

Upload Format
Oracle FLEXCUBE Investor Servicing
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1. About This Manual

1.1 Introduction

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

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

1.2 Related Documents

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

1.3 Audience

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

1.4 Organization

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

Chapter 1	<i>About This Manual</i> explains the structure, audience, organization, and related documents of this manual.
Chapter 2	<i>Upload Format – Appendix - Upload File Formats A</i> explains various upload file formats for external files containing the information that is to be imported from the bulk client.
Chapter 3	<i>Upload Format – Appendix - Upload File Formats B</i> explains segment identification numbers, their descriptions, whether the segment is mandatory or optional etc.

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

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

1.8 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. Appendix A - Upload File Formats A

2.1 Upload File Formats

The external files containing the information that is to be imported from the bulk client are required to be in the following format:

File Type	ASCII EXCEL
ASCII file format	Delimited Fixed width
Field delimiter	Comma Tab Colon Semi colon Space
String delimiter	Single quotes Double quotes NULL
Date Format (all dates will have 4 digit years)	DMY MDY DMonY YMD
Date delimiter	/ (Slash) Hyphen (Space) From registry
Decimal symbol	Point Comma
Digit grouping symbol	Point Comma
Negative Sign symbol	Hyphen Parenthesis
Time delimiter	Null Colon Semi colon Space
Column Header on first line	True / False

2.2 Unit Holder File Format

Note

For all imports of unit holder new account and information change data, the external hand-off file containing the information must:

- Always be named in the format “BulkUH*. **”
- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below.

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/ rules	Values
SEQUENCENUMBER	Number	10	Mandatory		System generated sequence number of records in the file
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	String	12	Mandatory		The Code of the Bulk client.
IMPORTFILENAME	String	255	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	String	12	Mandatory		The ID of the AMC/Distributor for which the bulk client has maintained the defaults details.
UPLOADMODE	String	1	Mandatory		“N” for New unit holder uploads and ‘I’ for Information change.
CIFNUMBER	String	12	Optional		
UNITHOLDERID	String	12			Is blank for new record

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
REFERENCE-NUMBER	String	12	Mandatory		Accepted from hand off file contents; or system generated reference number, according to the option selected in the Bulk Account Client Defaults for “unit holder import” or “both”
ACCOUNT-OPENINGDATE	DATE		Optional		If this is not found in the hand off file, the application date is deemed as the account opening date by default.
TITLE	String	15	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	This should be one of the valid Title codes as maintained in system parameters.
FIRST-NAME	String	100	Mandatory		Accepted from the user's specification for the same in the hand off file contents
MIDDLE-NAME	String	40	Optional		Accepted from the user's specification for the same in the hand off file contents
LAST-NAME	String	40	Optional		Accepted from the user's specification for the same in the hand off file contents
ACCOUNT-OPERATIONTYPE	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values in the following list: S- Single, E- Either Or Survivor, J-Joint
FIRST-NOMINEE	String	60			Accepted from the user's specification for the same in the hand off file contents – This information is mandatory for Account Operation type as “J” – Joint
SECOND-NOMINEE	String	60			Accepted from the user's specification for the same in the hand off file contents

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
THIRD-NOMINEE	String	60	Optional		Accepted from the user's specification for the same in the hand off file contents
FATHER_SPOUSE-NAME	String	20	Optional		Accepted from the user's specification for the same in the hand off file contents
INVESTORTYPE	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values from the following list: I – Individual Or C – Corporate – Mandatory
CONTACTADDRESSLINE1	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
CONTACTADDRESSLINE2	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
PRIMARY-CITY	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
PRIMARYSTATE	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
PRIMARY-USSTATE	Number	1	Optional		Should be left blank
ZIPCODE	String	10	Optional		Hand off file contents
SECONDARYADDRESSLINE1	String	80	Optional		
SECONDARYADDRESSLINE2	String	80	Optional		
SECONDARYCITY	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
SECONDARYSTATE	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
SECONDARY-USSTATE	Number	1	Optional		
SECONDARYZIP-CODE	String	10	Optional		Accepted from the user's specification for the same in the hand off file contents
SWIFTADDRESSLINE1	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
SWIFTADDRESSLINE2	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
SWIFTADDRESSLINE3	String	80	Optional		Accepted from the user's specification for the same in the hand off file contents
SWIFTADDRESSLINE4	String	80	Optional		
SWIFTCOUNTRYCODE	String	3	Optional		
BICCODE	String	12	Optional		
HOME-TELEPHONE NUMBER	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents
OFFICE-TELEPHONE NUMBER	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents
FAXNUMBER	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents
TAXDEDUCTEDSOURCE	Number	1	Optional		Could be either true (1) or false (0)
TAXID	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
TAXCIRCLE	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents
IDENTIFICATION-TYPE	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values maintained in Params maintenance for Identification Type
IDENTIFICATION-NUMBER	String	15	Optional		Accepted from the user's specification for the same in the hand off file contents
IDENTIFICATIONIS-SUEDATE	DATE		Optional		Accepted from the user's specification for the same in the hand off file contents
IDENTIFICATION-EXPIRYDATE	DATE		Optional		Accepted from the user's specification for the same in the hand off file contents
RESIDENTSTATUS	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values from the following list: "R";"Resident";;"F";"Foreign"
UHCATEGORY	String	2	Mandatory		Could be any of the valid values from the Category list maintained

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/ rules	Values
ANKDE-TAILS	String	2000	Optional		<p>The following values would have to be supplied with delimiters in cases where more than one set of Bank Details is maintained: Bank Code, Branch Code, Account Type, Account Number, Account name, Relationship, Account Currency, Default. The delimiter would be a comma (",") for each set and a semi-colon (";") to separate two sets of Bank Details. The Default values should be either 0 or 1, with 1 indicating the default bank detail for the unit holder. There can be one and only one default bank detail for a unit holder.</p> <p>For the below entity details, see Unit Holder Bank Details</p> <p>Fund id, Transaction Type, Swift Format, Bank Charged, Beneficiary, Beneficiary Add1, Beneficiary Add2, Beneficiary Add3, Beneficiary BIC Code, Beneficiary Acct No, Beneficiary Info, Intermediary, Intermediary Add1, Intermediary Add2, Intermediary Add3, Intermediary BIC Code, Intermediary Acct No, Intermediary Info, Further Credit Name, Further Credit Acct No, Reference 1, Reference 2,</p>
INTERMEDIARYDE-TAILS	String	2000	Optional		<p>Intermediary details are separated by ";" for each intermediary. Each intermediary should have the following fields "," separated:</p> <p>"ENTITYTYPE, ENTITID, SPLITPERCENT, INTRODUCER, DEFAULTINTERMEDIARY"</p> <p>Entity Type should be "B". Entity ID would be a valid Broker in the system.</p>

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
ACCOUNT STMT-FREQ	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values in the following list from Frequency Table : D – Daily, W - Weekly, F - Fortnightly, M – Monthly, Q - Quarterly, H - Half Yearly, Y - Yearly
YTDST-MTREQD	Number	1	Optional		Accepted from the user's specification for the same in the hand off file contents. By default, it is deemed to be 'No'
DATEOF-BIRTH	DATE		Optional		Accepted from the user's specification for the same in the hand off file contents
GUARDIANNAME	String	70	Optional		Accepted from the user's specification for the same in the hand off file contents
RELATIONSHIP	String	70	Optional		Accepted from the user's specification for the same in the hand off file contents
BENEFICIARY	String	70	Optional		Accepted from the user's specification for the same in the hand off file contents
SEX	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values - "M"(Male) or "F" (Female)
MARITAL-STATUS	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values - "S" (Single) ,"M" (Married). The default status is taken to be Single.
OCCUPATION	String	3	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values maintained in Occupation Maintenance

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
NATIONALITY	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Accepted from the user's specification for the same in the hand off file contents
COUNTRYOFDOMICILE	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values maintained in Country Maintenance
CORPORATION-TYPE	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the valid values maintained in Corporation Maintenance. This information can be specified only for corporate investors (Investor Type – C)
FIRSTAUTHORIZEDSIGNATORY	String	70	Optional		This information can be specified only for corporate investors (Investor Type – C)
SECONDAUTHORIZEDSIGNATORY	String	70	Optional		This information can be specified only for corporate investors (Investor Type – C)
THIRDAUTHORIZEDSIGNATORY	String	70	Optional		This information can be specified only for corporate investors (Investor Type – C)
CONTACT-NAME	String	70	Optional		Accepted from the user's specification for the same in the hand off file contents
MIN-NOFCORPORATESIGNATORY	Number		Optional		Accepted from the user's specification for the same in the hand off file contents
SCHEME-CROSS-REFNO		60	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
UHBASE-CURRENCY	String	3	Optional		Could be any of the valid currencies maintained in Currency Maintenance. If this information is not given in the import file, then the default unit holder base currency specified in the Bulk Client Defaults Maintenance for the bulk client will be used.
LANGUAGE	String	12	Optional		Could be any of the languages defined in the system. If this information is not given in the import file, then the Default Language Value mentioned in the Bulk Client Defaults Maintenance for the bulk client will be used.
REDEMPTIONMOP	String	1	Optional		Could be either of the following Values: "Q" - Cheque, "T" – Transfer. If this information is not given in the import file, then the Default Redemption Mode of Payment specified in the Bulk Client Defaults Maintenance for the bulk client will be used.
ACCOUNT STMT-CURRENCY	String	3	Optional		Could be any of the valid currencies maintained in Currency Maintenance. If this information is not given in the import file, then the Default Account Statement Currency mentioned in the Bulk Client Defaults Maintenance for the bulk client will be used.
EMAILID	String	60	Optional		Accepted from the user's specification for the same in the hand off file contents
FIRST-JOINTUH-NAME	String	60	Optional		The primary unit holder name in case of joint accounts.
SECOND-JOINTUH-NAME	String	60	Optional		The secondary unit holder name in case of joint accounts.

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
THIRD-JOINTUH-NAME	String	60	Optional		The third unit holder name in case of joint accounts.
ALTAD-DRESS-FROMDATE	DATE		Optional		
ALTAD-DRESS-TODATE	DATE		Optional		
TELE-PHONERED	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 (false) or 1 (true) to indicate whether redemption transactions can be accepted through telephone for the unit holder or not. If null, it will be picked up from the bulk client defaults table.
TELEPHONE-SWI	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 (false) or 1 (true) to indicate whether redemption transactions can be accepted through telephone for the unit holder or not. If null, it will be picked up from the bulk client defaults table.
WRITE-CHECK-FORMMF	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 (False) or 1 (True). If not supplied, will be taken from the bulk client defaults table.
FEDWI-REACH-PAYMENT	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 (False) or 1 (True). If not supplied, will be taken from the bulk client defaults table.
IRSNOTIFICATION	String	10	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 (False) or 1 (True). If not supplied, will be taken from the bulk client defaults table.

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
ROAIN-VESTOR	Number	1	Optional		Could be either 0 (False) or 1 (True). This should be read only when 'ROA Option at Investor' in AMC policies table is true.
ALLOW-ROAATCIFLEVEL	Number	1	Optional		Could be either 0 (False) or 1 (True). If an investor is an ROA investor, then this option will be set based on the value of the 'Allow ROA LOI at CIF level' in the AMC policies table
UHAC-COUNT-TYPE	String	2	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid unit holder account type as available in the Params maintenance
RPOC-ODE	String	10	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid code as maintained in the Params table for the Param code RPOESCHCODE. If not supplied, will be picked up from the bulk client defaults table.
REGISTRATION-TYPE	String	2	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid code as maintained in the Params table for the Param code UHREGISTRATIONTYPE. If not supplied, will be taken from the bulk client defaults table.
REGISTRATION-NAME	String	50	Optional		If registration type = 'SN' (Street name), only then this value is to be read.
ACCOUNT-OPENINGPURPOSE	String	30	Optional		
REMARKS	String	255	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
PRE-FERRED-MAILMODE	String	2	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid code as read from the Params table for the Param code PRE-FERREDMAILMODE. If not supplied, will be taken from the bulk client defaults table.
NOTEPA-DAVAILABLE	Number	1	Optional		Could be either 0 (False) or 1 (True). If not supplied, default will be 1 (True)
FEECATEGORY	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid category for the type of investor (individual or corporate). If not supplied, will be taken from the bulk client defaults table based on the investor category
FEECATEGORY	String	6	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid sub category for the category. If not supplied will be taken from the bulk client defaults table based on the investor category
ADDITIONALINFORMATION1	String	60	Optional		If not supplied, will be taken from the bulk client defaults table
ADDITIONALINFORMATION2	String	60	Optional		
ADDITIONALINFORMATION3	String	60	Optional		
ADDITIONALINFORMATION4	String	60	Optional		
ADDITIONALINFORMATION5	String	60	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
ADDITIONALINFORMATION6	String	60	Optional		
ADDITIONALINFORMATION7	String	60	Optional		
ADDITIONALINFORMATION8	String	60	Optional		
ADDITIONALINFORMATION9	String	60	Optional		
ADDITIONALINFORMATION10	String	60	Optional		
ADDITIONALINFORMATION11	String	60	Optional		
ADDITIONALINFORMATION12	String	60	Optional		
ADDITIONALINFORMATION13	String	60	Optional		
ADDITIONALINFORMATION14	String	60	Optional		
ADDITIONALINFORMATION15	String	60	Optional		
ADDITIONALINFORMATION16	String	60	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/ rules	Values
ADDITIONALINFORMATION17	String	60	Optional		
ADDITIONALINFORMATION18	String	60	Optional		
ADDITIONALINFORMATION19	String	60	Optional		
ADDITIONALINFORMATION20	String	60	Optional		
ADDITIONALINFORMATION21	String	60	Optional		
ADDITIONALINFORMATION22	String	60	Optional		
ADDITIONALINFORMATION23	String	60	Optional		
ADDITIONALINFORMATION24	String	60	Optional		
ADDITIONALINFORMATION25	String	60	Optional		
ADDITIONALINFORMATION26	String	60	Optional		
ADDITIONALINFORMATION27	String	60	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
ADDITIONALINFORMATION28	String	60	Optional		
ADDITIONALINFORMATION29	String	60	Optional		
ADDITIONALINFORMATION30	String	60	Optional		
AGENT-CODE	Number	12	Mandatory		
BRANCH-CODE	Number	12	Mandatory		
MAKERID	String	15	Optional		There should not be any validation on Maker ID field with regards to the user profile maintenance in FCIS if it is supplied with the import file. If it is not supplied, default it to the logged in user id
MAKER_DT_STAMP	DATE				If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECK-ERID	String	15	Optional		this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for authorized unit holder generation.

