](#)
- [Section 5.29.2, "Send Messages Tab"](#)
- [Section 5.29.3, "Receive Messages Tab"](#)

### 5.29.1 Invoking Send/ Receive Messages Screen

Messages can be relayed to and fro between modules in the system. Use the 'Send / Receive Messages' screen to do this. You can invoke this screen by typing 'UTDSEREM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



### 5.29.2 Send Messages Tab

#### **Agent Code**

Specify the Agent Code of the module to which you are sending the message

#### **Branch Code**

Specify the branch Code of the module to which you are sending the message,

#### **Message**

Enter the message that has to be sent.

To send a message, specify the Agent and Branch Code of the module to which you are sending the message, and key in the text of the message in the Message field box. Then click the Send button.

To receive a message, specify the Agent and Branch Code of the module from which you are receiving the message, and click the Receive button. The text of the incoming message is displayed in the Message field box.

### 5.29.3 Receive Messages Tab

The screenshot shows a web application window titled "Send or Receive Messages". It has a "Save" button at the top left. Below it are two tabs: "Send Messages" and "Receive Message", with the latter being active. The main area is titled "Messages" and contains a table with the following columns: Agent, BRANCH NAME, Time Stamp, User ID, Message, and Delete?. The table has one row with a checkbox in the first column, a value in the Agent column, a value in the BRANCH NAME column, a value in the Time Stamp column (format MM/DD/YYYY), a value in the User ID column, a value in the Message column, and a "No" button in the Delete? column. Below the table is a "Delete Message" button. At the bottom right are "Ok" and "Cancel" buttons.

Agent *	BRANCH NAME *	Time Stamp *	User ID *	Message	Delete?
<input checked="" type="checkbox"/>		MM/DD/YYYY			No

#### Agent

This displays the entity from which the message has come. For outgoing messages, it will display the current entity code.

#### Branch Name

This displays the bank name to which the agent belongs.

#### Timestamp

This displays the time when the message had come.

#### User ID

This displays the User ID of the person from whom the message has come from.

#### Message

The text of the message that has been received is displayed here.

#### Delete

Click on Delete Message button to delete the message.

## 5.30 RTA Transfer Details

This section contains the following topics:

- [Section 5.30.1, "Invoking RTA Transfer Details"](#)
- [Section 5.30.2, "Transfers IN Details Tab"](#)
- [Section 5.30.3, "Transfer Out Details Tab"](#)
- [Section 5.30.4, "Channel Transfers Details Tab"](#)

### 5.30.1 Invoking RTA Transfer Details

The RTA Transfers Detail In and Out screen captures the details that are present in the RTA incoming interface related data store. In the case of a transfer out transaction, the transaction is generated and needs to be confirmed by the bank. To invoke this screen, click on the main

menu item Maintenance and then click on Details under the sub-menu item RTA Transfer Detail.

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

The following details can be captured here:

## **RTA Transfer Detail**

### **Reference Number:**

*16 Character Maximum, Alphanumeric, Mandatory*

Specify a reference number for the account. This will be deemed as a unique alphanumeric identifier for the account. It could be the serial number that is given on the application form through which the investor has invested in the AMC. It could also be any alphanumeric value given by the investor, to identify the account.

### **Transaction Type**

*Mandatory*

Specify the type of transfer, the options being

- Transfer In
- Transfer Out
- Channel Transfer

### **CIF**

*12 Characters Maximum, Alphanumeric, Mandatory*

Specify the CIF number of the customer for whom you are creating a transferring the units.

## RTA/Channel

10 Character Maximum, Alphanumeric, Mandatory

Select the RTA from the drop down list.

## Unitholder ID

12 Characters Maximum, Alphanumeric, Mandatory

It may be defaulted based on the selection from Unit holders for CIF; else you need to specify the unit holder ID here.

## Name

Specify the name of the RTA/Channel here.

## 5.30.2 Transfers IN Details Tab

The screenshot shows the 'FCIS - RTA Transfers Detail' window with the 'Transfers IN Details' tab selected. The form is divided into several sections:

- RTA Transfers:** Includes fields for 'Reference Number \*', 'CIF \*', 'Unit Holder ID', and 'Unit Holder Name'. There is a 'FIND' button below these fields.
- Transaction Details:** Includes a 'Transaction Type \*' dropdown menu (currently showing '-Select-'), an 'RTA/Channel \*' dropdown menu, and a 'Name' text field. A 'Show Details' button is located below the 'Name' field.
- Transfers IN Details:** This section is active and contains fields for 'AMC ID', 'Fund ID', 'Fund Name Short', 'Transaction Date' (with a date picker), 'Folio No/Check Digit', and 'Entity ID'. To the right of these fields are fields for 'AMC Name', 'Fund Identification Number', 'Units', 'Cost Price', and 'Amount'.
- Footer:** A table with columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized'. A 'Cancel' button is located at the bottom right.

## AMC ID

12 Characters Maximum, Alphanumeric, Mandatory

Select the code of the AMC in whose funds the investor wishes to invest, from the list provided. You capture this information for the purpose of identifying the AMC to which the unit holder belongs, and in whose database the unit holder account will reside.

## Fund ID

Alphanumeric, Mandatory

Select the fund id into which the unit holder wishes to invest.

## Folio No/Check Digit

Alphanumeric, Mandatory

Specify the folio for the AMC if the unit holder does not have prior records of transactions with the AMC specified, else it is defaulted depending on the unit holder ID and the AMC ID.

## Transaction Date

The default date here would be the application date; however you will be able to edit it.



**Amount***Numeric, Mandatory*

This is arrived at by multiplying the number of units and the cost price of each.

**Units**

Specify the number of units the unit holder wishes to buy.

**Cost Price**

Specify the cost of each unit.

**Note**

Conditions required to be fulfilled for validations for transfer in transactions

- Transfer in is not allowed in case the unit holder does not have folio for the given AMC and transaction is subsequent.
- Back dated and future dated transactions are not allowed
- If cross branching is 'No', unit holder should belong to the logged in branch

Registrar should be mapped to the fund selected

**5.30.3 Transfer Out Details Tab**

Click on the Transfer Out tab to invoke the following screen:

FCIS - RTA Transfers Detail

Save

RTA Transfers

Reference Number \*

CIF \*

Unit Holder ID

Unit Holder Name

FIND

Transaction Type \* -Select-

RTA/Channel \*

Name

Show Details

Transfers IN Details Transfers OUT Details Channel Transfers Details

Details

Fund ID	Balance Units	NAV	Market Value	Select?	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input type="checkbox"/>	

Input by  
Authorized by

DateTime  
DateTime

Mod No

Open  
Authorized

Cancel

**Fund ID***Display*

The fund in which the transaction was put through is displayed here

## Balance Units

### Display

The unit balance of your holding is displayed here.

## NAV

### Display

Display the current NAV of your holdings.

## Market Value

### Display

This displays the market value of all your holdings which is derived at by multiplying the Balance Units with the current NAV.

## Select?

The box needs to be checked against the fields which are to be processed.

---

### Note

Conditions required to be fulfilled for validations for transfer out transactions

- Fund price needs to be available
  - Sufficient balance is required in the unit holders fund
  - Transfer out transaction amount should be a multiple of step amount as defined in Fund Rule.
- 

## 5.30.4 Channel Transfers Details Tab

Click on the Channel Transfers Details tab to invoke the following screen:

The screenshot displays the 'FCIS - RTA Transfers Detail' window. At the top, there is a 'Save' button. Below it, the 'RTA Transfers' section contains fields for 'Reference Number \*', 'CIF \*', 'Unit Holder ID', and 'Unit Holder Name', with a 'FIND' button. To the right, the 'Transaction Type \*' is a dropdown menu set to '-Select-', and 'RTA/Channel \*' is a text field with a 'Show Details' button. Below these, there are three tabs: 'Transfers IN Details', 'Transfers OUT Details', and 'Channel Transfers Details' (which is selected). The 'Channel Transfers Details' tab shows fields for 'Channel', 'Transfer Branch Code', 'Broker Code', 'Branch Name', 'Broker Name', 'Rule Effective Date' (with a date picker), and 'Remarks'. At the bottom, there is a table with columns for 'Input by', 'Authorized by', 'DateTime', 'Mod No', 'Open', and 'Authorized', with a 'Cancel' button.

FCIS provides the facility to transfer an investor along with all the transactions done prior to the transfer to the new channel. The following transfers will be allowed under Channel Transfer:

- Channel to Channel
- Channel to Non channel

Channel transfers cannot be triggered from non channel agency branches.

#### **Transfer Branch Code**

Specify the branch of the agent to whom the investor is being transferred.

#### **Branch Name**

Upon selection of the branch code, the associated branch name gets populated.

#### **Broker Code**

Select the code of the broker to whom the investor is being transferred.

#### **Broker Name**

Upon selection of the broker code, the associated broker name gets populated.

#### **Rule Effective Date**

Specify the date from when the unitholder transfer that is currently being set up should become effective.

#### **Remarks**

Descriptive text about the transfer can be entered here.

On authorizing the transfer, system will check for the following:

- Any unauthorized transaction exists with previous channel for the specified rule effective date
- Any authorized transaction to be allocated on or greater than the specified rule effective date
- Any allotted transaction to be cleared or settled on or greater than the specified rule effective date
- Any blocked or pledged transaction

If any of the above mentioned checks fail, system will not allow you to save and authorize the transfer. System will also verify if any balance is available in any of the funds involved in the transfer. If not, system will not allow you to save or authorize the transfer. Channel Transfer will be effective on confirmation of the Authorised channel transfer through the RTA Summary screen.

## **5.31 RTA Transfer Summary**

This section contains the following topics:

- [Section 5.31.1, "Retrieving RTA Transfer Details"](#)
- [Section 5.31.2, "Editing RTA Transfer Details"](#)
- [Section 5.31.3, "Viewing RTA Transfer Details"](#)
- [Section 5.31.4, "Deleting RTA Transfer Details"](#)
- [Section 5.31.5, "Authorizing RTA Transfer Details"](#)
- [Section 5.31.6, "Amending RTA Transfer Details"](#)

### 5.31.1 Retrieving RTA Transfer Details

After you have all the mandatory RTA Transfer (in and out) details you can view the details of the RTA Transfers using the 'RTA Transfers Summary' screen. You can invoke this screen by typing 'UTSRTAIO' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Authorized	Open	Reference Number	RTA/Channel	Transaction Type	CIF	Unit Holder ID	Transfer Branch Code	Broker Code	Rule
------------	------	------------------	-------------	------------------	-----	----------------	----------------------	-------------	------

The RTA transfer details maintained must be authorized by another user. You can use the 'FCIS RTA Transfer Summary' screen to perform the following operations:

You can retrieve a previously entered RTA transfer details as follows:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the 'Transaction Type' field. If you choose the blank space, then all the records are retrieved.
- The reference number in the 'Reference Number' field
- The customer information number in the 'CIF Number' field

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

### 5.31.2 **Editing RTA Transfer Details**

You can modify the details of the RTA transfer details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

1. Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the 'Transaction Type' field. If you choose the blank space, then all the records are retrieved
- The reference number in the 'Reference Number' field
- The customer information number in the 'CIF Number' field

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

Double click the record that you want to modify in the list of displayed records. The 'FCIS RTA Transfer Details' screen is displayed.