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
C H E C K E R - D T - S T A M P	DATE		Optional		If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for authorized unit holder generation.
AUTH-TYPE	String	1	Mandatory		Could be either of the following values: "U" - Unauthorized, "A" - Authorized
STOPAC-COUNTREASON	String	255	Optional		Must be left blank
RELEASE-DATE	DATE		Optional		Must be left blank
ALLSIGNATORIESREQDTOSIGN	Number	1	Optional		Must be left blank
TAXEX-EMPTED	Number	1	Optional		Either 0 or 1 to indicate if tax is exempted for this Unit holder
INDEXATIONNONCGT	String	1	Optional		Must be left blank
CERTDELIVERY-PREF	String	1	Optional		Could be any of the values from the following list to indicate the preferred certificate delivery option: 'A','C','F','P','R'
DELIVERYDETAILS	String	2000	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
TEMPLATEID	String	6		Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
EFFECTIVEDATE	DATE		Optional		
CELLPHONE-NUMBER	String	16	Optional		
PRIMARY-COUNTRYCODE	String	3	Optional		
ALTCELLPHONE-NUMBER	String	16	Optional		
ALTHOME PHONE-NUMBER	String	15	Optional		
ALTOFFICEPHONE NUMBER	String	15	Optional		
ALTEMAILID	String	60	Optional		
SECONDARY-COUNTRY CODE	String	3	Optional		
PLACEOFISSUE	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
ALTCONTACT-NAME	String	70	Optional		
ALTFAX-NUMBER	String	15	Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
PRE-FERRED-FUNDFOR REDEMPTION	String	6	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Should be a valid fund Id which would be used for redeeming the trailer commission to pay the intermediary
GUARDIANPAN-GIRNO	String	15	Optional		If the unit holder is a minor then the PAN (tax id) details of the Guardian
GUARDIANFORM6061	Number	1	Optional		Must be left blank
PRIMARYUHF0RM6061	Number	1	Optional		Must be left blank
JOINT-NOMINEEDETAILS	String	2000	Optional		List of beneficiaries separated by ";". Each record can contain the following: "BENEFICIARYID , BENEFICIARYTYPE , BENEFICIARYNAME, Beneficiary date of birth, Beneficiary address, (separated by "\$", ADDRESSLINE1, ADDRESSLINE2, ADDRESSLINE3, ADDRESSLINE4, COUNTRY, ZIPCODE, EMAIL, CONTACTPERSON) Beneficiary Relation, Beneficiary Tax id, 0, 0"
UNITHOLDERNONRESIDENT	Number	1	Optional		Indicate if the Unit holder is a Non resident

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/ rules	Values
EUSDOP-TION	String	1	Optional	Applicable only for EUSD Countries Value defaulted from defaults maintenance in the absence of information in the file	W – Withholding Tax E – Exchange of Information T- Tax Certificate
TAXCERTIFICATE-EXPIREDATE	Date		Optional	If the EUSD Option is 'T' then tax certificate expiry date is mandatory	Tax certificate expiry date
PLACEOF-BIRTH	String	80	Optional	If the EUSD Option is 'T' then tax certificate expiry date is mandatory	Unit Holder's Place of birth
COUNTRYOF-BIRTH	String	3	Optional	If the EUSD Option is 'T' then tax certificate expiry date is mandatory	Unit Holder's Country of birth. It should be the country code of the country
FATFOR-NONFATF	String	1	Optional		F – FATF Country N- Non FATF Country
CHASING-DATE	Date		Optional		In case the KYC list is incomplete for a unit holder and the document has been requested, the date on which the document chasing action must be initiated.
ADDN-COMMENTS	String	255	Optional		Any additional narrative, or descriptive text, if any, concerning the document and the chasing date
ALLKY-CRE-CIEVED	Number	1	Optional		Can have a value of 0 or 1. 1 - All the requested documents have been received from the unit holder.
RETAIN-TRADEACK	Number	1	Optional		0 or 1 (1 to indicate that trade acknowledgements for the unitholder has to be retained.

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/ rules	Values
RETAIN-CONTRACTNOTES	Number	1	Optional		0 or 1 1 implies that contract notes in respect of the unit holder should be retained.
NOTREPORTKYCREQ	Number	1	Optional		0 or 1 (Value 1 to indicate that any KYC documents yet to be submitted must not be reported in trade acknowledgements
UHBIC-CODE	String	6	Optional		Unit holder's swift BIC Code
ALTLANG-FIRST-NAME	String	100	Optional	Should not exist in the absence of First Name	First Name specified in alternate language.
ALTLANG-MIDDLE-NAME	String	40	Optional	Should not exist in the absence of Middle Name	Middle Name specified in alternate language
ALTLANG-FIRST-AUTHSIGN	String	70	Optional	Should not exist in the absence of First authorized signatory	First authorized signatory specified in alternate language
ALTLANG-SECOND-AUTHSIGN	String	70	Optional	Should not exist in the absence of Second authorized signatory	Second authorized signatory specified in alternate language
ALTLANG-THIRD-AUTHSIGN	String	70	Optional	Should not exist in the absence of Third authorized signatory	Third authorized signatory specified in alternate language
ALTLANG-CONTACTPERSON	String	70	Optional	Should not exist in the absence of Contact person	Contact person specified in alternate language
ALTLANG-CORADDRESSLINE1	String	80	Optional	Should not exist in the absence of Correspondence address line 1	Correspondence address line 1 specified in alternate language
ALTLANG-CORADDRESSLINE2	String	80	Optional	Should not exist in the absence of Correspondence address line 2	Correspondence address line 2 specified in alternate language

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
ALTLANG-CORADD RESSLINE 3	String	80	Optional	Should not exist in the absence of Correspondence address line 3	Correspondence address line 3 specified in alternate language
ALTLANG-CORADD RESSLINE 4	String	80	Optional	Should not exist in the absence of Correspondence address line 4	Correspondence address line 4 specified in alternate language
ALTLAN-GALTADD RESSLINE 1	String	80	Optional	Should not exist in the absence of address line1	address line 1 specified in alternate language
ALTLAN-GALTADD RESSLINE 2	String	80	Optional	Should not exist in the absence of address line2	address line 2 specified in alternate language
ALTLAN-GALTADD RESSLINE 3	String	80	Optional	Should not exist in the absence of address line 3	address line 3 specified in alternate language
ALTLAN-GALTADD RESSLINE 4	String	80	Optional	Should not exist in the absence of address line 4	address line 4 specified in alternate language
DATEOF-CONTRIBUTION	Date		Optional		
TRANSFERDATE	Date		Optional		
RETIREMENTAGE	Number	5,2	Optional		
RETIREMENT-DATE	Date		Optional		
DATE-OFDEATH	Date		Optional		
DEATH-CAUSE	String		Optional		

Field Name (as expected in the file)	Data type	Length	Mandatory	Characteristics/rules	Values
DIS-PATCH-DATE	Date		Optional		
RETURNE DDATE	Date		Optional		
PRIMARY-UHMFIN	VARC HAR2	15	Optional	Applicable only if unitholder is major	Primary MFIN of the Primary Unitholder
GUARDI-ANMFIN	VARC HAR2	15	Optional	Applicable only if unitholder is minor	Mutual fund identification number of the Guardian
RECOVER CGT	NUMBER	1	Optional		For Calculating Capital Gain Tax
CAM-PAIGN-CODE	String	6	Optional		Used to capture the CAM-PAIGNCODE
Segment ID					

2.2.1 Unit Holder Bank Details

Column name (as expected in the file)	Data type	Field length	Mandatory ?	Description
BANKCODE	Number	9	Mandatory	Any valid bank code maintained in the system
BRANCHCODE	Number	9	Mandatory	Any valid branch code maintained in the system.
ACCOUNTTYPE	String	1	Mandatory	Mandatory
ACCOUNTNUMBER	String	16	Mandatory	Mandatory
RELATIONSHIP	VAR-CHAR	40	Optional	Relationship with respect to unitholder incase of Money transfer and third party payment mode.
ACCOUNTNAME	String	100	Mandatory	If this is not specified, the first name of the unit holder is considered to be the account name.
ACCOUNTCURRENCY	String	3	Mandatory	Mandatory
DEFAULTDETAILS	Number	1	Mandatory	Either 0 or 1 to indicate if the bank details is default or not. The default bank is considered as the one with the '1' value.
FUNDID	String	6	Mandatory	Fund ID. If the fundid is null, then system will default to 'ALL'. There is no specific value, then mention 'ALL' in the upload file
TRANSACTION-TYPE	Number	3	Mandatory	Subscription – '02', Redemption '03', IPO Subscription – '01'. If the Transaction type is null then system will default to 'ALL'. There is no specific value, then mention 'ALL' in the upload file.
UHBICCODE	String	24	Optional	Unit Holder's swift BIC Code
SWIFTFORMAT	String	6	Optional	MT103 , MT202
BANKCHARGED	String	12	Optional	Indicate whether the bank charges must be levied upon the beneficiary, the remitter or must be shared between the two
BENEFICIARY	String	35	Optional	Enter the name of the beneficiary

Column name (as expected in the file)	Data type	Field length	Mandatory ?	Description
BENEFICIARYADD1	String	35	Optional	Enter the address line 1 of the beneficiary
BENEFICIARYADD2	String	35	Optional	Enter the address line 2 of the beneficiary
BENEFICIARYADD3	String	35	Optional	Enter the address line 3 of the beneficiary
BENEFICIARYBIC-CODE	String	24	Optional	Beneficiary Bank Identifier Code
BENEFICIARYACCTNO	String	24	Optional	Beneficiary Account Number
BENEFICIARY-CODE	String	24	Optional	Enter the code assigned to the beneficiary
BENEFICIARYINFO	String	100	Optional	You may enter any additional information regarding the beneficiary, if necessary
INTERMEDIARY	String	35	Optional	In this section, specify any intermediary that is to be deemed as applicable for the transactions generated for the unit holder
INTERMEDIARYAD D1	String	35	Optional	Enter the address line 1 of the intermediary
INTERMEDIARYAD D2	String	35	Optional	Enter the address line 2 of the intermediary
INTERMEDIARYAD D3	String	35	Optional	Enter the address line 3 of the intermediary
INTERMEDIARYBICCODE	String	24	Optional	intermediary Bank Identifier Code
INTERMEDIARY ACCTNO	String	24	Optional	intermediary Account Number
INTERMEDIARY-CODE	String	24	Optional	Enter the code assigned to the intermediary
INTERMEDIARY-INFO	String	100	Optional	You may enter any additional information regarding the intermediary, if necessary
FURTHERCREDIT-NAME	String	35	Optional	Indicate the alternate credit name, if any.
FURTHERCREDITACCTNO	String	35	Optional	Enter the alternate account number, if any

Column name (as expected in the file)	Data type	Field length	Mandatory ?	Description
REFERENCE1	String	35	Optional	Reference 1
REFERENCE2	String	35	Optional	Reference 2
IBAN	String	36	Optional	Used to capture the IBAN
BENEFICIARYIBAN	String	36	Optional	Used to capture the BENEFICIARYIBAN
INTERMEDIARY-IBAN	String	36	Optional	Used to capture the INTERMEDIARYIBAN