Select Unlock operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The 'FCIS RTA Transfer Details' screen is closed and the changes made are reflected in the 'FCIS RTA Transfer Summary' screen.

### 5.31.3 **Viewing RTA Transfer Details**

You can modify the details of the RTA transfer details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

Specify any or all of the following details in the screen:

- The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
- The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.
- The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
- The transaction type in the 'Transaction Type' field. If you choose the blank space, then all the records are retrieved
- The reference number in the 'Reference Number' field
- The customer information number in the 'CIF Number' field

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

Double click the record that you want to modify in the list of displayed records. The 'FCIS RTA Transfer Details' screen is displayed.

#### **5.31.4 Deleting RTA Transfer Details**

You can modify the details of the RTA transfer details that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

1. Specify any or all of the following details in the screen:
  - The status of the transaction in the 'Authorization Status' field. If you choose the blank space, then both the authorized and the unauthorized status records will be retrieved for the specified criteria.
  - The status of the records in the 'Record Status' field. If you choose the blank space, then all the records are retrieved.
  - The unit holder ID in the 'Unit Holder ID' field. If you choose the blank space, then all the records are retrieved.
  - The transaction type in the 'Transaction Type' field. If you choose the blank space, then all the records are retrieved
  - The reference number in the 'Reference Number' field
  - The customer information number in the 'CIF Number' field
3. Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.
4. Double click the record that you want to modify in the list of displayed records. The 'FCIS RTA Transfer Details' screen is displayed.
5. Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

Note: The maker of the record can only delete the unauthorized record.

#### **5.31.5 Authorizing RTA Transfer Details**

Apart from the maker, someone else must authorize an unauthorized RTA transfer details in the system for it to be processed. To authorize a record:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

The status of the transaction in the 'Authorization Status' field. Choose the 'Unauthorized' status.

Click 'Search' button to view the records. All the records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.

Select the Authorization operation from the Action list to authorize the selected record.

### **5.31.6 Amending RTA Transfer Details**

The RTA transfer details can be modified using the Unlock operation from Action list. To make changes to a record:

Invoke the 'FCIS RTA Transfer Summary' screen from the Browser.

Select the status of the transaction that you wish to retrieve for amendment. You can only amend only unauthorized records.

Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

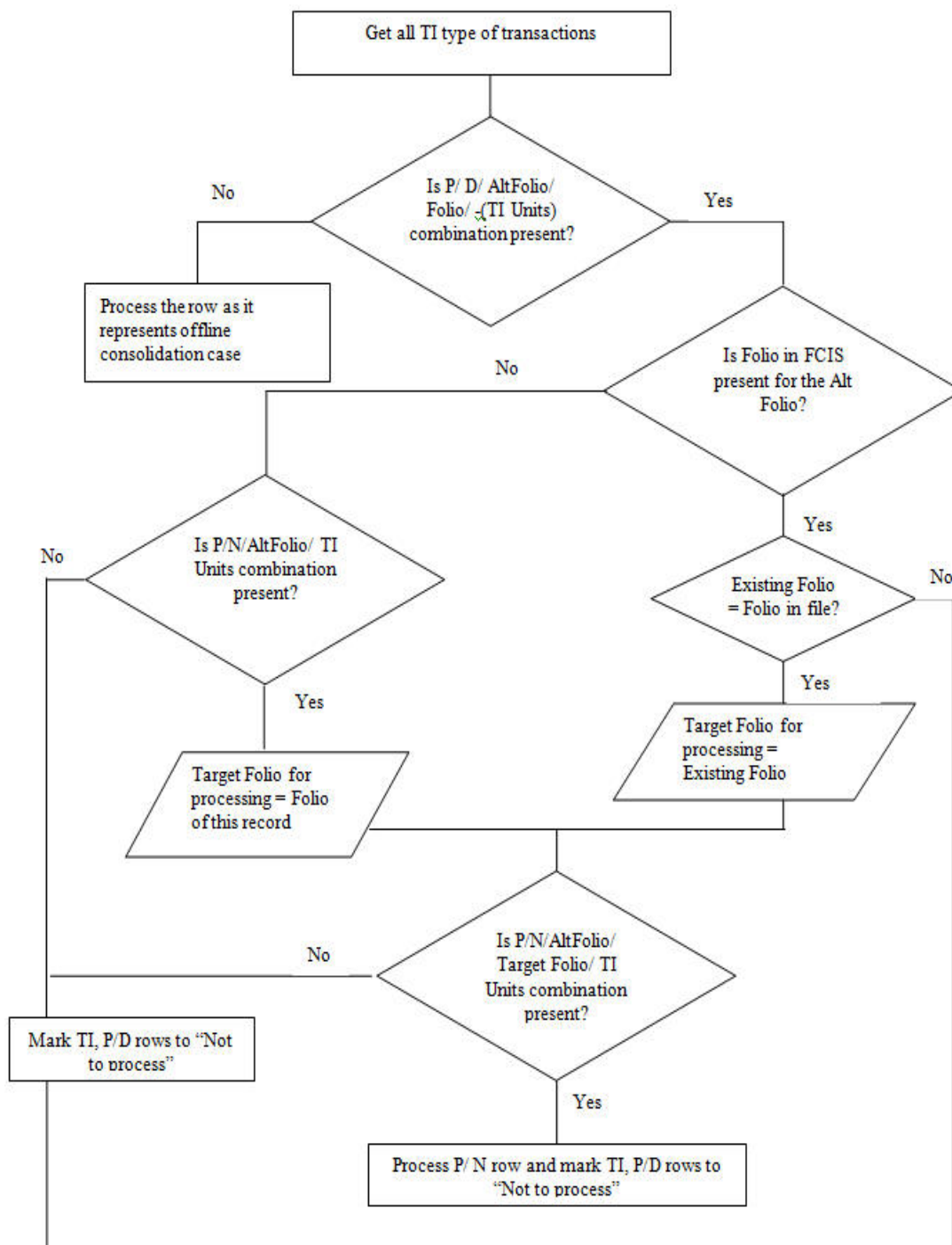
Double click the record that you want to amend. The "FCIS RTA Transfer Details" screen is displayed in the amendment mode. Click the Unlock operation from the Action list to amend the record.

Amend the necessary information. Click the Save button to save the changes.

## **5.32 Consolidation of Portfolios**

The flow chart below explains how the RTA interface would handle transfer and consolidation of portfolios.

## Transfer with Consolidation Logic:



## Only Consolidation:

This is a case where the unit holder has invested in an IPO fund of an AMC and later subscribed into another fund of the same AMC. The folio number is allocated to the user after subscription confirmation, the RTA however allocates a new folio for the IPO subscription. In this case a consolidation of folio is required.



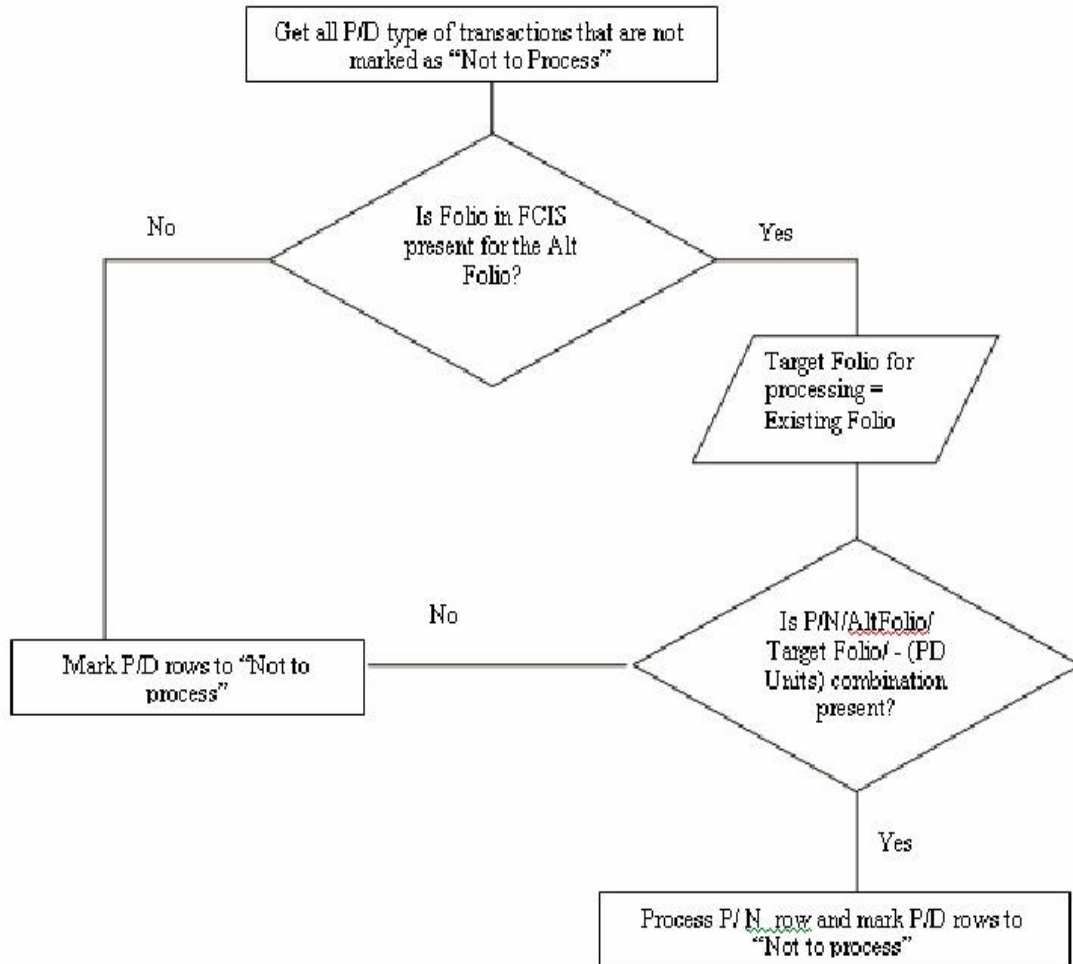
---

**Note**

No Transfer In type of record would be available in this case as it is just a consolidation of the folio numbers.

---

The flow chart below illustrates the above logic



## 5.33 Batch Update of Transaction Date

This section contains the following topic:

- [Section 5.33.1, "Invoking Batch Update of Transaction Date Screen"](#)

### 5.33.1 Invoking Batch Update of Transaction Date Screen

A pre EOD check is done to if there are any future dated transactions for which the transaction date falls on a holiday. If so, you will not be allowed to proceed with the EOD process.

Use the 'Batch Update Of Transaction Date' screen to modify the Transaction date for different transactions for the fund.

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

Batch Update Of Transaction Date

Save

Transaction Holiday

Fund ID \*

Current Transaction Date \*

Modified Transaction Date \*

Transaction Type

Fund Name

ISIN Code

Operation

Process

ALL

Cancel

### **Fund ID**

*Numeric, Mandatory*

Enter the fund id for which the transaction date needs to be modified.

### **ISIN Code**

*Alphanumeric; Optional*

Select the ISIN Code of the fund in which the transaction was put through, from the options provided. If you specify the ISIN Code of a fund, the ID of the fund is displayed in the Fund field.

### **Transaction type**

*Drop down, Mandatory*

Select the transaction type from the drop down list for which the modification will be allowed. The default option will be "All".

### **Current transaction date**

*Date, Mandatory*

Enter the transaction date that falls on a Holiday

### **Modified Transaction Date**

*Date; Mandatory*

Enter the new transaction date to which the transactions is to be updated. This transaction date is defaulted to the next working day of the current transaction date. You are allowed to modify this date.

The system will freshly calculate the price date for these transactions in case for specific fund price dates.

### **Operation**

Specify the operation for which the update has been enabled

## 5.34 Tracking Cheques

This section contains the following topic:

- [Section 5.34.1, "Invoking Cheque Tracking Summary Screen"](#)
- [Section 5.34.2, "Invoking Cheque Tracking Detail Screen"](#)

### 5.34.1 Invoking Cheque Tracking Summary Screen

You can track the status of checks issued for dividend payments as well as redemption, incentive payments and entity commission payments in the system.

You can also view details of cheques uploaded into the system for payment tracking purposes. A dividend cheque will be considered as expired if the system date is greater than the cheque date or the sum cheque reissue date and expiry period as specified in PARAMS maintenance. Cheque status tracking is allowed for only those type of transaction maintained in PARAMS maintenance

Use the 'Cheque Tracking Summary' screen to do this. You can invoke this screen by typing 'UTSCHQTR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Cheque Tracking Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Type of Transaction  Transaction Number

Fund ID  Payment Number

Unit Holder ID  Reference Number

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Type of Transaction	Transaction Number	Fund ID	Payment Number	Unit Holder ID	Reference Number	Cheque Amount
------------	------	---------------------	--------------------	---------	----------------	----------------	------------------	---------------

Exit

Specify the following information in this screen to view or track the status of checks:

- The ID of the fund, for which the dividend was declared, or the transactions that resulted in a redemption, incentive payment or entity commission payment were put through. You can also specify the ISIN Code of the fund.
- The ID of the unitholder involved in the transaction.
- The bank to which the payment is directed, from which the unit holder will cash the payment instrument
- The branch of the selected bank where the payment is drawn
- In case of Redemption payments, the dates of the transaction, in the 'Transaction From Date' and 'Transaction To Date' fields.

Click the Refresh button, in the Action list. The details of the check are displayed in the grid portion of the screen

### Type of Transaction

*Alphanumeric, Mandatory*

Specify the type of transaction for which you wish to track the cheque. The options are:

- Dividend
- Redemption
- Bonus
- Entity Commission

### Transaction Number

Specify the transaction number from the adjoining option list.

### Payment Number

Specify the payment number from the adjoining option list.

### Reference Number

Specify the reference number from the adjoining option list.

### Fund ID

*Mandatory*

Specify the ID of the fund in which the transaction was put through.

### UnitHolder ID

*Mandatory*

Select the ID of the unitholder by clicking on the Advanced Summary button. This invokes the Find Options where you can search for the specified UH that you want to select.

Click 'Search' button. In the 'New' mode check dividend payments which are not cleared are displayed in the grid below.

Cheque Tracking Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized  Open

Type of Transaction  Transaction Number

Fund ID  Payment Number

Unit Holder ID  Reference Number

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Type of Transaction	Transaction Number	Fund ID	Payment Number	Unit Holder ID	Reference Number	Cheque Amount
------------	------	---------------------	--------------------	---------	----------------	----------------	------------------	---------------

Exit

The following additional fields are displayed:

### **Payment Number**

#### *Display*

All the related payment numbers that satisfy the search criteria are available in the drop-down list.

### **Transaction Number**

#### *Display*

If dividend tracking is done at transaction level, then all the related transaction numbers are displayed in the drop-down list.

Besides the above, the following fields are displayed :

- Reference number
- Cheque amount
- Cheque currency
- Cheque date
- Cheque number
- Drawee bank
- Drawee branch
- Cheque status
- Sys reference number
- MICR code

### **Duplicate**

#### *Optional*

Check this option to indicate that the cheque must be reissued again. This field is applicable only for 'Amend' mode.

If you check this option, the following two additional fields will be displayed on the screen:

- New Cheque Number: Enter the number of the re-issued cheque.
- New Issue Date: Enter the new date of the re-issued cheque.

The status of the existing cheque will be updated as Invalid, Lost, Cancelled, Stopped, Bounced or Duplicate, as specified by you and mark the status of new record as ACTIVE.

Click 'Ok' button. The system will fetch all the records that satisfy the search criteria. Select 'New' from the Actions menu in the Application tool bar or click new icon.

### 5.34.2 Invoking Cheque Tracking Detail Screen

To invoke this screen, type UTDCHQTR in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Cheque Tracking Detail' window. It has a title bar with a 'Save' button. The main area contains the following fields and controls:

- Type of Transaction \***: A dropdown menu with 'Select' as the current value.
- Reference Number**: A text input field.
- Fund ID \***: A text input field with a magnifying glass icon.
- ISIN Code**: A text input field.
- Unit Holder ID \***: A text input field.
- Find**: A blue button.
- Payment Number**: A text input field with a magnifying glass icon.
- Transaction Number**: A text input field with a magnifying glass icon and an 'OK' button below it.
- Drawee Bank \***: A text input field with a magnifying glass icon.
- Drawee Branch \***: A text input field with a magnifying glass icon.
- Cheque Date \***: A date picker showing 'MM/DD/YYYY'.
- Cheque Amount**: A text input field with a magnifying glass icon.
- Cheque Number \***: A text input field.
- Cheque Currency**: A text input field.
- Cheque Status \***: A dropdown menu with 'Active' as the current value.
- MICR Code \***: A text input field.

The bottom section contains a table for user authorization:

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

There is a 'Cancel' button in the bottom right corner.

The following details as specified in the Cheque Tracking Summary screen are displayed:

- Type of Transaction
- Reference Number
- Fund ID
- Transaction Number
- Payment Number

#### Drawee Bank

*Alphanumeric, Mandatory*

Select the name of the bank where the cheque is drawn, from the drop down list.

#### Drawee Branch

*Alphanumeric, Mandatory*

Select the branch of the selected bank where the cheque is drawn.

#### Cheque Number

Specify the number of the cheque.

#### Cheque Date

*Date, (dd-mm-yyyy) Mandatory*

Specify the date on which the cheque is drawn.

#### Cheque Currency

*Display*

The date on which the cheque is drawn is displayed here.

## Cheque Amount

### Display

The amount for which the cheque is drawn is displayed here.

## Cheque Status

Indicate the status of the Cheque. In the New mode, only 'Active' status will be allowed.

## MICR Code

### Alphanumeric, Mandatory

Enter the MICR code of the cheque.

In the 'Amend' mode, system will display all Cheque Dividend Payments, which are not cleared along with details like Cheque number and Cheque Date. If you want to re-issue a cheque, check the option 'Duplicate'. In such cases, you need to specify the new cheque number, cheque date and status of the previous cheque must be specified. For dividend cheques, date can not be less than the dividend payment date. Once a status of Cheque record is marked as 'CLEARED' or 'REINVESTMENT', you cannot amend this record. To invoke this screen type UTSCHQTR in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Input by	DateTime	Mod No	Open	Authorized

In the 'Edit' mode, you can edit the existing check number and check date only if the record selected for edit is unauthorized. Once a status of Cheque record is marked as 'CLEARED' or 'REINVESTMENT', you cannot edit this record.

### 5.34.2.1 Reinvestment Processing for Expired Cheques

The following Unit holder - Fund dividend payment records will be considered for processing reinvestments:

- The option 'Auto Reinvestment for Unclaimed cheque' is checked
- Partial or complete Unit holder dividend payment has been done by dividend Cheques.
- Dividend Payment Status is A – ACTIVE
- Cheque Date and the Cheque Expiry Period is less than or equal to application date.
- The option 'Auto Reinvestment for Unclaimed cheque with Zero Balance' is checked Or the option 'Auto Reinvestment for Unclaimed cheque with Zero Balance' is unchecked and Unit holder has a balance in the underlying fund.

If all the above mentioned conditions are satisfied, system initiates a reinvestment transaction for the unit holder – Fund combination.

- If Cheque expiry date is a holiday then system picks up this record on the next business day for reinvestment processing.
- Transaction date for this reinvestment transaction will be defaulted with the application date.
- The transaction will be identified with the sub type U – Unclaimed Dividend Reinvestment.
- System will update the check status in ConsolidatedChequeTbl as R – Reinvestment for Unclaimed Cheque once the reinvestment is processed.
- System will not process reinvestments for unclaimed unit holder – dividend payments, where Fund has been closed on or before the check expiry date.



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## 6. Adjustment and Amount Block Transactions

The system provides a facility to capture transactions for which a specific price, other than the prevalent transaction base price at the time of entry, is applicable. These transactions are typically representative of holdings of an investor in any external agency of any kind, which need to be reflected in the system. They are known as adjustment transactions.

Typically, for such transactions, no processing is done in the system with respect to computation of charges or fund prices. All these computations are done externally and the information is only captured as data in the FC-IS system.

This chapter contains the following section:

- [Section 6.1, "Adjustment Redemption Transaction Detail Screen"](#)
- [Section 6.2, "Adjustment Redemption Transaction Summary"](#)
- [Section 6.3, "Adjustment Subscription Transaction Detail"](#)
- [Section 6.4, "Adjustment Subscription Transaction Summary"](#)
- [Section 6.5, "Block Transactions by Amounts"](#)
- [Section 6.6, "Unblock Transactions by Amounts"](#)
- [Section 6.7, "Redeeming Units for Unblocked Amounts"](#)

### 6.1 Adjustment Redemption Transaction Detail Screen

This section contains the following topics:

- [Section 6.1.1, "Invoking Adjustment Redemption Transaction Detail Screens"](#)
- [Section 6.1.2, "Load Details Button"](#)
- [Section 6.1.3, "Payment Details Button"](#)
- [Section 6.1.4, "Document Details Button"](#)

#### 6.1.1 Invoking Adjustment Redemption Transaction Detail Screens

You can capture new adjustment transactions through the Adjustment Subscription (for subscriptions into the fund) and the Adjustment Redemption screens (for redemption from the fund). You can invoke the 'FCIS Adjustment Redemption Transaction Detail' screen by typing 'UTDADJ03' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the Adjustment transactions. Click on new record button, to enter details of a new record.

To enter an adjustment transaction in the adjustment transaction detail screens,

1. Specify the CIF unit holder for whom this adjustment transaction is being captured, in the Unit Holder field. When you do this, the following information is retrieved from the unit holder's account details and displayed in this screen. This information will be reckoned as default, unless you change any of it when you enter the transaction:

**Transaction Intermediary:** The unit holder's default broker or transaction intermediary is displayed here, and you can change the broker.

**Transaction Currency:** The unit holder's preferred currency is displayed here, and will be deemed as the default currency for the adjustment transaction. You can change it when you enter the transaction.