2.3 Unit Holder KYC Details

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCE-NUMBER	Number	10	Mandatory		System generated sequence number of records in the file
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	String	12	Mandatory		The Code of the Bulk client.
IMPORT-FILENAME	String	255	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	String	12	Mandatory		The ID of the AMC/Distributor for which the bulk client has maintained the defaults details.
UPLOAD-MODE	String	1	Mandatory		“N” for New unit holder uploads and ‘I’ for Information change.
UHKYCSLNO	Number	10	Mandatory	-	KYC Document Serial Number
UNITHOLD-ERID	String	12	Mandatory		Unit Holder ID
AUTHTYPE	String	1	Mandatory		A , U (A-Authorized Record , U – Unauthorized Record)
REQUESTED	String	1	Optional	For Standard Doc's this flag should be '1',	1,0
DOCUMENTDESCRIPTION	String	255	Optional		Description of KYC Document

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
FAXRECEIVED	Number	1	Optional		0, 1 (1 to indicate fax received)
ORIGINALRECEIVED	Number	1	Optional		0, 1 (1 to indicate Original received)
RECEIVEDDATE	Date		Optional		
USERCOMMENT	String	255	Optional		Additional information related to the KYC Doc
WORKFLOWREFNO	Number	20	Optional		Enter the workflow reference number (number of the corresponding document from the external imaging system) here.
DOCUMENTTYPE	String	1	Mandatory		A, S (A – Additional, S – Standard)
PROCESSID1	Varchar2	60	Optional		Added processid1 for Benchmarking
RECORD_STAT	Varchar2	1	Optional		For audit fields
ONCE_AUTH	Varchar2	1	Optional		For audit fields
INITIALS	Varchar2	10	Optional		Initials for the unitholder
KYCPURCHASELIMIT	Number	30,12	Optional		This should be taken from 8.0 doc
KYCANNUALDEBITORDERLIMIT	Number	30,12	Optional		This should be taken from 8.0 doc
RELATEDPARTIES	Varchar	2000	Optional		Unitholder related parties information with semicolon(;) separator
REDEMPTIONPAYOUT	VARCHAR	1	Optional	Value defaults to 'N' in the absence of information in the file	Used to capture the Redemption Payout flag

Field Name (as expected in the file)	Data type	Field length	Mand atory	Characteris tics / rules	Values
DIVIDEND- PAYOUT	VAR- CHA R	1	Option al	Value defaults to 'N' in the absence of information in the file	Used to capture the Divi- dend Payout flag

2.4 Unit Holder Beneficiary Details

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEGMENTID	VARCHAR2	20	Mandatory		SegmentID is used for identifying the settlement details. In this case Segment ID will be '01SET'
SEQUENCENUMBER	NUMBER	10	Mandatory		This is used for mentioning the sequence for the settlement details of a transaction
PROCESSID	VARCHAR2	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	VARCHAR2	12	Mandatory		The Code of the Bulk client.
IMPORTFILENAME	VARCHAR2	255	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	VARCHAR2	12	Mandatory		The ID of the AMC/Distributor for which the bulk client has maintained the defaults details.
UPLOADMODE	VARCHAR2	1	Mandatory		"N" for New unit holder uploads and 'I' for Information change.
UNITHOLDERID	VARCHAR2	12	Optional		
AUTHREJECTSTATUS	VARCHAR2	1	Optional		A , U (A-Authorised Record , U – Unauthorised Record)
REFERENCENUMBER	VARCHAR2	12	Optional		Any additional reference number that can be given (optionally). No validations will be made for the same. The system will generate and update the Reference Number based on the Bulk Client Default Maintenance. For amendment, deletion or rejection, either the reference number or transaction number is mandatory.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
BENEFICIARYID	VAR CHAR R2	12	Mandatory		
BENEFICIARY- TYPE	VAR CHAR R2	2	Mandatory		
BENEFICIARY- NAME	VAR CHAR R2	100	Optional		
BENEFICIARYDOB	DAT E	7	Optional		
BENEFICIARYAD- DRESS	VAR CHAR R2	255	Optional		It should be separated by "\$", ADDRESSLINE1, ADDRESSLINE2, ADDRESSLINE3, ADDRESSLINE4, COUNTRY, ZIPCODE,EMAIL, CONTACTPERSON
BENEFICIARYRE- LATION	VAR CHAR R2	70	Optional		
BENEFICIARYP- ANNO	VAR CHAR R2	15	Optional		
BENEFICIARYFORM60	NUM BER	1	Optional		
BENEFICIARYUIN	VAR CHAR R2	15	Optional		
BENEFICIARY- GROUP	VAR CHAR R2	1	Optional		
BENEFICIARY- GENDER	VAR CHAR R2	1	Optional		
BENEFICIARY- IDTYPE	VAR CHAR R2	3	Optional		

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
BENEFICIARYID-NUMBER	VARCHAR2	15	Optional		
BENEFICIARY-YAWARD	NUMBER	5	Optional		
BENEFICIARY-BANKCODE	VARCHAR2	12	Optional		
BENEFICIARY-BRANCHCODE	VARCHAR2	12	Optional		
BENEFICIARY-ACCOUNTTYPE	VARCHAR2	1	Optional		
BENEFICIARY-ACCOUNTNAME	VARCHAR2	100	Optional		
BENEFICIARY-ACCOUNTCURRENCY	VARCHAR2	3	Optional		
ACCOUNT-NUMBER	VARCHAR2	16	Optional		
BENEFICIARY-MFID	VARCHAR2	15	Optional		
COUNTRY-OF-DOMICILE	VARCHAR2	3	Optional		
RECOVER-CGT	NUMBER	1	Optional		
BENEFICIARY-IBAN	String	36	Optional		Used to capture the BENEFICIARY-IBAN

2.5 Transactions File Format

Note

For all imports of new and amended transactions data, the external hand-off file containing the information must:

- Always be named in the format “BulkTxn*.*”.
 - Always contain all information marked as mandatory in the table below.
 - Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:
-

Note

If you have disallowed upload of amended transactions for a particular client, by selecting the ‘No’ option in the Allow Amendment field, when you are setting up the default information for the bulk client, amended orders are not imported for the bulk client, but errors are logged in respect of them.

The upload file would contain various segment identification numbers in the first column to indicate the type of data that is present in that entire row. Each segment identified by a unique tag, indicates the type of transaction information such as Transaction, Settlement info and so on. The possible segments that would be used in Transaction upload are given below for reference:

Segment Identification Number	Description	Segment Mandatory / Optional?	Multiple records allowed for the same Fund and Rule Effective Date
00CON	This segment is used for providing information common to A TRANSACTION	Mandatory; and will be the driving header segment for all the other segments.	No
01SET	This segment is used for providing settlement information for a transaction	Mandatory	Yes
02KYC	This segment is used for providing KYC related information	Optional	Yes
03AIF	This segment is used for providing Txn add info related information	Optional	No

Segment Identification Number: 00CON (General Transaction Information)

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
SEQUENCE- NUMBER	Num- ber	10	Man- datory		Sequence no. of records in the file
PROCESSID	String	50	Man- datory		The Process ID, along with the system generated sequence number, identi- fies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
BULKCLI- ENTCODE	String	12	Man- datory		The Code of the bulk client.
IMPORTFILE- NAME	String	255	Man- datory		The name of the file being uploaded should be speci- fied. Each file must have a unique name.
AMCID	String	12	Man- datory		The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
UPLOAD- MODE	String	1	Man- datory		“N” for new transactions, “I” for amended transactions and “D” for transactions to be deleted.
TRANSACTIONNUM- BER	String	16	Man- datory		Is blank for new transac- tions. For amendment, deletion and rejection, either the reference num- ber or transaction number should be specified.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
REFEREN- CENUMBER	String	16			Any additional reference number that can be given (optionally). No validations will be made for the same. The system will generate and update the Reference Number based on the Bulk Client Default Maintenance. For amendment, deletion or rejection, either the reference number or transaction number is mandatory.
TRANSACTIONDATE	Date		Optional		Indicates the value date of transaction. If this is specified in the import file, it must be on or later than the current application date. If not, the application date is considered by default to be the transaction date. This date must be within the backdating limits, if any, set for the relevant transaction type in transaction processing rules.
UNITHOLDE- RID	String	60	Mandatory		The Unit holder ID or additional information to identify a unit holder in the system, depending on the scheme/cross reference number.
REFU- NITHOLDE- RID	String	12			Should be left blank
AGENTCODE	Number	12	Mandatory		Valid agent code maintained in the system
BRANCH- CODE	Number	12	Mandatory		Valid branch code maintained in the system
FUNDID	String	25	Mandatory		The ID of a valid and enabled fund maintained in the system
AMOUNT	Number	15,3	Optional		If this is not specified in the import file, it will be defaulted to initiating broker of unit holder.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
PAYMENT- MODE	String	1	Option al		Indicates mode of payment. Can be any of the following values. Q-Cheque, T- Transfer, R-Credit card, C- Cash, D-Draft
CLEARING- DATE	Date		Option al		The date on which the check is expected to be cleared. If specified in the import file, it must not be earlier than the application date. If not, the system computes the same as a date = Cheque Date + Clearing Period and this computed date is considered by default to be the clearing date.
TRANSAC- TIONCUR- RENCY	String	3	Option al		A valid currency maintained in the system
TRANSAC- TIONMODE	String	1	Option al		Indicates the mode of the transaction. Can be any of the following : A-Amount, U- Units, P – Percentage
UNITSAP- PLIED	Num- ber	15,6	Option al		Mandatory if Transaction mode is Units. Should be greater than 0 and not less than Min Transaction Units. It should not exceed max Transaction Units specified for the Fund.
PERCEN- TAPPLIED	Num- ber	5,2	Option al		Mandatory if Transaction mode is percentage
TOFUNDID	String	25	Option al		Valid fund maintained in the system to which the units are to be switched.
TOU- NITHOLDE- RID	String	60	Option al		Valid Unit holder ID main- tained in the system.
REFTOU- NITHOLDE- RID		12	Option al		Should be left blank

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
TRANSACTIONTYPE	String	2	Man- datory		Type of the Transaction. The following are the valid transaction types allowed for bulk upload. 02 -Sub- scription, 03-Redemption, 04-Switch, 05-Transfer
REFTYPE	String	2	Option al		Can be same as the trans- action type. If left blank, the system defaults internally to 'BT'. System picks up the load mapped to the fund based on the transaction type and reftype
REMARKS	String	255	Option al		Hand off file contents
CERTIFI- CATE	String	2000	Option al		Concatenated string of cer- tificate details used for the transaction. Applicable only for certifi- cate base transaction
MAKERID	String	15	Option al		If this information is speci- fied in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.
MAKER_DT_ STAMP	Date	10	Option al		If the date is not specified in the import file, the applica- tion date is considered to be the Maker Date by default.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
CHECKERID	String	10	Option al		If this information is speci- fied in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYS- TEM'. This information is applicable for the genera- tion of authorized transac- tions.
CHECKER_D T_STAMP	Date	10	Option al		If the date is not specified in the import file, the applica- tion date is considered to be the Checker Date by default. This information is applicable for the genera- tion of authorized transac- tions.
AUTHTYPE	String	1	Man- datory		Values can be A-Author- ized, U-Unauthorized, R- Rejected
CIFNUMBER	String	12	Option al		If value is given, then it is validated against the unit holder CIF else, the unit holder CIF is populated
TOCIFNUM- BER	String	12	Option al		If value is given, it is vali- dated against the CIF of the To unit holder. Else, the CIF of the to unit holder id is populated
GROSSOR- NET	String	1	Option al		Can have values of 'G' or 'N'. Is mandatory for new mode
SUBPAY- MENTMODE	String	2	Option al		Can have valid values as defined in the mode of pay- ment table. This is also mandatory for new mode. The mode of payment given should correspond to the sub payment mode

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
COMMUNI- CATION- MODE	String	2	Option al		Communication mode should be validated against the param values stored in the Params table for the Param Code = 'COMMUNICATIONMODE'. If no communication mode is specified, then the first communication mode stored in the Params table is defaulted
POLICYNUM- BER	String	16	Option al		Should be left blank. This field is not used as it is for Life and Endowment products
PRODUCTID	String	10	Option al		Should be left blank. This field is not used as it is for Life and Endowment products
LOIAPPLICA- BLE	Num- ber	1	Option al		0 or 1 field. If supplied would be validated to check if the unit holder is an LOI investor or not
REFFUNDID	String	6	Option al		Should be left Blank
REFTOFUN- DID	String	6	Option al		Should be Blank
ENTITYTYPE	String	1	Option al		If the payment mode is by transfer and the payment type is broker, then this has to be 'B'. Else it can be left
ENTITYID	String	12	Option al		For the above condition if the entity type is 'B' then a valid broker code should be entered
CERTIFI- CATEMES- SAGE	String	2000	Option al		Applicable only for certificate based funds
SETTLE- MENTDATE	Date		Option al		System would default based on the Transaction processing rules specified