2. In the Transaction Information section, specify the following :

Select the fund, from the option list in the Funds Field. When you do this, the fund base currency is displayed in the Fund Currency field. Also, all the loads mapped to this fund that have a processing frequency that is different from transaction time loads and allocation time loads, are displayed. You can also specify the ISIN Code of the fund.

Specify the number of units in the Units field.

The specific price for the transaction, in the Adjustment Price field. When you specify the price, on clicking the Calculate button, the system calculates the transaction amount and displays it in the Transaction amount field. If you specify the amount, it must be a multiple of the units and price that you have specified.

The system obtains the exchange rate applicable and it is displayed in the Exchange Rate Applied field. It also calculates the transaction amount in fund base currency and displays it in the Amount (Fund Currency) field. You can override the exchange rate.

The type of adjustment transaction, in the Adjustment Type field.

Select the preferred mode of payment, in the Payment Mode Description field from the drop down list.

In the Load Details section, specify the Load Description and the Load Amount, for each load that is applicable for the transaction. If you do not specify the value of any or all of the loads, then the value is deemed as zero (or nil) in the system.

Specify the payment details, according to the selected mode of payment, in the Payment Details section. The Payment details screen is available on selection of Payment Mode

In the Document Details section, specify the document id of the unit holder. You can either enter the document id or choose the same from the option list provided. This section will be enabled only if your installation is integrated with DMS.

Save the transaction by clicking 'Ok' button.

### **6.1.1.1 User Information Section**

In this section, specify the details of the CIF customer or the investor that has requested for the transaction.

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#### **Note**

- To retrieve a CIF customer number or a unit holder number, click Find UH.
  - To enter a transaction for an investor that is attached to a CIF customer, first specify the number of the CIF customer in the CIF Number field, and then select the number of the required unit holder in the Unit Holders for CIF field.
  - To enter a transaction for an investor that is not attached to a CIF customer, specify the number of the required unit holder in the Unit Holder field.
- 

#### **CIF Number**

*Alphanumeric, Optional*

If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field.

#### **Unit Holders for CIF**

*12 Characters Maximum, Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder for whom the transaction request is being entered.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in the drop down list in this field. You can make your choice from this list.

If you have selected a unit holder for the selected CIF using the Find link, the name and number of the selected unit holder is displayed here.

#### **Unit Holder ID**

*12 Characters Maximum, Alphanumeric, Mandatory*

If the transaction is being entered for a unit holder that is not under a CIF Number, specify the same in this field.

If you have selected a unit holder using the Find link, the number of the selected unit holder is displayed here.

If you have specified a CIF Number and selected a unit holder for the CIF, then the selected unit holder number is displayed here. It cannot be changed.

The unit holder specified here must belong to the same agency branch from where the adjustment transaction is being entered, if cross branching is not allowed for the agency branch.

#### **Unitholder Name**

The system displays the name of the unit holder along the Unit Holder ID field.

### **Transaction Information Section**

#### **Reference Number**

*System generated information, display only.*

For all adjustment transactions, the system affixes the following alphanumeric value as the reference number:

XADJTXN02SYSTEMX (For subscription adjustment transactions)

XADJTXN03SYSTEMX (For redemption adjustment transactions)

The reference number will be used to identify the adjustment transaction uniquely in the system.

#### **Transaction Date**

*Date, Mandatory*

Specify the date on which the adjustment transaction is accepted in the system. By default, the application date is displayed here.

If backdating is allowed for the fund, then the user can enter a date that is between the application date and the backdating limit specified for the Fund in the Transaction Processing Rules setup for this transaction type. Further, if the back dating period is specified for the fund, then this limit will override the limit specified for the fund.

#### **Fund ID**

*6 Character Maximum, Alphanumeric, Mandatory*

Select the name of the fund in which the specified unit holder wishes to subscribe, from the list provided. The drop down list is populated based on the unit holder specified, in the following manner:

The nationality of the specified unit holder is reckoned from the information provided in the unit holder's account profile. Only those funds that contain the country of domicile of the unit holder in their Fund Residency list are populated here.

Only funds that belong to the AMC of the specified unit holder are populated here.

#### **Fund Name**

When you specify the name of the fund, the Name of the fund is displayed in the Fund Name field.

**ISIN Code**

*Fund Identification Number*

*12 Characters Maximum; Alphanumeric; Mandatory*

Select the Fund Identification Code of the selected fund. If you specify the Code of a fund, the name of the fund is displayed in the Fund field.

**Fund Base Currency**

*Display Only*

The base currency of the specified fund is displayed here.

**Transaction Currency**

*Alphanumeric, Mandatory*

Select the currency in which the payments for the adjustment transaction will be made or accepted. The drop down list contains currencies that are valid as transaction currencies for the fund, from the Fund Transaction Currency list.

If the specified unit holder's currency is a valid transaction currency for the fund, it is displayed here by default. If not, the Fund Base Currency is displayed here by default. In either case, the unit holder can alter the currency and specify any currency from the list.

**Currency Name**

*Display only*

Once you have specified the Transaction currency applicable for the adjustment transaction, the name of the currency is displayed in this field.

**Units**

*Numeric, Mandatory*

Specify the number of units applied for by the unit holder in the adjustment transaction.

**Price Details**

*Numeric, Mandatory*

Specify the details of the price to be applied for this adjustment transaction. It will be reckoned to be in the Fund Base Currency.

**Amount**

*Numeric, Optional*

When you specify the units applied and the adjustment price, the system computes the adjustment transaction amount and displays it in this field.

**Amount in Fund Base Currency**

*Display Only*

When you specify an amount as the transaction value, the system computes the equivalent of the same in the base currency of the selected fund and displays it here.

**Exchange Rate Source**

*Alphanumeric, Mandatory*

Select the exchange rate source from which the exchange rates are to be derived for the adjustment transaction. The default source for the AMC is displayed here, from the Defaults Maintenance.

**Override Exchange Rate?**

*1 Character Maximum, Boolean, Mandatory*

Select 'Yes', if you want to override the computed exchange rate.

### **Calculate link for Exchange Rate Calculation**

To compute the exchange rate that will be applied for the adjustment transaction, click 'Calculate' button. The system computes the exchange rate and displays it in the Exchange Rate Applied field.

### **Exchange Rate Applied**

*Numeric, Mandatory; 21 Characters*

The actual exchange rate applied is computed by the system using the transaction currency, fund base currency and the value of the adjustment transaction, and displayed here. This rate can be overridden if the Override Exchange Rate box is checked.

If this applied exchange rate is overridden, the overridden value must fall within the fluctuation range allowed for the transaction currency - fund base currency pair, in the Currency Pair Setup records.

### **Adjustment Type**

*Alphanumeric, Mandatory*

Select the mode in which the units have resulted (or the origin of the units) in the Adjustment Type field. You can choose any of the following:

- Adjustment Transaction
- Bearer Shares
- Insurance Units

### **Payment Mode Description**

*Alphanumeric, Mandatory*

Select the mode in which the payment must be made or received, from the drop down list. If the adjustment transaction currency is EURO, then the mode chosen cannot be Cash.

If the mode of payment chosen here is cash, all the bank details fields and the check or credit card related fields will be disabled.

### **Remarks**

*255 Characters Maximum, Alphanumeric, Optional*

Enter any text explaining or relating to the adjustment transaction.

Tick the Details check box to activate the following tabs : Add Info / Document Details / Load Details / Broker Details.

## 6.1.2 Load Details Button

Load ID *	Load Description *	Amount *

### Load Description

*Alphanumeric, Optional*

Select the load that is applicable for the adjustment transaction. When you specify the fund in the Fund field, all loads mapped to the selected fund with processing frequency that is different from transaction time loads and allocation time loads (i.e., with processing frequency as 'F'), are populated in this field.

### Load Amount

*Alphanumeric, Optional*

Specify the load amount applicable for the selected load description, for the adjustment transaction. If you do not enter a load amount in this field, the system reckons the load to have a zero value. The load amounts that you specify here will not be processed at the time when the adjustment transaction record is inserted into the allocation tables

### The Transaction Intermediary Tab

If a broker has been identified as an intermediary for the transaction, then you must identify the same in this section, along with the commission percentage split for the broker.

If brokers are designated as mandatory for the fund in which the transaction is being put through, then you must specify at least one broker as mandatory information in this section. If brokers are not mandatory for the fund, and you do not specify any broker in this section, then the system reckons the broker as DIRECT and designates the same as the default broker.

### Entity Type

*Mandatory*

Select the entity type from the drop-down list. The list displays the following values:

- Agent
- Broker Code
- IFA
- Account Officer
- Broker

### Entity ID

*Alphanumeric, Optional*

Select the entity ID that has been identified as the intermediary for the transaction.

### Entity Name

*Display Only*

The system displays the entity name for the selected Entity ID.

### Parent Entity Name

*Display Only*

The system displays the parent entity name for the selected entity ID.

### Split Percentage

*Numeric, Optional*

Specify the percentage of total commission that is to accrue to the selected broker. The sum of all the percentages specified for any brokers identified for the transaction must equal one hundred percent.

### From Or To Leg

*Mandatory*

Select From or To leg from the drop-down list. The list displays the following values:

- From
- To

To add a new row at the bottom of the grid in this section, click the Add link.

## 6.1.3 Payment Details Button

Payment Details

Transaction Number *	Payment Reference Number
Unit Holder ID *	Cheque Date
Payment Amount	Pledgee Branch
Paid Date	Third Party Reference
Check Number	Account Type
Bank	Branch Code
Third Party Address	Transfer Reference Number
Third Party US State	Credit Card Ref No
Third Party Zip Code	Entity ID
Account Currency	SUBPAYMENTMODE
Account Number	IBAN
Payment Mode	
Payment Type	

Ok Exit

The payment details include the following:

The type of payment i.e., whether the payment is being made by the unit holder that has requested the transaction or by an external third party.

The details of the bank and branch of the bank for the payment



The details of any payment instruments such as checks, the number, date and the clearing date.

In the case of payment by account transfer, the details of the bank account to which /from which the payment is being made.

### **Payment Details for Mode of Payment as Check**

Capture the following details if the mode of payment chosen is check, credit card or demand draft:

#### **Bank**

*Alphanumeric, Mandatory*

Specify the name of the bank where the payment instrument is drawn, if the mode of payment is Check, Credit Card or Demand Draft.

#### **Branch**

*Alphanumeric, Mandatory*

Specify the branch of the selected bank where the payment is drawn, if the mode of payment is Check or Demand Draft.

#### **Check Number/Credit Card Number/Demand Draft Number**

*16 Characters Maximum, Alphanumeric, Mandatory*

Specify the number of the payment instrument, either the check, the credit card or the demand draft.

#### **Check Date/Credit Card Date/Demand Draft Date**

*Date, Mandatory*

Specify the date on which the check or demand draft is drawn, or the credit card payment is made.

#### **Clearing Date**

*Date, Optional*

Specify the date on which the check is expected to be cleared.

The clearing date should not be earlier than the check/ demand draft date, and must not be a designate holiday in the system.