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
DELIVERY- DETAILS	String	2000	Option al		Should be left blank. Applicable only if Delivery options have been speci- fied for the fund.
DELIVERY- OPTION	String	1	Option al		Should be left blank. Applicable only if Delivery options have been speci- fied for the fund.
TRANSAC- TIONSUB- TYPE	String	1	Option al		This is applicable only for Limit orders. Hence it can be left blank
LIMITOR- DERDETAILS	String	2000	Option al		This is applicable only for Limit orders. Hence it can be left blank
REVERSAL- CODE	String	2	Option al		This is not used for New mode. This is applicable only for Reversals. In case of reversals this should be one of the valid reversals as maintained in the Par- ams maintenance
CANCELIN- STRUCTION	String	2	Option al		Should be left blank.
FROMFUND- PRICEBASIS	String	10	Option al		If price basis is applicable for the fund then a valid price basis code main- tained in the system should be provided
TOFUND- PRICEBASIS	String	10	Option al		If Switch then, If price basis is applicable for the fund then a valid price basis code maintained in the sys- tem should be provided
TXN_OR_PRI CE_DATE_FL AG	String	1	Option al		Applicable only for price basis funds
INTERMEDI- ARYDETAILS	String	2000	Option al		Concatenated value of bro- ker and split %. If not provided, default at the customer account level is picked up.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
FROMPRICE- DATE	Date		Option al		Applicable only for price basis funds
TOPRICE- DATE	Date		Option al		Applicable only for price basis funds
SUBSCRIP- TIONFUNDID	String	6	Option al		Applicable for pseudo switches
SUBSCRIP- TIONPRICE- BASIS	String	10	Option al		Applicable for pseudo switches
PAYMENTAL- LOWED	Num- ber	1	Option al		Should be left blank.
LOADOVER- RIDEINFO	String	2000	Option al		Load override information list of records separated by ";". Each record represents load override for a specific load. Each record is of the form "LOADID,FUN- DID,CHANGETYPE,CHAN GEVALUE,GROUPID", where Load ID - Valid load id as maintained in the sys- tem, Fund Id - Current fund Id, Change type - Should 'I', 'D' or 'R' representing Increase, Decrease or Return value respectively, Change value - The over- ride value.
DERIVED- LOADOVER- RIDEINFO	String	2000	Option al		Similar to Load for Derived Load
PROCESSID 1	String	51	Man- datory		Should be same as the Process Id
SUBLOADO- VERRIDEDE- TAILS	String	2000	Option al		Applicable for pseudo switches
SUBDERIV- EDLOADDE- TAILS	String	2000	Option al		Applicable for pseudo switches

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
SUBSETTLE- MENTDATE	Date		Option al		Applicable for pseudo switches
SUBPRICE- DATE	Date		Option al		Applicable for pseudo switches
SUBEX- CHRATEO- VERRIDEDE TAILS	String	2000	Option al		Applicable for pseudo switches
BASECOST	Num- ber	15,6	Option al		Should be left blank
EXCHANG- ERATEDE- TAILS	String	35	Option al		Should be left blank
LOCKINPE- RIODFOR- GAIN	Num- ber	4	Option al		
FEECUR- RENCY	String	3	Option al	Valid val- ues are 'FBC' and 'TC'	Could be either "FBC" – Fundbase Currency and "TC" - Transaction Cur- rency
MATURITY- DATE	Date		Option al		
AUTO- CLEARREIN- VESTMENTS	String	1	Option al	Valid val- ues are 0 , 1 and 2	This is Applicable only for transaction type should be Percentage and Percent- age should be 100.
AUTO- CLEARPRO- VISIONALBA LANCE	String	1	Option al	Valid val- ues are 0 , 1 and 2	This is Applicable only for transaction type should be Percentage and Percent- age should be 100.
SUBSOUR- CEID	VARCH AR2	6	Option al		
CERTSPILL- OVER	NUM- BER	1	Option al		Valid values are 0 ,1 and 2
ISSUED	NUM- BER	1	Option al		Valid values 0,1 and 2
BLOCKTXN- NUMBER	VARCH AR2	16	Option al		Enter this field for unblock transactions
CPMFBO- NUSPER- CENT	NUM- BER		Option al		Should be between 1 to 100

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
FXDEAL- DATE	DATE	10	Option al	Applica- ble for only IPO Subscription/ Subscription/ Redemp- tion and Pseudo Switch	Would be defaulted by the system if not specified. Used to derive the exchange rate.
FXVALUE- DATE	DATE	10	Option al	Applica- ble for only IPO Subscription/ Subscription/ Redemp- tion and Pseudo Switch	Would be defaulted by the system if not specified. Used to derive the exchange rate.
CPMFRED- ITLAG	NUM- BER	3	Option al		No of Days
RETAINAGE- ING	NUM- BER	1	Option al		Valid values 0,1,2
TXNSERIAL- NUMBER					
DEALING- DATE					
COMPLE- TIONDATE					
EUSDOP- TION					
TODEALING- DATE					
KYCCHAS- INGDATE					
KYCRE- CEIVED					
SWIINEX- CHANGER- ATEAPPLIED					

Field Name (as expected in the file)	Data type	Field length	Manda tory	Character istics / rules	Values
AUTO- CLEARREIN- VESTMENTS					
AUTO- CLEARPRO- VISIONALBA LANCE					

Segment Identification Number: 01SET (Settlement Information)

Field Name (as expected in the file)	Data type	Field length	Mand atory	Values
SEGMEN- TID	VARC HAR2	20	Man- datory	SegmentID is used for identifying the settle- ment details. In this case Segment ID will be '01SET'
TXNSERI- ALNUMBER	NUM- BER	10	Man- datory	This number is used to identify for which transaction this settlement details are used. i.e. if the TxnSerialNumber of a transaction is 1 then the TxnSerialNumber should be same for the settlement details also.
SEQUEN- CENUM- BER	NUM- BER	10	Man- datory	This is used for mentioning the sequence for the settlement details of a transaction
PRO- CESSID	VARC HAR2	50	Man- datory	This ID should be unique for each upload of transactions
BULKCLI- ENTCODE	VARC HAR2	12	Man- datory	All the defaults values for transaction will be taken up based on this Bulk Client Code.
IMPORT- FILENAME	VARC HAR2	255	Option al	File name should be the same as defined in File specifications of Interface definition.
AMCID	VARC HAR2	12	Man- datory	The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
UPLOAD- MODE	VARC HAR2	1	Man- datory	"N" for new transactions, "I" for amended transactions and "D" for transactions to be deleted.
PAYMEN- TREFER- ENCENUM BER	VARC HAR2	50	Option al	Used for entering the reference number for a payment.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
PAYMENT-MODE	VARC HAR2	2		Should be a valid payment mode. It cannot be Multi Payment Facility – 'M' which is not allowed at Settlement Level. If Payment Mode for Transaction is other than Multi Payment facility then Payment mode for settlement should be same as that for the transaction.
SUBPAYMENT-MODE	VARC HAR2	2	Optional	Should be a valid Sub payment mode. It cannot be Multi Payment Facility – 'M' which is not allowed at Settlement Level. If Payment Mode for Transaction is other than Multi Payment facility then Sub Payment mode for settlement should be same as that for the transaction.
PAYMENT-CURRENCY	VARC HAR2	3	Optional	Should be a valid Currency as defined in the system.
PAYMENT-DATE	DATE	10	Optional	Date at which the payment has happened.
PAYMENTAMOUNT	NUMBER	15	Optional	Amount for which the payment has happened.
BANKCHARGES	NUMBER	15	Optional	This field is used for capturing any charges that are bourned by the Bank
PAYMENTCHARGES	NUMBER	15	Optional	This field is used for capturing any charges that are bourned by the Customer
EXCHANGERATE-SOURCE	VARC HAR2	6	Optional	Should be a valid Exchange Rate source, defined in the system.
EXCHANGERATE	NUMBER	15	Optional	Should be a numeric value which is used for calculating the FBC/TC equivalent
PAIDDATE	DATE	10	Optional	This field denotes the date at which the Clearing of the payment has happened.
AUTOSETTLEMENT	NUMBER	1	Optional	This field denotes whether manual clearing is required or auto clearing is required. 1 – Auto Clearing and 0 – Manual Clearing
SETTLEMENT-METHOD	VARC HAR2	5	Optional	Method based on which

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
SETTLEMENTSTATUS	VARC HAR2	2	Optional	Settlement amount is computed and matched with the payment amount in FBC/TC. Valid values are GA – Gross Amount, NF – Net of FM Fees, NA – Net of Agent Fees, NAL – Net of All Fees.
CHEQUE-DATE	DATE	10	Optional	If payment mode is by cheque, then this field denotes the date at which the cheque is drawn
CHEQUE-NUMBER	VARC HAR2	16	Optional	If payment mode is by cheque, then this field denotes the cheque number.
CHEQUE-CURRENCY	VARC HAR2	3	Optional	If payment mode is by cheque, then this field denotes the cheque currency.
CHEQUEAMOUNT	NUMBER	15	Optional	If payment mode is by cheque, then this field denotes the amount for which the cheque is drawn.
DRAWEEBANKCODE	VARC HAR2	12	Optional	Should be a valid Bank Code as defined in the system
DRAWEEBRANCH-NAME	VARC HAR2	20	Optional	NA. To be Blank
PAYMENTREMARKS	VARC HAR2	255	Optional	NA. To be Blank
PAYMENT-TYPE	VARC HAR2	1	Optional	Should be a valid Payment type as defined in Parameter Definition Setup. 'S' – Self, 'T' – Third Party, 'B' – Broker, 'A' – Absorbed/Paid Back, 'R' – Retained by, 'AP' – Advanced Payment.
THIRDPARTYADDRESS	VARC HAR2	255	Optional	In Case of Redemption if Payment type is Third Party then this field is used for mentioning the Third party Address
THIRDPARTYADDRESSLINE1	VARC HAR2	80	Optional	NA. To be Blank
THIRDPARTYADDRESSLINE2	VARC HAR2	80	Optional	NA. To be Blank
THIRDPARTYADDRESSLINE3	VARC HAR2	80	Optional	NA. To be Blank

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
THIRDPARTYADDRESSLINE4	VARCHAR2	80	Optional	NA. To be Blank
THIRDPARTYBICCODE	VARCHAR2	12	Optional	NA. To be Blank
THIRDPARTYCOUNTRYCODE	VARCHAR2	3	Optional	NA. To be Blank
THIRDPARTYPAYMENTREFERENCE	VARCHAR2	255	Optional	NA. To be Blank
THIRDPARTYSTATE	VARCHAR2	20	Optional	In Case of Redemption if Payment type is Third Party then this field is used for mentioning the Third party State
THIRDPARTYUSSTATE	NUMBER	1	Optional	In Case of Redemption if Payment type is Third Party then this field is used for mentioning the Third party US State
THIRDPARTYZIPCODE	VARCHAR2	10	Optional	In Case of Redemption if Payment type is Third Party then this field is used for mentioning the Third party Zip Code
TRANSFERACCOUNTCURRENCY	VARCHAR2	3	Optional	If the payment mode is Transfer, then this field is used to denote the Currency of the Account. Should be a valid currency as defined in the system. Should be same as that of the payment currency
TRANSFERACCOUNTHOLDERNAME	VARCHAR2	100	Optional	If the payment mode is Transfer, then this field is used to denote the account holder name
TRANSFERACCOUNTNUMBER	VARCHAR2	16	Optional	If the payment mode is Transfer, then this field is used to denote the account number used for transfer
TRANSFERACCOUNTTYPE	VARCHAR2	1	Optional	If the payment mode is Transfer, then this field is used to denote the account type. Should be a valid account type as defined in Parameters setup.
TRANSFERBRANCHCODE	VARCHAR2	12	Optional	If the payment mode is Transfer, then this field is used to denote the Branch code where the account is maintained. Should be a valid Branch Code.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
TRANSFERREFERENCE NUMBER	VARC HAR2	20	Optional	If the payment mode is Transfer, then this field is used to denote the Reference number for the transfer account details
CREDITCARDREFERENCE	VARC HAR2	16	Optional	If the payment mode is Credit Card, then this field is used to denote the reference number for the same
INKINDPAYMENTDETAILS	VARC HAR2	255	Optional	If the payment mode is In Kind Payment, then this field is used to capture the Payment details
PAYMENTADDRESSDETAILS	VARC HAR2	255	Optional	If the payment mode is Cheque, Then this field is used to capture the UH Address details. This is done only in case of any change in the same.
OLDPAYMENTREFERENCE	VARC HAR2	16	Optional	NA. Should be Blank
UHBICCODE	VARC HAR2	24	Optional	Used to capture the Biccode as a part of Payment routing details
SWIFTFORMAT	VARC HAR2	6	Optional	Used to capture the Swift Format as a part of Payment routing details
BANKCHARGED	VARC HAR2	12	Optional	Used to capture the Bank Charged as a part of Payment routing details
BENEFICIARY	VARC HAR2	35	Optional	Used to capture the Beneficiary details as a part of Payment routing details
BENEFICIARYADD1	VARC HAR2	35	Optional	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIARYADD2	VARC HAR2	35	Optional	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIARYADD3	VARC HAR2	35	Optional	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIARYBICCODE	VARC HAR2	24	Optional	Used to capture the Biccode for the Beneficiary as a part of Payment routing details
BENEFICIARYACCOUNTNO	VARC HAR2	24	Optional	Used to capture the Account Number for the Beneficiary as a part of Payment routing details
BENEFICIARYCODE	VARC HAR2	24	Optional	Used to capture the Code for the Beneficiary as a part of Payment routing details

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
BENEFICIARYINFO	VARC HAR2	100	Optional	Used to capture the Information, free format text, for the Beneficiary as a part of Payment routing details
INTERMEDIARY	VARC HAR2	35	Optional	Used to capture the Intermediary as a part of Payment routing details
INTERMEDIARYADD1	VARC HAR2	35	Optional	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYADD2	VARC HAR2	35	Optional	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYADD3	VARC HAR2	35	Optional	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYBICCODE	VARC HAR2	24	Optional	Used to capture the Intermediary Biccode as a part of Payment routing details
INTERMEDIARYACCOUNTNO	VARC HAR2	24	Optional	Used to capture the Intermediary Account Number as a part of Payment routing details
INTERMEDIARYCODE	VARC HAR2	24	Optional	Used to capture the Intermediary Code as a part of Payment routing details
INTERMEDIARYINFO	VARC HAR2	100	Optional	Used to capture the Intermediary Information, other information, as a part of Payment routing details
FURTHERCREDITNAME	VARC HAR2	35	Optional	Used to capture the Credit Name as a part of Payment routing details
FURTHERCREDITACCOUNTNO	VARC HAR2	35	Optional	Used to capture the Credit Account Number as a part of Payment routing details
REFERENCE1	VARC HAR2	35	Optional	Used to capture the Reference as a part of Payment routing details
REFERENCE2	VARC HAR2	35	Optional	Used to capture the Reference as a part of Payment routing details
ENTITYID	VARC HAR2	12	Optional	If the payment type is 'B' – Broker then this field will have a valid broker id as defined in the system
ENTITYTYPE	VARC HAR2	1	Optional	If the payment type = 'B' then Entity type would be 'B'.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
IBAN	String	36	Optional	Used to capture the IBAN
BENEFICIARYIBAN	String	36	Optional	Used to capture the BENEFICIARYIBAN
INTERMEDIARYIBAN	String	36	Optional	Used to capture the INTERMEDIARYIBAN
CAMPAIGN-CODE	String	6	Optional	Used to capture the CAMPAIGNCODE

Segment Identification Number: 02KYC (Transaction KYC Information)

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
SEGMENTID	VARCHAR2	20	Mandatory	SegmentID is used for identifying the settlement details. In this case Segment ID will be '01SET'
TXNSERIAL-NUMBER	NUMBER	10	Mandatory	This number is used to identify for which transaction this settlement details are used. i.e. if the TxnSerialNumber of a transaction is 1 then the TxnSerialNumber should be same for the settlement details also.
SEQUENCE-NUMBER	NUMBER	10	Mandatory	This is used for mentioning the sequence for the settlement details of a transaction
PROCESSID	VARCHAR2	50	Mandatory	This ID should be unique for each upload of transactions
BULKCLIENTCODE	VARCHAR2	12	Mandatory	All the defaults values for transaction will be taken up based on this Bulk Client Code.
IMPORT-FILENAME	VARCHAR2	255		File name should be the same as defined in File specifications of Interface definition.
AMCID	VARCHAR2	12	Mandatory	The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
UPLOAD-MODE	VARCHAR2	1	Mandatory	"N" for new transactions, "I" for amended transactions and "D" for transactions to be deleted.

Field Name (as expected in the file)	Data type	Field length	Mand atory	Values
TRANSACTIONNUMBER	VARCHAR2	16	Mandatory	Transaction Number
REQUESTED	VARCHAR2	1	Optional	1,0 (1 means requested the KYC Doc)
DOCUMENT-DESCRIPTION	VARCHAR2	255	Optional	KYC Doc Description
RECEIVED	VARCHAR2	1	Optional	0, 1 (1 means KYC Doc Received)
RECEIVED-DATE	DATE		Optional	If the received flag is 1, then received date is mandatory.

Segment Identification Number: 03AIF (Transaction Add Info Information)

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Values
SEGMENTID	VARC HAR2	20	Mandatory	SegmentID is used for identifying the settlement details. In this case Segment ID will be '01SET'
TXNSERIALNUMBER	NUMBER	10	Mandatory	This number is used to identify for which transaction this settlement details are used. i.e. if the TxnSerialNumber of a transaction is 1 then the TxnSerialNumber should be same for the settlement details also.
SEQUENCENUMBER	NUMBER	10	Mandatory	This is used for mentioning the sequence for the settlement details of a transaction
PROCESSID	VARC HAR2	50	Mandatory	This ID should be unique for each upload of transactions
BULKCLIENTCODE	VARC HAR2	12	Mandatory	All the defaults values for transaction will be taken up based on this Bulk Client Code.
IMPORTFILENAME	VARC HAR2	255	Optional	File name should be the same as defined in File specifications of Interface definition.
AMCID	VARC HAR2	12	Mandatory	The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
UPLOADMODE	VARC HAR2	1	Mandatory	"N" for new transactions, "I" for amended transactions and "D" for transactions to be deleted.
TRANSACTIONNUMBER	VARC HAR2	16	Mandatory	Transaction Number
REFERENCENUMBER	VARC HAR2	12	Mandatory	Transaction Ref.Number
OTHERINFO1	VARC HAR2	60	Optional	Txn Add Info 1
OTHERINFO2	VARC HAR2	60	Optional	Txn Add Info 2
OTHERINFO3	VARC HAR2	60	Optional	Txn Add Info 3
OTHERINFO4	VARC HAR2	60	Optional	Txn Add Info 4

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Values
OTHERINFO5	VARCHAR2	60	Optional	Txn Add Info 5
OTHERINFO6	VARCHAR2	60	Optional	Txn Add Info 6
OTHERINFO7	VARCHAR2	60	Optional	Txn Add Info 7
OTHERINFO8	VARCHAR2	60	Optional	Txn Add Info 8
OTHERINFO9	VARCHAR2	60	Optional	Txn Add Info 9
OTHERINFO10	VARCHAR2	60	Optional	Txn Add Info 10
OTHERINFO11	VARCHAR2	60	Optional	Txn Add Info 11
OTHERINFO12	VARCHAR2	60	Optional	Txn Add Info 12
OTHERINFO13	VARCHAR2	60	Optional	Txn Add Info 13
OTHERINFO14	VARCHAR2	60	Optional	Txn Add Info 14
OTHERINFO15	VARCHAR2	60	Optional	Txn Add Info 15
OTHERINFO16	VARCHAR2	60	Optional	Txn Add Info 16
OTHERINFO17	VARCHAR2	60	Optional	Txn Add Info 17
OTHERINFO18	VARCHAR2	60	Optional	Txn Add Info 18
OTHERINFO19	VARCHAR2	60	Optional	Txn Add Info 19
OTHERINFO20	VARCHAR2	60	Optional	Txn Add Info 20
OTHERINFO21	VARCHAR2	60	Optional	Txn Add Info 21
OTHERINFO22	VARCHAR2	60	Optional	Txn Add Info 22

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Values
OTHERINF O23	VARC HAR2	60	Optional	Txn Add Info 23
OTHERINF O24	VARC HAR2	60	Optional	Txn Add Info 24
OTHERINF O25	VARC HAR2	60	Optional	Txn Add Info 25
OTHERINF O26	VARC HAR2	60	Optional	Txn Add Info 26
OTHERINF O27	VARC HAR2	60	Optional	Txn Add Info 27
OTHERINF O28	VARC HAR2	60	Optional	Txn Add Info 28
OTHERINF O29	VARC HAR2	60	Optional	Txn Add Info 29
OTHERINF O30	VARC HAR2	60	Optional	Txn Add Info 30

2.6 File Format for Conversion Transactions

The following file format would need to be adhered to for upload of conversion transactions:

Field Name (as expected in the file)	Data Type	Mandatory?	Field Length
PROCESSID	Alphanumeric	Yes	50
BULKCLIENTCODE	Alphanumeric	Yes	12
IMPORTFILENAME	Alphanumeric	No	255
AMCID	Alphanumeric	No	12
UPLOADMODE	Alphanumeric	Yes	1
TRANSACTIONNUMBER	Alphanumeric	No	16
REFERENCENUMBER	Alphanumeric	No	16
TRANSACTIONDATE	Date	Yes	
UNITHOLDERID	Alphanumeric	Yes	12
FUNDID	Alphanumeric	Yes	25
UNITSAPPLIED	Numeric	No	15,6
FROMDELIVERYOPTION	Alphanumeric	No	1

Field Name (as expected in the file)	Data Type	Mandatory?	Field Length
FROMDELIVERYTYPE	Alphanumeric	No	1
FROMENTITYID	Alphanumeric	No	12
FROMACCOUNTNUMBER	Alphanumeric	No	16
FROMACCOUNTNAME	Alphanumeric	No	100
FROMADDRESSTYPE	Alphanumeric	No	2
FROMADDRESSLINE1	Alphanumeric	No	80
FROMADDRESSLINE2	Alphanumeric	No	80
FROMADDRESSLINE3	Alphanumeric	No	80
FROMADDRESSLINE4	Alphanumeric	No	80
FROMZIPCODE	Alphanumeric	No	10
FROMCOUNTRY	Alphanumeric	No	3
FROMBICCODE	Alphanumeric	No	12
FROMCERTIFICATEDETAILS	Alphanumeric	No	200
TODELIVERYOPTION	Alphanumeric	No	1
TODELIVERYTYPE	Alphanumeric	No	1
TOENTITYID	Alphanumeric	No	12
TOACCOUNTNUMBER	Alphanumeric	No	16
TOACCOUNTNAME	Alphanumeric	No	100
TOADDRESSTYPE	Alphanumeric	No	2
TOADDRESSLINE1	Alphanumeric	No	80
TOADDRESSLINE2	Alphanumeric	No	80
TOADDRESSLINE3	Alphanumeric	No	80
TOADDRESSLINE4	Alphanumeric	No	80
TOZIPCODE	Alphanumeric	No	10
TOCOUNTRY	Alphanumeric	No	3
TOBICCODE	Alphanumeric	No	12
TOCERTIFICATEDETAILS	Alphanumeric	No	200
AUTHREJECTSTATUS	Alphanumeric	Yes	1
MAKERID	Alphanumeric	No	15
MAKERDATE	Date	No	

Field Name (as expected in the file)	Data Type	Mandatory?	Field Length
CHECKERID	Alphanumeric	No	15
CHECKERDATE	Date	No	
MODULEID	Alphanumeric	No	30
REMARKS	Alphanumeric	No	255

2.7 Standing Instructions File Format

Note

For all imports of new and amended standing instructions data, the external hand-off file containing the information must:

- Always be named in the format “BulkSI*.*”.
- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
SEQUENCENUMBER	Number	10	Mandatory		System generated sequence number for the records in the file
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and should be same for all records within a single file.
BULKCLIENTCODE	String	12	Mandatory		The code for the bulk client.
IMPORTFILENAME	String	255	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	String	12	Mandatory		The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
UPLOAD-MODE	String	1	Mandatory		Upload mode can be N for New and I for amended transactions
SIID	String	16	Optional		For a new record, this will be blank. For amendment of an existing standing instruction either the SI ID or the fund - unit holder - transaction type should be supplied.
SIDESCRIPTION	String	255	Optional		Hand off file contents
FUNDID	String	25	Optional		The ID of a valid and enabled fund maintained in the system.
REFUNITHOLDERID	String	12	Optional		This must be left blank.
REFTOUNITHOLDERID	String	12	Optional		This must be left blank.
UNITHOLDERID	String	12	Optional		The unit holder ID or additional information to identify a unit holder in the system depending on the scheme/cross reference number.
TRANSACTION-TYPE	String	2	Optional		Valid transaction type in the system. The following are the valid transaction types allowed for bulk upload. 01-IPO, 02-Subscription, 03-Redemption, 04-Switch, 05-Transfer
EFFECTIVE-STARTDATE	Date	10	Optional		Should be greater than or equal to application date
EFFECTIVEEND-DATE	Date	10	Optional		Should be greater than effective start date
SIFREQUENCY	String	1	Optional		A valid frequency in the system. D-Daily. Could be any of the following: F- Fortnightly, H- Half yearly, M-Monthly, Q-Quarterly, W-Weekly, Y-Yearly