### **Payment Details for Transfer Mode of Payment**

The following details must be captured if the Mode of Payment chosen is Transfer:

The default bank account details for the unit holder may be retrieved by clicking the Default button, and any other bank accounts defined for the unit holder may be retrieved by clicking the Others button.

#### **Bank**

*Alphanumeric, Mandatory*

Specify the name of the bank from which the account transfer payment is being made for the adjustment transaction.

#### **Branch**

*Alphanumeric, Mandatory*

Specify the branch of the selected bank from which the account transfer payment is being made for the adjustment transaction.

**Account Type**

*Alphanumeric, Mandatory*

Select the account type of the transfer account.

**Account Currency**

*Alphanumeric, Mandatory*

Select the currency of the transfer account. This currency must be the same as the transaction currency. If this is not so, the unit holder must specify an account in which the account currency is the same as the transaction currency.

**Account Number**

*15 Character Maximum, Alphanumeric, Mandatory*

Specify the account number of the transfer account.

**Payment Details for Transfer Mode of Payment**

Capture the following details if the mode of payment chosen is transfer:

**Payment Type**

*Alphanumeric, Mandatory*

The payment type refers to whether the payment is being made by the unit holder who has requested for the transaction or by an external third party. Accordingly, select "self" if the unit holder is making the payment, and select "third party" if the payment is being made by an external party other than the unit holder.

**Maintained Bank Accounts**

*Alphanumeric, Mandatory*

All the bank accounts that have been maintained for the selected unit holder are displayed in the drop down list in this field. You must choose the one that will be used to make the payment. When you do, all the details of the selected account are displayed in the corresponding fields in this section.

**Bank**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the name of the bank in which the account resides is displayed here.

**Branch**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the name of the branch of the bank in which the account resides is displayed here.

**Account Number**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the account number of the transfer account is displayed here.

**Account Type**

*Display Only*

When you select the bank account of the unit holder that is being used to make the payment, the type of the transfer account is displayed here.

**Account Currency***Display Only*

When you select the back account of the unit holder that is being used to make the payment, the currency of the transfer account is displayed here.

This currency must be the same as the transaction currency. If this is not so, the unit holder must specify an account in which the account currency is the same as the transaction currency.

**Account Holder Name***Display Only*

When you select the back account of the unit holder that is being used to make the payment, the name of the holder of the transfer account is displayed here.

**Account Holder***Alphanumeric, Mandatory*

Specify the name of the account holder of the transfer account.

**IBAN***40 Characters Only; Alphanumeric; Optional*

Specify the IBAN (International Bank Account Number) of the account holder.

**The Certificate Details Section**

You can capture details of certificates involved in the transaction, in this section.

You must capture the certificate details as mandatory information for a transaction in the following circumstances:

For all transactions involving scrip-based funds.

For all scrip-less funds in which the certificate option is available, and the unit holder requests for the issue of certificates.

The minimum and maximum certificate denominations maintained for the fund in which the transaction is being put through are retrieved and displayed here. If user overrides are designated as available in the Shares Characteristics rule for the fund, then you can override these values in this section when you are entering a transaction.

You can capture the numbers of the certificates involved in a transaction. Partial usage of the units in an issued certificate is only permissible for redemption, switch, transfer, block and unblock transaction types.

**Minimum Denomination***Numeric, Mandatory*

This is the least number of units or the minimum lot that would comprise a single certificate. This value is maintained in the Shares Characteristics rule for the fund, and is displayed here. If user overrides are designated as allowed in the Shares Characteristics rule, you can override this value and specify the required minimum lot.

**Maximum Denomination***Numeric, Mandatory*

This is the highest number of units or the maximum lot that would comprise a single certificate. This value is maintained in the Shares Characteristics rule for the fund, and is displayed here. If user overrides are designated as allowed in the Shares Characteristics rule, you can override this value and specify the required minimum lot.

**Certificate Number**

*Alphanumeric, Mandatory*

Specify the number of the certificate that is to be redeemed, switched, transferred, blocked, unblocked, split, consolidated or reissued, as the case may be.

When you specify the certificate number, the number of units contained in it is displayed in the Units field.

**Units**

*Display Only*

When you specify the certificate number, the number of units contained in it is displayed in this field.

**Partial?**

Select this option to indicate that only a portion of the units contained in the certificate must be used for the transaction.

For certificates that are being redeemed, switched, transferred, blocked or unblocked, you can either use the whole portion of units or a part, as requested by the unit holder.

For certificates that are being split, consolidated or reissued, partial usage of the number of units contained in the certificate is not permissible.

**Delete?**

*Optional*

Select this option to mark the selected row as inapplicable for the transaction.

To delete any given row in the grid, check the Delete? check box, and then click the Delete link at the right bottom of this section. The checked rows are deleted. If you delete a row in which a certificate number has been specified, then that certificate is not reckoned as part of the transaction.

To add a new row at the bottom of the grid in this section, click the Add link.

**The Allocation Details Section**

After the adjustment transaction has been authorized and the allocation details generated in the system, you can view these details in this screen, in this tab. The following information is displayed:

**Date Allotted**

This is the date on which the units were allotted by the fund manager for the given adjustment transaction.

**Units Allotted**

This is the number of units allotted by the fund manager for the given adjustment transaction.

**Units Confirmed**

This is the number of units confirmed by the fund manager for the given adjustment transaction.

**Units Rejected**

This is the number of units rejected, (if any), by the fund manager, for the given adjustment transaction.

### **Provisional Shares**

This is the number of provisional shares allocated in respect of the transaction by the Fund Manager. Provisional shares are allocated for transactions, the payment instrument in respect of which is pending clearance.

## **6.1.4 Document Details Button**

Document Management System or DMS is used to scan and store documents like Account Opening form, Transaction form, Identity Proof etc. In this section, you can specify the document type for the unit holder. The document types can be maintained in the System Parameters Maintenance screen.

*For further information refer to the chapter 'Maintaining System Parameters'*

Access this section through the Document Details section.

### **Document ID**

*Optional*

You can either enter the document ID in this field or choose the document ID from the option list.

### **Document Type**

*Display*

When you enter or choose the document id, this field will be updated.

### **Document Description**

*Display*

When you enter or choose the document id, this field will be updated.

---

#### **Note**

The Document Details Section will be enabled only if your installation is integrated with DMS.

---

## **6.2 Adjustment Redemption Transaction Summary**

This section contains the following topics:

- [Section 6.2.1, "Retrieving a Record in Adjustment Redemption Transaction Summary Screen"](#)
- [Section 6.2.2, "Editing Adjustment Redemption Transaction Record"](#)
- [Section 6.2.3, "Viewing Adjustment Redemption Transaction Record "](#)
- [Section 6.2.4, "Deleting Adjustment Redemption Transaction Record"](#)
- [Section 6.2.5, "Authorizing Adjustment Redemption Transaction Record "](#)
- [Section 6.2.6, "Amending Adjustment Redemption Transaction Record "](#)
- [Section 6.2.7, "Authorizing Amended Adjustment Redemption Transaction Record "](#)

### **6.2.1 Retrieving a Record in Adjustment Redemption Transaction Summary Screen**

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the 'Adjustment Redemption Transaction Summary' screen by typing 'UTSADJ03' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details.

The status of the record in the Authorization Status field. If you choose the 'Blank Space' option, then all the records are retrieved.

- The status of the record in the Record Status field. If you choose the 'Blank Space' option, then all records are retrieved
- Transaction Number
- Unit Holder ID
- Transaction Date
- Fund ID
- Transaction Type

Click 'Search' button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

---

### Note

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

- Press F7
  - Input the Transaction Type
  - Press F8
- 

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value

## 6.2.2 **Editing Adjustment Redemption Transaction Record**

You can modify the details of Adjustment Redemption Transaction record that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Adjustment Redemption Transaction Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.

Click Save to save your changes. The Adjustment Redemption Transaction Detail screen is closed and the changes made are reflected in the Adjustment Redemption Transaction Summary screen.

## 6.2.3 **Viewing Adjustment Redemption Transaction Record**

To view a record that you have previously input, you must retrieve the same in the Adjustment Redemption Transaction Summary screen as follows:

- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorization Status field. You can also view all records that are either unauthorized or authorized only, by choosing the unauthorized / Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Adjustment Redemption Transaction Detail screen is displayed in View mode.

## 6.2.4 **Deleting Adjustment Redemption Transaction Record**

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Adjustment Redemption Transaction Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

### **6.2.5 Authorizing Adjustment Redemption Transaction Record**

- An unauthorized Adjustment Redemption Transaction record must be authorized in the system for it to be processed. To authorize a record:
- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Adjustment Redemption Transaction Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

### **6.2.6 Amending Adjustment Redemption Transaction Record**

After a Adjustment Redemption Transaction record is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Adjustment Redemption Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details in the corresponding fields on the screen.
- Click 'Search' button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Adjustment Redemption Transaction screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes

### **6.2.7 Authorizing Amended Adjustment Redemption Transaction Record**

An amended Adjustment Redemption Transaction record must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The subsequent process of authorization is the same as that for normal transactions.

## **6.3 Adjustment Subscription Transaction Detail**

This section contains the following topics:

- [Section 6.3.1, "Invoking Adjustment Subscription Transaction Detail Screen"](#)



### 6.3.1 Invoking Adjustment Subscription Transaction Detail Screen

You can invoke the 'FCIS Adjustment Subscription Transaction Detail' screen by typing 'UTDADJ02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

For further details on the screen, please refer 'Invoking Adjustment Redemption Transaction Detail Screens' section in this user manual.

## 6.4 Adjustment Subscription Transaction Summary

This section contains the following topics:

- [Section 6.4.1, "Invoking Adjustment Subscription Transaction Summary Screen"](#)
- [Section 6.4.2, "Retrieving Transaction in Transaction Summary Screens"](#)
- [Section 6.4.3, "Editing Adjustment Transaction"](#)
- [Section 6.4.4, "Viewing Adjustment Transaction"](#)
- [Section 6.4.5, "Deleting Adjustment Transaction"](#)
- [Section 6.4.6, "Authorizing Adjustment Transactions"](#)
- [Section 6.4.7, "Amending Adjustment Transaction"](#)

### 6.4.1 Invoking Adjustment Subscription Transaction Summary Screen

The adjustment screen also provides you with ability to perform actions on previously stored or incomplete transactions. You can perform the actions of editing, viewing, authorizing, the details of a transaction. You can also authorize a previously saved adjustment transaction and apply a modification to an authorized transaction. The summary screens can be accessed by

logging into the Agency Branch module of the browser. You can invoke the 'FCIS Adjustment Subscription Transaction Summary' screen by typing 'UTSADJ02' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

## 6.4.2 Retrieving Transaction in Transaction Summary Screens

You can perform all these operations through the Adjustment Transaction Summary screens. You can retrieve a previously entered adjustment transaction in the Summary screen, as follows:

In the browser, select the Adjustment Subscription Summary or the Adjustment Redemption Summary options, from the Transaction menu category of the Agency Branch module. Specify any or all of the following parameters:

- The status of the transaction in the Authorized field. If you choose the "Blank Space" option, then all the transactions are retrieved.
- The status of the Transaction in the Open field. If you choose the "Blank Space" option, then all the transactions are retrieved.
- The unit holder ID
- The number of the adjustment transaction, in the Adjustment Transaction Number field.

After adjustment transactions are entered into the system, you can perform any of the following operations:

- Edit or delete them, provided they are still unauthorized.
- Retrieve and view them.
- Have them authorized by another user.

### 6.4.3 **Editing Adjustment Transaction**

You can modify the details of an adjustment transaction that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- In the main menu, invoke the Transaction menu. Select Adjustment transaction type, choose the Summary option. The Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for modification. You can only modify records of transactions that are unauthorized. Accordingly, choose the unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be modified, specify any or all of the details of the transaction in the corresponding fields on the screen. All unauthorized transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction type that you want to modify in the list of displayed transactions, in the lower portion of the screen
- The Adjustment Transaction Detail screen is opened by double clicking on the selected row, with the selected transaction displayed.
- To modify the record you can select the Unlock operation from the drop down Actions List

You can modify the required details for an unauthorized transaction:

- The date.
- The reference number
- The unit holder (including the To Client Information in the case of transfer transactions)

Accordingly, modify the necessary information, and click the Save button to save your changes.

The Transaction Detail screen is closed and the changes made are reflected in the Transaction Summary screen.

### 6.4.4 **Viewing Adjustment Transaction**

To view a transaction that you have previously entered, you must retrieve the same in the 'Adjustment Transaction Summary' screen, as follows:

- From the main menu, invoke the Transaction menu. Select adjustment transaction type, and choose the Summary option. The Adjustment Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for viewing. You can view records of transactions that are:
  - Unauthorized
  - Authorized
  - Allotted
  - Un-allotted
  - Amended after allocation
  - Amended before allocation
  - Rejected
- You can also view all transactions that are either unauthorized or authorized only, by choosing the Unauthorized / Authorized option.

- To retrieve the adjustment transaction that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the adjustment transaction that you want to view in the list of displayed transactions, in the lower portion of the screen
- The Transaction Detail screen is opened by double clicking the selected transaction, with the selected transaction displayed in view mode

#### **6.4.5 Deleting Adjustment Transaction**

You can delete only unauthorized adjustment transactions in the system.

To delete an adjustment transaction that you have previously entered, you must retrieve the same in the 'Transaction Summary' screen, as follows:

- From the main menu, invoke the Transaction Input menu. Select Adjustment transaction type and choose the Summary option. The Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the adjustment transaction that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All adjustment transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the transaction that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Adjustment Transaction Detail screen is opened by double clicking on the selected row in view mode, with the selected transaction displayed
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

#### **6.4.6 Authorizing Adjustment Transactions**

When you authorize an adjustment transaction, it not only acquires the Authorized record status, but it also becomes an "allotted" transaction. The number of units applied is allotted, with no processing for the load amounts.

For instance, if an adjustment subscription transaction is entered for a unit holder in a fund as follows:

Units applied: 1000

Adjustment price: 20 USD

Transaction amount: 20000 USD

Load amounts: 15

When you authorize this transaction, it is allocated immediately as follows:

Units allocated: 1000

Units confirmed: 1000

Load amounts: 15.

No processing is done for the load amounts, and the prevalent transaction base price at the time of allocation is not used. The adjustment price is used.

- To authorize an adjustment transaction, you must first retrieve the same in the Summary screen. You can retrieve a previously entered transaction in the Summary screen, as follows:
  - In the Operation field, select the Authorize option from the drop-down list. If you choose the “Blank Space” option, then all the adjustment transactions that involve the specified unit holder are retrieved.
  - In the Status field, select the status of the transaction that you want to retrieve for authorization. Typically, choose the unauthorized option from the drop down list. If you choose the “Blank Space” option, then all the adjustment transactions that involve the specified unit holder are retrieved.
  - If you are a Fund Manager Component user, and you are authorizing transactions that have been amended, then only two options are available in this field – Amended before Allocation and Amended After Allocation. Choose the required option.
- To retrieve the transaction that is to be authorized, specify any or all of the details of the transaction in the corresponding fields on the screen, and click ‘Search’ button. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- To authorize any single transaction that has been retrieved Click the Authorize option from the action list Records button to complete the authorization.
- To mark all retrieved records for authorization, click the Mark All for Authorize link. Then click the Authorize Marked Records button to complete the authorization.

#### **6.4.7 Amending Adjustment Transaction**

After a transaction is authorized, it cannot be modified using the Edit operation. To make changes to a transaction after authorization, you must invoke the Unlock operation, which is termed as the Amend operation.

You can amend an authorized transaction by:

- From the main menu select Agency Branch, invoke the Transaction menu. From Adjustment Transaction, choose the Summary option. The Adjustment Transaction Summary screen is opened.
- In the Authorized field, select the status of the adjustment transaction that you want to retrieve for amendment. You can only amend records of transactions that are authorized. Accordingly, choose any of the following options from the drop down list:
  - Authorized
  - Allotted
  - Un-allotted.
- To retrieve the transaction that is to be amended, specify any or all of the details of the adjustment transaction in the corresponding fields on the screen. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the transaction that you want to amend in the list of displayed transactions, in the lower portion of the screen, and double click the selected row. The adjustment transaction Screen is opened. Then click on the Unlock button in the Action List.
- The Adjustment Transaction Detail screen is opened in amendment mode, with the selected transaction displayed.
- You can amend the required details for a transaction provided the units in respect of the transaction have not been allocated:

- Accordingly, amend the necessary information. If required, you can specify the appropriate rejection code, if any, for the amendment, in the Reversal Code field. You can also specify any appropriate amendment remarks in the Remarks field.
- Click the Save button to save your changes.

## 6.5 Block Transactions by Amounts

This section contains the following topics:

- [Section 6.5.1, "Invoking Amount Block Detail Screen"](#)
- [Section 6.5.2, "Escalation Details Button"](#)

### 6.5.1 Invoking Amount Block Detail Screen

You can invoke the 'FCIS Amount Block Detail' screen by typing 'UTDAMT06' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

#### 6.5.1.1 Client Information Section

In this section, specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

#### **Note**

- To retrieve a CIF customer number or a unit holder number, click 'Find UH' button.
- To enter a transaction for an investor that is attached to a CIF customer, first specify the number of the CIF customer in the CIF Number field, and then specify the identity number of the required unit holder in the Unit Holders ID field.

- To enter a transaction for an investor that is not attached to a CIF customer, specify the number of the required unit holder in the Unit Holder field.
- 

### **CIF Number**

*Alphanumeric, Optional*

If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field.

### **Unit Holder ID**

*12 Characters Maximum, Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder for whom the transaction request is being entered.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in the drop down list in this field. You can make your choice from this list.

If you have selected a unit holder for the selected CIF using the Find link, the name and number of the selected unit holder is displayed here.

### **Unit Holder Name**

*12 Characters Maximum, Alphanumeric, Mandatory*

If the transaction is being entered for a unit holder that is not under a CIF Number, specify the same in this field.

If you have selected a unit holder using the Find link, the number of the selected unit holder is displayed here.

If you have specified a CIF Number and selected a unit holder for the CIF, then the selected unit holder number is displayed here. It cannot be changed.

The unit holder specified here must belong to the same agency branch from where the adjustment transaction is being entered, if cross branching is not allowed for the agency branch.

The system displays the name of the unit holder alongside this field.

## **6.5.1.2 Other Details section**

### **Block / Unblock ID**

*System Generated Information*

Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID.

For a single Block ID, multiple unblock transactions can be entered and processed.

At the time of entering an amount unblock transaction, the Block ID will be available for selection in the dropdown (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.

## Block ID

### *System Generated Information*

This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled.

The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNNN

Where,

TT-Transaction type ("11" for amount block transactions, "12" for amount unblock transactions)

YYYY-Year of processing

JJJ- Julian date

NNNNNNN-Running sequence number for the day

If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made.

---

### Note

For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.

---

## Block Currency

The currency of the amount that is allocated for the amount block

### External System

*Alphanumeric, Mandatory*

The options are:

- SPB
- FCC
- ONLINE

The option list should be parameterized in the system parameters under 'Amount Block External System Code '.

## Reference Number

*16 Characters Alphanumeric, Mandatory*

Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual Block ID is generated by the system.

If the reference number is designated to be a system-generated number in the Defaults Maintenance, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.



**Amount**

*Numeric, Mandatory*

Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.

**Transaction Date**

*Display only for amount block transactions, enabled and mandatory for amount unblock transactions.*

This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here.

For amount unblock transactions, you can specify either the application date or a future date.

**Pledged To**

*Alphanumeric, Optional*

Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same.

On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field.

When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.

**Fund ID**

Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed.

**Fund Name**

*Display*

The system displays the fund name.

**Fund ID**

*Alphanumeric, Optional*

This field is only applicable for amount unblock transactions and is not visible in the case of amount block transactions.

Specify the fund from which units must be redeemed (if any) for the selected unit holder when you initiate the amount unblock transaction. You will be allowed to specify only one fund here.

You must specify a fund in which the unit holder will possess holdings to the extent of the unblocked amount, after the unblock transaction has been allocated.

If you do not specify any fund in this field, then no redemption will take place in any fund, against the unblocked amount.

*Refer to the section 'Redeeming Units for Unblocked Amounts' that is found later in this chapter, for a full discussion of the redemption process.*

When you specify the fund, the ISIN Code of the fund is displayed in the ISIN Code field.

**Agent Code**

*Display Only*

The code of the Agent where the transaction is accepted is displayed here.

**Branch**

*Display Only*

The name of the Agency Branch where the transaction is accepted is displayed here.

**Remarks**

Specify if there are any remarks.

You can view the 'Escalation Detail Section' provided the client country parameter "SICREDSPECIFIC" is set to False for the installation in your bank.

## 6.5.2 Escalation Details Button

Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.

The screenshot shows a window titled "FCIS Amount Block Detail" with a close button (X) in the top right corner. Inside the window, there is a section titled "Escalation Details". This section contains several input fields and dropdown menus arranged in two columns. The left column includes "Escalation Start Date" (with a date picker icon), "Escalation Mode" (a dropdown menu), and "Escalation Frequency" (a dropdown menu with "Select Frequency" as the current selection). The right column includes "Escalation End Date" (with a date picker icon), "Escalation Value" (a text input field), "Next Escalation Date" (with a date picker icon), and "Escalation Paused" (a dropdown menu with "No" as the current selection). At the bottom right of the window, there are two buttons: "Ok" and "Cancel".

In this section, you can maintain the pattern of escalation for the amount block or unblock transaction.

---

**Note**

This section is an optional section, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

---

**Escalation Start Date**

*Date, Optional*

Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the Escalation Frequency field.

**Escalation End Date**

*Date, Optional*

Specify the date on which the last increase or escalation must occur.

The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the Escalation Frequency field.

**Escalation Mode**

*Alphanumeric, Optional*

Specify whether the increase is an amount-based escalation or percentage escalation. Select the desired type from the drop down list.

**Escalation Value**

*Optional*

Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.

**Escalation Frequency**

*Alphanumeric, Optional*

Specify the frequency at which the escalation must occur. You can select the desired frequency format from the drop down list.