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
AMOUNT	Number	15,3	Optional		The amount of the transaction. Either amount, number of units or holdings percentage should be specified.
UNITS	Number	15,6	Optional		The number of units applied for the transaction. Either amount, number of units or holdings percentage should be specified.
HOLDING-SPER-CENTAGE	Number	5,2	Optional		The holdings percentage applied for the transaction. Either amount, number of units or holdings percentage should be specified.
TRANSACTION-CURRENCY	String	3	Optional		A valid currency maintained in the system
TOUNITHOLDERID	String	12		Optional	For standing instructions involving transfer transactions, this is the unit holder ID or additional information to identify a unit holder in the system depending on the scheme/cross reference number.
TOFUNDID	String	25		Optional	For standing instructions involving switch transactions, this is the ID of a valid fund maintained in the system, to which the investment will be switched. It cannot be the same as the Fund ID.
AGENT-CODE	String	12		Optional	The Code of a valid agent maintained in the system
BRANCH-CODE	String	12		Optional	The Code of a valid branch maintained in the system
MODULEID	String	30		Optional	
MODEOF-PAYMENT	String	1		Optional	Indicates the mode of payment. Can be any of the following values : Q-Cheque, T - Transfer, R – Credit card, C - Cash, D –Draft

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
PAYMENT-BRANCHCODE	String	12		Optional	The Code of a valid branch maintained in the system
TRANSFERAC-COUNTTYPE	String	1		Optional	A valid Account Type maintained in the system
TRANSFERAC-COUNTNUMBER	String	16		Optional	The number of the transfer account.for transfer and credit card payments
REMINDE-REBEFOREPERIOD	Number	3		Optional	Valid number
REMINDE-REBEFOREREACTION	Number	1		Optional	
SISTATUS	String	1	Optional		The status of the standing instruction. It can be : A-Active, P-Paused, C-Cancelled
GENERATEAUTH-TXN	Number	1	Optional		Values can be 0 or 1. A '1' value indicates that authorized transactions must be generated.
SITYPE	String	10	Optional		
SIESCALATION-FREQUENCY	String	1	Optional		Could be either 0 or 1. A value of '1' indicates that authorized transactions must be generated.
NEXTESCALATIONDATE	Date	10	Mandatory if Escalation type is provided		
ESCALATION-TYPE	String	1	Optional		The escalation can be of any of the following types: A - Amount or P - Percent

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
ESCALATION-VALUE	Number	20,6	Optional		The value by which the standing instruction amount must be escalated.
MAKERID	String	15	Optional		If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.
Maker_DT_STAMP	Date	10	Optional		If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECK-ERID	String	15		Optional	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for the generation of authorized transactions.
CHECKER_DT_STAMP	Date	10		Optional	If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for the generation of authorized transactions.
SICHEQUEDETAILS	String	2000		Optional	The information for the standing instruction checks. This would contain details of the cheque ID, cheque date and cheque processed. The appropriate field and record separators would separate the details.
AUTH_STAT	String	1	Mandatory	Optional	Could be either of the following values: "U" - Unauthorized, "A" - Authorized

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
GROSSORNET	String	1	Mandatory for transaction types (01, 02 & 03) i.e IPO, Subscription and redemption	Optional	Values can be G-Gross, N-Net
MEANSOFPURCHASE	String	2	Optional	Optional	Value should be a valid means of purchase code maintained in the system
ISSUED	String	1		Optional	Applicable for scrip based funds only
CERTREQD	String	1		Optional	Applicable for scrip based funds only
SINGLECERT	String	1		Optional	Applicable for scrip based funds only
TOSINGLECERT	String	1		Optional	Applicable for scrip based funds only
SUBPAYMENTMODE	String	2	Optional	Optional	Should be a valid sub payment mode maintained in the system
ESCALATIONSTARTDATE	Date	10	Mandatory if Escalation type is provided	Optional	Date > SI start date and < SI end date

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
ESCALATIONEND-DATE	Date	10	Mandatory if Escalation type is provided	Optional	Date > Escalation start date and < SI end date
PAYMENT-BANKCODE	String	12	Required for payment modes check transfer, credit card and demand draft	Optional	
TRANSFERACCOUNTHOLDER-NAME	String	60		Optional	Account holder name as maintained with the bank (required for Transfer payment mode)
PAYMENT-TYPE	String	1		Optional	Could be any of the values in the following list: S - Self, T - Third party, E - Entity
THIRDPARTY-PAYMENT-REFERENCE	String	255		Optional	Applicable for third party payments only
THIRDPARTY-ZIPCODE	String	6		Optional	Applicable for third party payments only
THIRDPARTY-USSTATE	Number	1		Optional	Applicable for third party payments only
DELIVERY-OPTION	String	1		Optional	Must be "R"

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
THIRD-PARTYBICCODE	String	12		Optional	Applicable for third party payments only
THIRD-PARTY-COUNTRY CODE	String	3		Optional	Applicable for third party payments only
THIRD-PARTYADDRESSLINE1	String	80		Optional	Applicable for third party payments only
THIRD-PARTYADDRESSLINE2	String	80		Optional	Applicable for third party payments only
THIRD-PARTYADDRESSLINE3	String	80		Optional	Applicable for third party payments only
THIRD-PARTYADDRESSLINE4	String	80	Optional		Applicable for third party payments only
TRANSFERREFERENCE NUMBER	String	20	Optional		Required for payment by credit cards.
CIFNUMBER	String	12	Optional		CIF Number of the unit holder. If not provided, it is picked from the system
TOCIFNUMBER	String	12	Optional		Required only if the standing instruction is for the transfer case.
POLICYNUMBER	String	16	Optional		At present not required as it is for the LEP
PRODUCTID	String	10	Optional		At present not required as it is for the LEP
ENTITYTYPE	String	1	Optional		If the payment mode is by transfer and the payment type is broker, then this should be 'B' else it can be left blank

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
ENTITYID	String	12	Optional		For the above condition if the entity type is 'B' then a valid broker code should be specified.
REFFUNDID	String	6	Optional		Specify the Fund code here
RETFUNDID	String	6			Specify the Fund code if the standing instruction is for switch type of instruction
DELIVERYDETAILS	String	2000	Optional		Must be left blank
CERTIFICATEDETAILS	String	2000	Optional		Applicable only for Scrip based funds
MINHOLDCHKREQ	Number	1	Optional		Should be 0
FROMFUNDPRICEBASIS	String	10	Optional		
TOFUNDPRICEBASIS	String	10	Optional		
SIINTERMEDIARYDETAILS	String	2000	Optional		Concatenated value of broker and split percentage. If not provided in the handoff file, default at the customer account level is picked up.
PHASEIN	Number	1	Optional		0, 1 (1 means Phasin applicable)
PHASEIN-TYPE	String	1	Optional	If PHASEIN is applicable then this field is mandatory.	

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
PHASEINOCURRENCESS	Number	3	Optional	If PHASEIN is applicable then this field is mandatory.	If PHASEIN is applicable then this field is mandatory. No of Phasein occurrences
PHASEINOCURRENCESS	Number	3	Optional	If PHASEIN is applicable then this field is mandatory.	If PHASEIN is applicable then this field is mandatory. No of Phasein occurrences
REMAININGOCURRENCESS	Number	3	Optional		System would update. No need to input while SI Upload
GENERATEON	String	255	Optional		
SWIFTFORMAT	VARC HAR2	6	Optional		Used to capture the Swift Format as a part of Payment routing details
BANKCHARGED	VARC HAR2	12	Optional		Used to capture the Bank Charged as a part of Payment routing details
BENEFICIARY	VARC HAR2	35	Optional		Used to capture the Beneficiary details as a part of Payment routing details
BENEFICIARYADD1	VARC HAR2	35	Optional		Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIARYADD2	VARC HAR2	35	Optional		Used to capture the Beneficiary address details as a part of Payment routing details

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
BENEFICIARYADD3	VARC HAR2	35	Optional		Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIARYBICCODE	VARC HAR2	24	Optional		Used to capture the Biccode for the Beneficiary as a part of Payment routing details
BENEFICIARYACCOUNTNO	VARC HAR2	24	Optional		Used to capture the Account Number for the Beneficiary as a part of Payment routing details
BENEFICIARYCODE	VARC HAR2	24	Optional		Used to capture the Code for the Beneficiary as a part of Payment routing details
BENEFICIARYINFO	VARC HAR2	100	Optional		Used to capture the Information, free format text, for the Beneficiary as a part of Payment routing details
INTERMEDIARY	VARC HAR2	35	Optional		Used to capture the Intermediary as a part of Payment routing details
INTERMEDIARYADDRESS1	VARC HAR2	35	Optional		Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYADDRESS2	VARC HAR2	35	Optional		Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYADDRESS3	VARC HAR2	35	Optional		Used to capture the Intermediary address as a part of Payment routing details
INTERMEDIARYBICCODE	VARC HAR2	24	Optional		Used to capture the Intermediary Biccode as a part of Payment routing details

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
INTERMEDIARYACCOUNTNO	VARCHAR2	24	Optional		Used to capture the Intermediary Account Number as a part of Payment routing details
INTERMEDIARYCODE	VARCHAR2	24	Optional		Used to capture the Intermediary Code as a part of Payment routing details
INTERMEDIARYINFO	VARCHAR2	100	Optional		Used to capture the Intermediary Information, other information, as a part of Payment routing details
FURTHERCREDITNAME	VARCHAR2	35	Optional		Used to capture the Credit Name as a part of Payment routing details
FURTHERCREDITACCOUNTNO	VARCHAR2	35	Optional		Used to capture the Credit Account Number as a part of Payment routing details
REFERENCE1	VARCHAR2	35	Optional		Used to capture the Reference as a part of Payment routing details
REFERENCE2	VARCHAR2	35	Optional		Used to capture the Reference as a part of Payment routing details
NOOFSI-TRANSACTIONS	Number	4	Optional		
SILEVEL	String	1	Optional	Valid values are 'F' and 'P'	Could be either of the following values: "F"- Fund Level and "P"- Plan Level
PLAN-CODE	String	6	Optional		

Field name (as expected in the file)	Data type	Field length	Mandatory	Characteristics/rules	Values
FUNDDE-TAILS	String	4000	Optional		Fund details should be in the following format separated by semicolon(“;”) Fundid,Issueid,CertReqd,SingleCert,MinHoldChkReq,FromFundBasis,contributionpercentage,contributionamount,RefFundid,AuthStatus;
FIRST-PAYMENTDATE	Date		Optional		
IBAN	String	36	Optional		Used to capture the IBAN
CAMPAIGN-CODE	String	6	Optional		Used to capture the CAMPAIGNCODE
BENEFICIARY-IBAN	String	36	Optional		Used to capture the BENEFICIARYIBAN
INTERMEDIARY-IBAN	String	36	Optional		Used to capture the INTERMEDIARYIBAN
SIPAYMENTREJECTIONCOUNTER					
SIAUTOTERMINATIONCOUNTER					

BulkSIFundTbl

Field name (as expected in the file)	Data type	Field length	Mandatory	Values
SEQUENCENUMBER	Number	10	Mandatory	System generated sequence number for the records in the file
PROCESSID	String	50	Mandatory	The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and should be same for all records within a single file.
SIID	String	16	Mandatory	For a new record, this will be blank. For amendment of an existing standing instruction either the SI ID or the fund - unit holder - transaction type should be supplied.
FUNDID	String	6	Mandatory	The ID of a valid and enabled fund maintained in the system.
ISSUED	String	1	Optional	
CERTREQD	String	1	Optional	
SINGLECERT	String	1	Optional	
MINHOLDCHKREQ	Number	1	Optional	
FROMFUNDPRICEBASIS	String	10	Optional	
CONTRIBUTIONPERCENTAGE	Number	5,2	Optional	
CONTRIBUTIONAMOUNT	Number	30,12	Optional	
REFFUNDID	String	6	Optional	

Field name (as expected in the file)	Data type	Field length	Mandatory	Values
AUTHSTATUS	String	1	Optional	

2.7.1 Standing Instructions Check Details Format

Column name (as expected in the file)	Data type	Length	Mandatory?	Description
CHEQUENUMBER	String	16	Mandatory	Each standing instruction must have a unique cheque number as mandatory information.
CHEQUEDATE	Date	10	Mandatory	The date of issue of the standing instruction check. Mandatory information.