**Next Escalation Date**

*Display Only*

This is the date on which the next escalation will take place. It is updated by the system based on the escalation start date and the escalation frequency in the case of a new amount block or unblock transaction. For records retrieved in the Amend mode, this date may be altered in the amend session.

**Escalation Paused**

*Optional*

If you want the escalation to be halted for a while or a hiatus to occur, then check this box. No more escalation will occur till this box is unchecked.

*For further details, please refer 'Invoking Amount Unblock Detail Screen' section in this User Manual.*

## **6.6 Unblock Transactions by Amounts**

This section contains the following topics:

- [Section 6.6.1, "Invoking Amount Unblock Detail Screen"](#)
- [Section 6.6.2, "Escalation Details Button"](#)

### **6.6.1 Invoking Amount Unblock Detail Screen**

The FC-IS system provides the facility of accepting and processing block or unblock transactions that involve amounts across funds. It means that a specific amount portion of the investor's holdings across funds can be blocked in the system.

You can also increase (i.e., escalate) the blocked amounts at a given frequency. Also, upon specific instructions from the investor, you can also reduce the blocked amounts for the

purpose of unblocking. The unblocking could also be facilitated at any point of time and escalated at a designated frequency.

---

**Note**

For any investor, you can enter multiple transactions of the amount block type.

---

To enter and process such block transactions that involve blocking or unblocking of amounts across funds, use the 'FCIS Amount Block Detail' or 'FCIS Amount Unblock Detail' screen. You can invoke the 'FCIS Amount Unblock Detail' screen by typing 'UTDAMT07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Select 'New' from the Actions menu in the Application tool bar or click new icon to enter the details of the amount block and unblock transactions.

FCIS Amount Unblock Detail

Save

Client Information

Unit Holder ID \*  Find UH

CIF Number  Unit Holder Name

Other Details

Reference Number \*

Pledge To

Remarks

Transaction Date \* 03/09/2016

Block Unblock ID

Block Currency

Fund ID \*

Fund Name

External System \* Select External System

Amount \*

Block ID \*

Types

Mode of Payment Select Payment Mode

Payment Type Self

Sub Payment Mode

Payment Mode Description

Escalation Details

Input by	DateTime	Mod No	Open
Authorized by	DateTime		Authorized

Cancel

To enter an amount block or unblock transaction in the Detail screen,

- Specify the CIF to which the unit holder for whom the transaction is being entered belongs. Then select the unit holder account.
- If you are unblocking against a previously blocked amount transaction, specify the date of the unblocking transaction.
- Specify a unique reference number for the transaction.
- If you are entering a block transaction, specify the pledgor, if any, to whom the amount is pledged.
- Specify the amount to be blocked or unblocked for the transaction.
- If you are unblocking against a previously blocked amount transaction, specify the fund from which the units may be redeemed.
- Specify any relevant details of escalation for the amounts, as well as any payment details (for the redemption of units due to unblocking)

- Click 'Ok' button to save the transaction.

### 6.6.1.1 **Client Information Section**

In this section, specify the details of the CIF customer or the investor that has requested for the amount block or unblock transaction.

---

**Note**

- To retrieve a CIF customer number or a unit holder number, click 'Find UH' button.
  - To enter a transaction for an investor that is attached to a CIF customer, first specify the number of the CIF customer in the CIF Number field, and then specify the identity number of the required unit holder in the Unit Holders ID field.
  - To enter a transaction for an investor that is not attached to a CIF customer, specify the number of the required unit holder in the Unit Holder field.
- 

**CIF Number**

*Alphanumeric, Optional*

If the unit holder that has requested for the transaction is attached to a CIF Customer, specify the number of the CIF customer in this field. The system retrieves the name of the CIF customer and displays it alongside this field.

**Unit Holder ID**

*12 Characters Maximum, Alphanumeric, Optional. This information is mandatory if you have specified a CIF number.*

Select the unit holder for whom the transaction request is being entered.

When you specify the CIF Number, all the unit holders that fall under the CIF are displayed in the drop down list in this field. You can make your choice from this list.

If you have selected a unit holder for the selected CIF using the Find link, the name and number of the selected unit holder is displayed here.

**Unit Holder**

*12 Characters Maximum, Alphanumeric, Mandatory*

If the transaction is being entered for a unit holder that is not under a CIF Number, specify the same in this field.

If you have selected a unit holder using the Find link, the number of the selected unit holder is displayed here.

If you have specified a CIF Number and selected a unit holder for the CIF, then the selected unit holder number is displayed here. It cannot be changed.

The unit holder specified here must belong to the same agency branch from where the adjustment transaction is being entered, if cross branching is not allowed for the agency branch.

The system displays the name of the unit holder alongside this field.

### 6.6.1.2 Other Details section

#### **Block / Unblock ID**

##### *System Generated Information*

Each amount block transaction that you enter is also given what is called a Block / Unblock ID, which is used to track any future amount unblock transactions that would be requested against this amount block transaction. At the time of transaction entry of an amount block transaction, it is the same as the Block ID, and is generated using the same logic as the Block ID.

For a single Block ID, multiple unblock transactions can be entered and processed.

At the time of entering an amount unblock transaction, the Block ID will be available for selection in the dropdown (Block ID) after selecting the external system and after the saving of Unblock Transaction, the Unblock ID is generated by the system.

#### **Block ID**

##### *System Generated Information*

This is a unique number automatically assigned to each amount block transaction by the system. It is internally generated upon successful entry of the transaction and after all validations have been made. Therefore, when you enter a new amount block transaction, this field is disabled.

The transaction number generated by the system is in the format TT-YYYY-JJJ-NNNNNNNN

Where,

TT-Transaction type ("11" for amount block transactions, "12" for amount unblock transactions)

YYYY-Year of processing

JJJ- Julian date

NNNNNNN-Running sequence number for the day

If an agency branch goes offline during transaction entry, the validations cannot be made and the transaction number cannot be generated. In such a case, the reference number is the identification for the transaction till the system goes online and the validations can be made.

---

#### **Note**

For a single Block ID, multiple unblock transactions can be entered and processed. When you are entering an amount unblock transaction, the Block ID field is enabled and you can select the Block ID against which the unblock transaction is being entered, from the drop down list.

---

#### **Block Currency**

The currency of the amount that is allocated for the amount block

#### **External System**

*Alphanumeric, Mandatory*

The options are:

- SPB
- FCC

– ONLINE

The option list should be parameterized in the system parameters under 'Amount Block External System Code '.

**Reference Number**

*16 Characters Alphanumeric, Mandatory*

Specify a unique reference number that will be used to identify the amount block transaction in the system. Typically, this number is the number of the application that is used to enter this transaction. It will be the initial identification for the transaction, before the actual Block ID is generated by the system.

If the reference number is designated to be a system-generated number in the Defaults Maintenance, the system will internally generate and display this number when the transaction screen is opened, and this field is disabled.

**Amount**

*Numeric, Mandatory*

Specify the amount to be blocked against this amount block or unblock transaction. For amount block transactions, this is the amount that will be blocked across all the combination of fund and unit holder, in which the investor retains holdings. For amount unblock transactions, this is the amount that will be unblocked against the selected Block ID.

**Transaction Date**

*Display only for amount block transactions, enabled and mandatory for amount unblock transactions.*

This is the date on which you enter the amount block transaction into the system. It is reckoned to be the application date, which is displayed here.

For amount unblock transactions, you can specify either the application date or a future date.

**Pledged To**

*Alphanumeric, Optional*

Specify the entity that the blocked amount is pledged to (i.e., the pledgor). This pledgor entity that you specify here must be the same for all amount block transactions that you enter for the unit holder that you have entered in the Unit Holder field. This means that for all amount block transactions entered into by a single unit holder, the pledgor entity specified must be the same.

On the first occasion that you enter an amount block transaction for a unit holder, the pledgor that you specify will be taken as the pledgor for the subsequent amount block transactions for the same unit holder, and will be displayed by default in this field.

When you are entering an amount unblock transaction, the pledgor details that you specified for the selected Block ID are displayed here, and cannot be changed.

**Fund ID**

Select the fund for which the amount needs to be blocked from the list which displays all the funds for which amount blocking is allowed.

**Fund Name**

*Display*

The system displays the fund name.

## **Types**

### **Mode of Payment**

#### *Mandatory*

Select the mode of payment from the drop-down list. The list displays the following values:

- Money Transfer
- Cheque

### **Payment Type**

#### *Optional*

Select the type of payment from the drop-down list. The list displays the following values:

- Self
- Third Party

### **Sub Payment Mode**

#### *Mandatory*

Specify the sub payment mode.

### **Payment Mode Description**

#### *Display*

The system displays the description for the selected mode of payment.

## **Bank Details**

### **Account Type**

#### *Display*

The system displays the account type.

### **Account Number**

#### *Display*

The system displays the account number.

### **Branch Code**

#### *Display*

The system displays the branch code.

### **Account Currency**

#### *Display*

The system displays the account currency.

### **Bank**

#### *Mandatory*

Specify the bank details.

### **Account Holder Name**

#### *Mandatory*

Specify the account holder name.

### **IBAN**

#### *Mandatory*

Specify the IBAN details.



## **Third Party Details**

### **Third Party Reference**

*Mandatory*

Specify the third party reference details.

### **Address**

*Mandatory*

Specify the address details.

### **City**

*Mandatory*

Specify the city details.

### **US State/ Non-US State**

*Mandatory*

Specify the state details.

### **ZIP Code**

*Mandatory*

Specify the ZIP code.

### **US State**

*Display*

The system displays the US state details.

You can view the 'Escalation Detail Section' provided the client country parameter "SICREDSPECIFIC" is set to False for the installation in your bank.

## **6.6.2 Escalation Details Button**

Sometimes an investor may instruct the AMC to increase the blocked or unblocked amounts at pre-defined intervals. Such increase patterns are termed as escalation details.

FCIS Amount Unblock Detail

Escalation Start Date MM/DD/YYYY

Escalation End Date MM/DD/YYYY

Escalation Mode

Escalation Value

Escalation Frequency Select Frequency

Next Escalation Date MM/DD/YYYY

Escalation Paused No

Cancel

In this section, you can maintain the pattern of escalation for the amount block or unblock transaction.

---

**Note**

This section is an optional section, but if you make an entry in any field here, then all the other fields will be mandatory and you must then make your specifications in all the fields.

---

**Start Date**

*Date, Optional*

Specify the date on which the first increase or first escalation must occur. Beginning from this date, the blocked (or unblocked) amount will be increased as specified, at intervals determined by the pre-defined frequency that you specify in the Escalation Frequency field.

**End Date**

*Date, Optional*

Specify the date on which the last increase or escalation must occur.

The start date and end date taken together signify a period during which escalation of the blocked (or unblocked) amount will occur at the frequency that you define in the Escalation Frequency field.

**Escalation Type**

*Alphanumeric, Optional*

Specify whether the increase is an amount-based escalation or percentage escalation. Select the desired type from the drop down list.

**Escalation Value**

*Optional*

Enter the value by which the blocked (or unblocked) amount must be increased. At each instance when the escalation comes into effect, the blocked amount will be increased by this value.

**Escalation Frequency**

*Alphanumeric, Optional*

Specify the frequency at which the escalation must occur. You can select the desired frequency format from the drop down list.

**Next Escalation Date**

*Display Only*

This is the date on which the next escalation will take place. It is updated by the system based on the escalation start date and the escalation frequency in the case of a new amount block or unblock transaction. For records retrieved in the Amend mode, this date may be altered in the amend session.

**Escalation Paused**

*Optional*

If you want the escalation to be halted for a while or a hiatus to occur, then check this box. No more escalation will occur till this box is unchecked.

## 6.7 Redeeming Units for Unblocked Amounts

This section contains the following topics:

- [Section 6.7.1, "Processing Redemption Transactions against Unblocked Amounts"](#)

- [Section 6.7.2, "Retrieving Amount Block/ Unblock Summary Screens"](#)
- [Section 6.7.3, "Editing Amount Block/ Unblock Transaction"](#)
- [Section 6.7.4, "Viewing Amount Block/ Unblock Transaction"](#)
- [Section 6.7.5, "Deleting Amount Block/ Unblock Transaction"](#)
- [Section 6.7.6, "Authorizing Amount Block/ Unblock Transactions"](#)
- [Section 6.7.7, "Amending Amount Block / Unblock Transactions"](#)
- [Section 6.7.8, "Authorizing Amended Amount Block/ Unblock Transactions"](#)

## 6.7.1 **Processing Redemption Transactions against Unblocked Amounts**

FC-IS provides the facility of redeeming the resulting units for a unit holder when an unblock amount transaction is put through against a Block ID.

When you enter an unblock transaction for a unit holder against a Block ID, you can also specify the fund from which the units may be redeemed when the unblock transaction is authorized and allocated.

---

### **Note**

In an amount unblock transaction, the amount unblocked could be unblocked against a Block ID, across all the funds in which the amount was blocked. The redemption against this unblock amount can only be initiated in a single specified fund.

---

To enable the redemption of units in this way,

When you enter the unblock transaction in the Adjustment Unblock Amount Transaction screen against a Block ID, specify the fund in which the redemption must occur for the unit holder.

Specify the details of payment for the redemption transaction, in the Payment Details section.

When the amount unblock transaction is authorized on the date of entry, a redemption transaction for the unblocked amount is initiated in the system for the specified unit holder, in the specified fund. The date of this redemption transaction is the date of authorization of the amount unblock transaction.

---

### **Note**

If the amount unblock transaction is a future-dated transaction, the redemption transaction would be initiated by a Beginning of Day (BOD) process on the transaction date. The date for the redemption transaction would then be the transaction date of the amount unblock transaction.

---

The redemption transaction is allocated by the End of Day (EOD) process on the redemption transaction date. The NAV considered for the allocation is the prevalent NAV on the redemption transaction date.

When an unblock escalation occurs, a redemption transaction is inserted for the unblocked amount by the BOD process on the date of escalation, and allocated by the EOD process on the date of escalation. The NAV considered for the allocation is the prevalent NAV on the date of escalation.

## 6.7.2 Retrieving Amount Block/ Unblock Summary Screens

You can perform all these operations through the Amount Block/Unblock Transaction Summary screens.

Invoke the Amount Block or Unblock Summary screen by typing 'UTSAMT06 or UTSAMT07' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button and specify any or all of the following details in the corresponding details

You can retrieve a previously entered adjustment transaction in the Summary screen, as follows:

- In the browser, select the Amount Block Summary or the Amount Unblock Summary options, from the Transaction menu category of the Agency Branch module:
  - The status of the block/unblock transaction in the Authorization Status field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
  - The status of the block/unblock Transaction in the Record Status field. If you choose the "Blank Space" option, then all the transactions that involve the specified unit holder are retrieved.
  - The unit holder ID
  - The reference number of the amount block/unblock transaction, in the Amount Block/Unblock Transaction Number field.
  - The fund ID of the amount Block/Unblock transaction
  - The transaction date of the Amount Block/Unblock transaction
- Click 'Search' button to view the records. All records with the specified details are retrieved and displayed in the lower portion of the screen.

---

### **Note**

You can also retrieve the individual transaction detail from the detail screen by doing query in the following manner:

- Press F7
  - Input the unit holder ID.
  - Press F8
-

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operation by selecting from the Action list.

You can also search the record by using combination of % and alphanumeric value.

#### Example

You can search the record for unit holder ID by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose unit holder ID starts from Alphabet 'A'. For Example: AGC17, AGVO6, AGC74 and so forth.
- Search by %7: System will fetch all the records whose unit holder ID ends by numeric value '7'. For Example: AGC17, GSD267, AGC77 and so forth.
- Search by %17%:- System will fetch all the records whose unit holder ID contains the numeric value 17. For Example: GSD217, GSD172, AGC17 and so forth.

### 6.7.3 Editing Amount Block/ Unblock Transaction

You can modify the details of transaction that you have already entered into the system, provided it has not been subsequently authorized. You can perform this operation as follows:

- Invoke the Transaction Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorization Status field. You can only modify records that are unauthorized. Accordingly, choose the Unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed transactions. The Amount Block/ Unblock screen is displayed.

- Select Unlock Operation from Action list to modify the record. Modify the necessary information.
- Click 'Ok' button to save your changes. Amount Block/ Unblock Detail screen is closed and the changes made are reflected in the Amount Block/ Unblock Summary screen.

#### **6.7.4 Viewing Amount Block/ Unblock Transaction**

To view an amount Block/Unblock transaction that you have previously entered, you must retrieve the same in the Amount Block/Unblock Transaction Summary screen, as follows:

- From the main menu, invoke the Transaction menu. Select Amount Block/ Unblock transaction type, and choose the Summary option. The Amount Block/Unblock Transaction Summary screen is opened.
- In the Authorization Status field, select the status of the block/unblock transaction that you want to retrieve for viewing. You can view records of transactions that are:
  - Unauthorized
  - Authorized
- To retrieve the block/unblock transaction that is to be viewed, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the block/unblock transaction that you want to view in the list of displayed transactions, in the lower portion of the screen.
- The Amount Block/Unblock Transaction Detail screen is opened by double clicking the selected transaction, with the selected transaction displayed in view mode

#### **6.7.5 Deleting Amount Block/ Unblock Transaction**

You can delete only unauthorized Block/Unblock transactions in the system.

To delete an amount block/unblock transaction that you have previously entered, you must retrieve the same in the Transaction Summary screen, as follows:

- From the main menu, invoke the Transaction Input menu. Select Block transaction type and choose the Summary option. The Block Amount Transaction Summary screen is opened.
- In the Authorization Status field, select the status of the Block transaction that you want to retrieve for deletion. You can only delete records of transactions that are unauthorized. Accordingly, choose the Unauthorized option from the drop down list.
- To retrieve the Block transaction that is to be deleted, specify any or all of the details of the transaction in the corresponding fields on the screen, and click 'Search' button. All Block transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Select the Amount Block transaction that you want to delete in the list of displayed transactions, in the lower portion of the screen.
- The Block Transaction Detail screen is opened by double clicking on the selected row in view mode, with the selected amount block/unblock transaction displayed
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

#### **6.7.6 Authorizing Amount Block/ Unblock Transactions**

An unauthorized transaction record must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Amount Block/ Unblock Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen. Click 'Search' button. All transactions with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the transaction that you wish to authorize. The Amount Block/ Unblock Detail screen is displayed. Select Authorize operation from Action.

When the checker authorizes a transaction, details of validations, if any, that were overridden by the maker of the transaction during the Save operation, are displayed. If any of these overrides results in an error, the checker must reject the transaction.

### **6.7.7 Amending Amount Block / Unblock Transactions**

Authorization of amended transactions can only be done from Fund Manager Module and Agency branch Module.

- Select the status of the adjustment transaction that you wish to retrieve for amendment. You can only amend records of transactions that are authorized.
- Specify any or all of the details of the adjustment transaction in the corresponding fields on the screen. All transactions with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the adjustment transaction that you want to amend. The Adjustment Transaction screen will be displayed in Amendment mode. Click the Unlock operation from the Action list to amend the transaction.
- Amend the necessary information. Click the Save button to save your changes. Only escalation details can be changed during an amend operation.

### **6.7.8 Authorizing Amended Amount Block/ Unblock Transactions**

An amended Amount Block/ Unblock transactions record must be authorized for the amendment to be made effective in the system. The authorization of amended records can only be done from Fund Manager Module and Agency branch Module.

The process of authorization is subsequently the same as that for normal transactions.

---

## 7. Function ID Glossary

### U

UTDADJ02 .....	6-17	UTDTXNLO .....	5-62
UTDADJ03 .....	6-1	UTDTXNLT .....	4-199
UTDAMT06 .....	6-22	UTDUHBAL .....	5-49
UTDAMT07 .....	6-28	UTDUHDEL .....	2-34, 5-25
UTDBUTD .....	5-147	UTDUHPR .....	5-121
UTDCHQTR .....	5-151	UTSADJ02 .....	6-18
UTDCNRED .....	4-152	UTSADJ03 .....	6-14
UTDCNTXN .....	4-100	UTSAMT06 .....	6-36
UTDDVOID .....	5-111	UTSAMT07 .....	6-36
UTDGOCNF .....	5-79	UTSCHQTR .....	5-148, 5-152
UTDGOMNT .....	5-72	UTSGOCNF .....	5-82
UTDGORCN .....	5-86	UTSGOENQ .....	5-101
UTDGOSTL .....	5-94	UTSGOMNT .....	5-75
UTDHLPDS .....	5-128	UTSGORCN .....	5-90
UTDIDYCK .....	5-118	UTSGOSTL .....	5-97
UTDLOADM .....	5-44	UTSHLPDS .....	5-131
UTDOLT .....	5-104	UTSOLT .....	5-108
UTDPYCLR .....	5-57	UTSRSPM .....	2-38
UTDRSPM .....	2-35	UTSRTAIO .....	5-141
UTDRTAIO .....	5-136	UTSSIN .....	2-27
UTDSEREM .....	5-134	UTSTXN01 .....	4-47
UTDSIN .....	2-1	UTSTXN02 .....	4-102
UTDTXN01 .....	4-9	UTSTXN03 .....	4-148
UTDTXN02 .....	4-62	UTSTXN04 .....	4-202
UTDTXN03 .....	4-106	UTSTXN05 .....	4-235
UTDTXN04 .....	4-155	UTSTXN06 .....	4-256
UTDTXN05 .....	4-207	UTSTXN07 .....	4-273
UTDTXN06 .....	4-239	UTSTXN08 .....	4-305
UTDTXN07 .....	4-259	UTSTXN09 .....	4-289
UTDTXN08 .....	4-292	UTSTXN10 .....	4-322
UTDTXN09 .....	4-277	UTSTXNB .....	4-59
UTDTXN10 .....	4-309	UTSTXNLO .....	5-69
UTDTXNB .....	4-50	UTSUHDEL .....	2-31, 5-24
UTDTXNEE .....	5-53, 5-55	UTSUHPR .....	5-125
		UTSVOID .....	5-114