2.8 Income Distribution Setup File Format

For all imports of unit holder income distribution setup data, the external hand-off file containing the information must

- Always be named in the format "BulkIDS*.**".
- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table as shown:

Field Name (as expected in the file)	Data type	Field length	Mandatory	Values
SEQUENCE-NUMBER	Number	10	Mandatory	System generated sequence number for the records in the file
PROCESSID	String	50	Mandatory	The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID.
BULKCLIENTCODE	String	12	Mandatory	The Code of the bulk client. This must remain same within a file.
IMPORT-FILENAME	String	255	Mandatory	Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	String	12	Mandatory	The ID of the AMC for which the bulk client has maintained the default details.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Values
UPLOAD- MODE	String	1	Man- datory	Upload mode can be N for new transac- tions and I for amended transactions
REFU- NITHOLDE- RID	String	12	Option al	Must be left blank
FUNDID	String	25	Man- datory	The ID of a valid fund maintained in the system
DISTRIBU- TIONMODE	String	1	Man- datory	The mode of distribution could be any of the following: R-Reinvest, P-Pay and B- Both.
PAYMENT- SPLITPER- CENTAGE	Num- ber	5,2	Option al	Percentage, in a valid percentage format. This will be one hundred percent for Pay distribution mode, and is mandatory infor- mation for both 'Pay' and 'Both' distribu- tion modes.
CHEQUE- PAYMENT- SPLIT	Num- ber	5,2	Option al	Percentage, in a valid percentage format. Sum of check payment split and transfer payment split should be equal to 100.
TRANSFER- PAYMENT- SPLIT	Num- ber	5,2	Option al	Percentage, in a valid percentage format. Sum of check payment split and transfer payment split should be equal to 100.
XFERBANK- CODE	String	12	Option al	The Code of a valid bank maintained in the system
XFER- BRANCH- CODE	String	12	Option al	The Code of a valid branch maintained in the system
XFERAC- COUNT- TYPE	String	1	Option al	A valid Account Type maintained in the sys- tem
XFERAC- COUNT- NUMBER	String	16	Requir ed if Pay- ment- SplitPe rcentage > 0 and Pay- ment by Trans- fer	The account number of the transfer account.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Values
XFERAC- COUNT- CURRENCY	String	3		A valid currency maintained in the Currency Maintenance.
AGENT- CODE	String	12	Man- datory	The Code of a valid agent maintained in the system
BRANCH- CODE	String	12	Man- datory	Valid branch maintained in the system.
RULEEF- FECTION- DATE	Date	10	Man- datory	FCIS System Date
MAKERID	String	15	Option al	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.
MAKER- DATE	Date	10	Option al	If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECKERID	String	15	Option al	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for the generation of authorized income distribution records.
CHECKER- DATE	Date	10	Option al	If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for the generation of authorized income distribution records.
REINVEST- MENTDE- TAILS	String	2000	Option al	The data required for the reinvestment details. The field will contain a string with the values of fund ID, reinvestment unit holder ID, reinvestment fund ID and split percentage separated by the appropriate field and record separators.

Field Name (as expected in the file)	Data type	Field length	Manda tory	Values
AUHTYPE	String	1	Man- datory	Could be either of the following values: "U" - Unauthorized, "A" - Authorized
PAYMENT- MODE	String	1	Option al	Indicates mode of payment. If the mode of payment is not Reinvestment (R), you may specify the mode as (T) for Transfer or (Q) for Cheque
SUBPAY- MENTMODE	String	2	Option al	Could be either of the following values: T - Transfer or Q - Cheque
PAYMENT- TYPE	String	1	Option al	Can be 'T' or 'S' to indicate third party or self.
THIRDPAR- TYPAYMEN- TREFEREN CE	String	255	Option al	From file. Applicable for third party pay- ments
THIRDPAR- TYPAYMEN- ADDRESS	String	255	Option al	From file. Applicable for third party pay- ments
THIRDPAR- TYPAY- MENTCITY	String	20	Option al	From file. Applicable for third party pay- ments
THIRDPAR- TYPAY- MENTSTATE	String	20	Option al	From file. Applicable for third party pay- ments
USSTATE	Num- ber	1	Option al	Could be either 0 for No or 1 for Yes
THIRDPAR- TYPAY- MENTZIPCO DE	String	10	Option al	From file. Applicable for third party pay- ments
XFERAC- COUNT- HOLDERNA ME	String	100	Requir ed if Pay- ment- SplitPe rcent- age > 0	
ENTITY- TYPE	String	1	Option al	Must be left blank
ENTITYID	String	12	Option al	Must be left blank

Field Name (as expected in the file)	Data type	Field length	Manda tory	Values
REFUNDID	String	6	Option al	Must be left blank
IDENTITY- TYPE	String	1	Man- datory	Should be "U" to indicate Unit Holder
IDENTI- TYID	String	12	Man- datory	Unit Holder ID
SWIFFOR- MAT	VARC HAR2	6	Option al	Used to capture the Swift Format as a part of Payment routing details
BANKCHAR GED	VARC HAR2	12	Option al	Used to capture the Bank Charged as a part of Payment routing details
BENEFI- CIARY	VARC HAR2	35	Option al	Used to capture the Beneficiary details as a part of Payment routing details
BENEFICIAR YADD1	VARC HAR2	35	Option al	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIAR YADD2	VARC HAR2	35	Option al	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIAR YADD3	VARC HAR2	35	Option al	Used to capture the Beneficiary address details as a part of Payment routing details
BENEFICIA- RYBICCODE	VARC HAR2	24	Option al	Used to capture the Biccode for the Benefi- ciary as a part of Payment routing details
BENEFI- CIARYAC- CTNO	VARC HAR2	24	Option al	Used to capture the Account Number for the Beneficiary as a part of Payment rout- ing details
BENEFI- CIARYCODE	VARC HAR2	24	Option al	Used to capture the Code for the Benefi- ciary as a part of Payment routing details
BENEFI- CIARYINFO	VARC HAR2	100	Option al	Used to capture the Information, free for- mat text, for the Beneficiary as a part of Payment routing details
INTERMEDI- ARY	VARC HAR2	35	Option al	Used to capture the Intermediary as a part of Payment routing details
INTERMEDI ARYADD1	VARC HAR2	35	Option al	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDI ARYADD2	VARC HAR2	35	Option al	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDI ARYADD3	VARC HAR2	35	Option al	Used to capture the Intermediary address as a part of Payment routing details
INTERMEDI- ARYBIC- CODE	VARC HAR2	24	Option al	Used to capture the Intermediary BIC code as a part of Payment routing details

Field Name (as expected in the file)	Data type	Field length	Manda tory	Values
INTERMEDI- ARYAC- CTNO	VARC HAR2	24	Option al	Used to capture the Intermediary Account Number as a part of Payment routing details
INTERMEDI- ARYCODE	VARC HAR2	24	Option al	Used to capture the Intermediary Code as a part of Payment routing details
INTERMEDI- ARYINFO	VARC HAR2	100	Option al	Used to capture the Intermediary Informa- tion, other information, as a part of Pay- ment routing details
FURTHER- CREDIT- NAME	VARC HAR2	35	Option al	Used to capture the Credit Name as a part of Payment routing details
FURTHER- CREDITAC- CTNO	VARC HAR2	35	Option al	Used to capture the Credit Account Num- ber as a part of Payment routing details
REFERENC E1	VARC HAR2	35	Option al	Used to capture the Reference as a part of Payment routing details
REFERENC E2	VARC HAR2	35	Option al	Used to capture the Reference as a part of Payment routing details
POLICYN- UMBER	String	16	Option al	
PRODUCTID	String	10	Option al	
PAYMENT- CURRENCY	String	3	Option al	Valid Currency Code being maintained in the system
IBAN	String	36	Option al	Used to capture the IBAN
BENEFI- CIARYIBAN	String	36	Option al	Used to capture the BENEFICIARYIBAN
INTERMEDI- ARYIBAN	String	36	Option al	Used to capture the INTERMEDIARYIBAN

2.8.1 Reinvestment Details Format

Column name (as expected in the file)	Data type	Length	Mandatory?	Description
REINVESTMENTUNITHOLDERID	String	12	Mandatory	For unit holder income distribution setup records, this is the same as the unit holder ID and is defaulted during processing.
REINVESTMENTFUNDID	String	6	Mandatory	The ID of the fund into which the income is being reinvested. The reinvestment fund ID should be unique for an income distribution setup record.
SPLITPERCENTAGE	Number	5, 2	Mandatory	The split percentage to indicate the percentage of income that must be reinvested into the reinvestment fund. The sum of the split percentages for an income distribution setup should add up to one hundred.

2.9 Transaction Load Override File Format

Note

For all imports of transaction load override data, the external hand-off file containing the information must

- Always be named in the format “BulkTxnOverride*.*”.
- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Values
PROCESSID		50	Mandatory	The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID.
BULKCLIENTCODE		9	Mandatory	The Code of the bulk client.
IMPORTFILENAME		2000	Mandatory	The name of the file being uploaded should be specified. Each file must have a unique name.
AMCID		6	Mandatory	The ID of the AMC for which the bulk client has maintained the default details.

Field Name (as expected in the file)	Data type	Field length	Manda tory?	Values
UPLOAD- MODE		1	Man- datory	"N" for new transactions, "I" for amended transactions.
TRANSACTIONNUM- BER		16	Option al	The number of the transaction for which override is performed. Either the transaction number or reference number must be specified as mandatory information.
REFEREN- CENUMBER		16	Option al	The reference number of the transaction for which override is performed. Either the transaction number or reference number must be specified as mandatory information.
LOADFRO- MENTITY- TYPE		1	Man- datory	The 'From' entity type for the load being overridden. The entity type should be a valid entity maintained in the system, and can be any of the following: A - Agent, B - Broker, D - Distributor, M - AMC, N - Branch, R - Registrar, T - Trustee, U - Unit holder, F - Fund. The 'From' and 'To' entity types cannot be the same.
LOADTOEN- TITYTYPE		1	Man- datory	The 'To' entity type for the load being overridden. The 'From' and 'To' entity types are used to identify the load being overridden. In case two loads have the same 'From' and 'To' entities for a particular transaction number, all records corresponding to that transaction number are rejected. Must be a valid entity as listed in previous row.
OVERRIDE- LOADA- MOUNT		15,6	Option al	The overridden load amount. Either the overridden load amount or the overridden return value must be specified as mandatory information.
OVERRI- DERRETURN- VALUE		15,6	Option al	The overridden load return value. Either the overridden load amount or the overridden return value must be specified as mandatory information.
MAKERID		15	Option al	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.

Field Name (as expected in the file)	Data type	Field length	Manda tory?	Values
MAKERDATE		10	Option al	If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECKERID		15	Option al	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for the generation of authorized load override records.
CHECKER- DATE		10	Option al	If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for the generation of authorized load override records.
AUTHTYPE		1	Man- datory	Could be either of the following values: "U" - Unauthorized, "A" - Authorized

2.10 Fund Price File Format

Note

For all imports of transaction fund price data, the external hand-off file containing the information must

- Always be named in the format "BulkFP*. *".
- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field Name (as expected in the file)	Data type	Field length	Mandat ory?	Characteri stics / rules	Values
SEQUENCE- NUMBER	Num- ber	10	Manda- tory		System generated sequence number for the records in the file
PROCESSID	String	50	Manda- tory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID.

Field Name (as expected in the file)	Data type	Field length	Mandat ory?	Characteri stics / rules	Values
BULKCLI- ENTCODE	String	12	Manda- tory		The Code of the bulk cli- ent. This should be same within a file.
IMPORTFILE- NAME	String	255	Manda- tory		Name of the file being uploaded should be speci- fied. Each file must have a unique name.
AMCID	String	12	Manda- tory		The ID of the AMC for which the bulk client has maintained the default details.
FUNDID	String	25	Manda- tory		The ID of the fund that is valid and enabled in the system.
EFFECTIVE- DATE	Date	10	Optiona l		The date on which the uploaded price is effective.
REALNAVPE- RUNIT	Num- ber	15,6	Option al		The Real NAV per Unit for the fund on the effective date.
TOTALNE- TASSET	Num- ber	28,6	Option al		The total value of the net assets for the fund.
FLOOR- PRICE	Num- ber	15,6	Option al		The floor price for the fund.
CEILING- PRICE	Num- ber	15,6	Option al		The ceiling price for the fund.
MAKERID	String	15	Option al		If this information is speci- fied in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not speci- fied, the ID of the logged in user at the time of import is taken by default as the Maker ID.
MAKERDATE	Date	10	Option al		If the date is not specified in the import file, the appli- cation date is considered to be the Maker Date by default.

Field Name (as expected in the file)	Data type	Field length	Mandat ory?	Characteri stics / rules	Values
CHECKERID	String	15	Option al		If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for the generation of authorized fund price records.
CHECKER- DATE	Date	10	Option al		If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for the generation of authorized fund price records.
PRICECOM- PDETAILS	String	2000	Option al		The details of the price components. This would contain the component ID and component value required for the fund and effective date, with suitable field and record separators.
AUTHTYPE	String	1	Manda- tory		Could be either of the following values: "U" - Unauthorized, "A" - Authorized
BASEPRICE- CONSTANT	String	500	Option al		

2.11 Broker File Format

Note

For all imports of broker data, the external hand-off file containing the information must

- Always be named in the format "BulkBRK*.***".
- Always contain all information marked as mandatory in the table below.

- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCENUMBER	Number	10	Mandatory		System generated sequence number for the records in the file
PROCESSID	String	50	Mandatory		Process Id along with the system generated sequence number identifies the uploaded record uniquely. Each file should have a unique process id.
BULKCLIENTCODE	String	12	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	This is the bulk client code.
IMPORTFILENAME	String	255	Mandatory		Name of the file being uploaded should be specified. This should be unique within a file.
UPLOADMODE	String	1	Mandatory		Should be "N" for New unit holder uploads and 'I' for Information change.
AMCID	String	12	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	The Id of the AMC/Distributor for which the bulk client has maintained the default details.
BROKERCODE	String	9	Mandatory		Accepted from the user's specification for the same in the hand off file contents

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
BROKER-NAME	String	100	Mandatory		Accepted from the user's specification for the same in the hand off file contents
PARENT-BROKER-CODE	String	9	Mandatory		Accepted from the user's specification for the same in the hand off file contents
BROKERBASECCY	String	3	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the valid values maintained in Currency Maintenance. If value is not given in the import file, then the Default broker base currency value mentioned in the Bulk Client Defaults Maintenance for the bulk client will be used.
DELETED-STATUS	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Indicates whether the record is already deleted (0) or not
OVERRIDENTAX-PERCENTAGE	Number	15,6	Optional		
LEVELNUMBER	Number	3	Optional		If the parent broker code is same as the broker code, then the level number is 1. Else the level number is parent broker code level number+1

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
VATREGIS-TERED	Number	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Indicates whether the VAT is registered or not.
VATREGISTRATION-NUMBER	String	15	Optional		If vat is registered then this field gives the information about the VAT
COMMISSIONPERCENTAGE	Number	5,2	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Percentage of commission to the broker
COMMISSIONPAYMENTFREQ	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values in the following list from Frequency Table: B-Bi-Weekly, W - Weekly, F - Fortnightly, M - Monthly, Q - Quarterly, H - Half Yearly, Y - Yearly
UNITHOLDERID	String	12	Optional		
NEXTPAYMENTDATE	DATE		Mandatory		Gives the next payment date of the broker.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
BROKER-TYPE	String	6	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the valid Broker types maintained.
USEBROKERTYPEPAYMENTDATES	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either 0 and 1
BROKER-CONSULTANT	String	40	Optional		Accepted from the user
BROKER-CATEGORY	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the values in the following list: I – Individual Or C – Corporate
HOLDBACK-PAYMENT	Number	1	Optional		Could be either 0 and 1
PRIMARYAD DRESSLINE 1	String	80	Mandatory		Accepted from the user's specification
PRIMARYAD DRESSLINE 2	String	80	Mandatory		Accepted from the user's specification

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
PRIMARYAD DRESSLINE 3	String	80	Optional		Accepted from the user's specification
PRIMARYAD DRESSLINE 4	String	80	Optional		Accepted from the user's specification
PRIMARY- ZIPCODE	String	10	Optional		Accepted from the user's specification
PRIMARYTE LEPHONE1	String	15	Optional		Accepted from the user's specification
PRIMARYTE LEPHONE2	String	15	Optional		Accepted from the user's specification
PRIMA- RYCELL- PHONENUM BER	String	16	Optional		Accepted from the user's specification
PRIMARY- FAX	String	15	Optional		Accepted from the user's specification
PRIMARYE- MAIL	String	60	Optional		Accepted from the user's specification
SECOND- ARYADDRE SSLINE1	String	80	Optional		Accepted from the user's specification
SECOND- ARYADDRE SSLINE2	String	80	Optional		Accepted from the user's specification
SECOND- ARYADDRE SSLINE3	String	80	Optional		Accepted from the user's specification
SECOND- ARYADDRE SSLINE4	String	80	Optional		Accepted from the user's specification
SECONDA- RYZIPCODE	Number	10	Optional		Accepted from the user's specification
SECOND- ARYCOUN- TRY	String	3	Optional		Accepted from the user's specification

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SECONDARY-USSTATE	Number	1	Optional		Accepted from the user's specification
SECONDARYTELEPHONE1	String	15	Optional		Accepted from the user's specification
SECONDARYTELEPHONE2	String	15	Optional		Accepted from the user's specification
SECONDARYFAX	String	15	Optional		Accepted from the user's specification
SECONDARYEMAIL	String	60	Optional		Accepted from the user's specification
EFFECTIVEFROMDATE	DATE		Optional		Accepted from the user's specification
EFFECTIVETO-DATE	DATE		Optional		Accepted from the user's specification
SWIFTADDRESSLINE1	String	80	Optional		Accepted from the user's specification
SWIFTADDRESSLINE2	String	80	Optional		Accepted from the user's specification
SWIFTADDRESSLINE3	String	80	Optional		Accepted from the user's specification
SWIFTADDRESSLINE4	String	80	Optional		Accepted from the user's specification
SWIFT-COUNTRY	String	3	Optional		Accepted from the user's specification
SWIFTBIC-CODE	String	12	Optional		Accepted from the user's specification

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
BANKDE-TAILS	String	2000	Optional		The following values would have to be supplied with delimiters in case of more than one set of Bank Details is maintained: Bank Code, Branch Code, Account Type, Account Number, Account name, Account Currency, Default. The delimiter would be either comma (",") for each set and a semi colon (";") to separate the two sets of bank details.
OTHERINFO 1	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 2	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 3	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO4	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO5	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO6	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO7	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO8	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO9	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO10	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO11	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO 12	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 13	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 14	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 15	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO 16	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 17	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 18	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO 19	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO20	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO21	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO22	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO23	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	

Field Name (as expected in the file)	Data type	Field length	Manda tory	Characteri stics / rules	Values
OTHERINFO 24	String	60	Option al	Value defaulted as main- tained in Bulk client defaults in the absence of informa- tion in the file	
OTHERINFO 25	String	60	Option al	Value defaulted as main- tained in Bulk client defaults in the absence of informa- tion in the file	
OTHERINFO 26	String	60	Option al	Value defaulted as main- tained in Bulk client defaults in the absence of informa- tion in the file	
OTHERINFO 27	String	60	Option al	Value defaulted as main- tained in Bulk client defaults in the absence of informa- tion in the file	

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
OTHERINFO28	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO29	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
OTHERINFO30	String	60	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	
DISTRIBUTIONMODE	String	1	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be any of the values from the following list: P-Payment Mode, R –Reinvestment Mode or B-Both

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
PAYMENT-SPLITPERCENTAGE	Number	5,2	Optional		Should be 100 if distribution mode is (P). If the distribution mode is (R) the total count of the Reinvestment details payment Split percentage should be zero
CHEQUE-PAYMENT-SPLIT	Number	5,2	Optional		Should be 0 if the distribution mode is (R). If the payment mode is check it should be 100 other wise zero
TRANSFER-PAYMENT-SPLIT	Number	5,2	Optional		If the distribution mode is (R) it should be 0. If the payment mode is transfer it should be 100 other wise zero
XFERBANK-CODE	String	12	Optional		Could be any valid bank code maintained in the system
XFER-BRANCH-CODE	String	12	Optional		Could be any valid branch code maintained in the system
XFERAC-COUNT-TYPE	String	1	Optional		Could be any valid Account Type
XFERAC-COUNT-NUMBER	Number	16	Optional		Could be nay valid Account Number
XFERAC-COUNT-CURRENCY,	String	3	Optional		Could be any valid Account Currency
PAYMENT-MODE	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values: Q-Check, T-Third Party

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SUBPAYMENTMODE	String	2	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values: Q-Cheque, T-Third Party
PAYMENTTYPE	String	1	Optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values: S- Self T-third Party
THIRDPARTYPAYMENTREFERENCE	String	255	Optional		Accepted from the User
THIRDPARTYPAYMENTADDRESS	String	20	Optional		Accepted from the User
THIRDPARTYPAYMENTCITY	String	20	Optional		Accepted from the User
THIRDPARTYPAYMENTSTATE	String	20	Optional		Accepted from the User
IDSUSSTATE	Number	1	Optional		Accepted from the User
THIRDPARTYPAYMENTZIPCODE	String	10	Optional		Accepted from the User

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
XFERAC-COUNT-HOLDERNAME	String	100	Optional		Accepted from the User
ENTITY-TYPE	String	1	Optional		Could be any valid entity type from Entity table
ENTITYID	String	12	Optional		Could be any valid entity Id from Entity table
REINVESTMENTDETAILS	String	2000	Optional		The following values would have to be supplied with delimiters in case of more than one set of reinvestment Details. The delimiter would be either comma (",") for each set and a semi colon (";") to separate the two sets of reinvestment details.
AUTHTYPE	String	1	Mandatory	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	Could be either of the following values: "U" - Unauthorized, "A" – Authorized
MAKERID	String	15	optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
MAKER-DATE	DATE		optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECKERID	String	15	optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for authorized unit holder generation.
CHECKER-DATE	DATE		optional	Value defaulted as maintained in Bulk client defaults in the absence of information in the file	If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for authorized unit holder generation.
XFERIBAN	String	36	Optional		Used to capture the XFER-IBAN
RULEEFFECTIVE-DATE	DATE				
BrokerStatus					

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
LEGACYDE-TAILS					
FEEDPREFERENCES					
BENEFICIARYIBAN					
INTERMEDIARYIBAN					
SEGMENTID					
PRIMARY-COUNTRY					
PRIMARY-USSTATE					

2.12 Unit Holder Deal File Format

Note

For all imports of unit holder deal information, the external hand-off file containing the information must

- Always be named in the format “*.*”.
- Always contain all information marked as mandatory in the table below.

- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCENUMBER	Number	number(10)	Mandatory		System generated sequence number for the records in the file
PROCESSID	String	varchar2(50)	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	String	varchar2(12)	Mandatory		The Code of the Bulk client.
IMPORTFILENAME	String	varchar2(255)	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
UPLOADMODE	String	varchar2(1)	Mandatory		Upload mode can be "N" for New unit holder uploads and 'I' for Information change.
AMCID	String	varchar2(12)	Mandatory		The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
DEALTRANSACTIONNUMBER	String	VARC HAR2(16)	Optional		Null for a new mode. It may or may not be passed for other modes.
UHDORCIFNUMBER	String	VARC HAR2(12)	Mandatory		Could be any valid unit holder ID or CIF number maintained in the system.
APPLYATCIFLEVEL	Number	NUMBER(1)	Optional		Could be either 0- No or 1-Yes. If not supplied, value to be taken from bulk client defaults
APPLYDEALAT	String	VARC HAR2(1)	Mandatory		Could be any of the following values: G- Group Level, P- Product Level, F-Fund Level, L-Load level.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
STATUS	String	VARC HAR2(1)	Mandatory		Could be either A- Active or C- Cancelled.
EFFEC-TIVE-STARTDATE	date	DATE	Mandatory		The effective date from which the deal is applicable
EFFEC-TIVEEND-DATE	date	DATE	Optional		The effective date on which the deal ends. In case of null values it will take the default value as the system high date.
AUTHSTA-TUS	String	VARC HAR2(1)	Mandatory		Could be either A- Authorized or U- Unauthorized.
LOAD-GROUPID	String	VARC HAR2(16)	Optional		Could be any valid group ID maintained in system.
FUNDID	String	VARC HAR2(6)	Optional		Could be any valid fund ID maintained in the system.
LOADID	Number	NUMBER(5)	Mandatory		Could be any valid load ID maintained in the system.
LOAD-SLABDE-TAILS	String	VARC HAR2(2000)	Optional		Could be any valid slab details maintained for the load in the system. It should have the slab number and the return value. Field separator is "," and record separator is ";". slabno>, <returnvalue>;
DERIVED-LOAD-SLABDET AILS	String	VARC HAR2(2000)	Optional		Could be any valid slab details maintained for the derived load in the system. It has derived load id, and return value. Field separator is "," and record separator is ";". <derivedloadid> ,<returnvalue>;
APPLYRE TVALUE-TOALLS LABS	Number	NUMBER(1)	Optional		Could be either 0-No or 1-Yes
RETURN-VALUE	Number	NUMBER(15,6)	Optional		If the above field is '1', then return value is applicable to all the slabs

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
PRODUC-TID	String	VARC HAR2(10)	Optional		Could be any valid product ID maintained in the system. For UT it should be 'UT'. 'ALL' – Option would be applicable for all products.
MAKERID	String	VARC HAR2(15)	Optional		If not supplied in the handoff file, value is defaulted as maintained in Bulk client defaults.
MAKER-DATE	date	DATE	Optional		If not supplied in the handoff file, value is defaulted as maintained in Bulk client defaults.
CHECK-ERID	String	VARC HAR2(15)	Optional		If not supplied in the handoff file, value is defaulted as maintained in Bulk client defaults.
CHECK-ERDATE	date	DATE	Optional		If not supplied in the handoff file, value is defaulted as maintained in Bulk client defaults.
POLICYNUMBER	String	Varchar2(16)	Optional		Could be any valid Policy maintained in the system. For UT, it should be 'UT'.
DealBasedOn	String	Varchar2(1)	Optional		I – Inclusion Percentage A – Flat Rate Amount P – Flat Rate Percentage

2.13 Policy Transaction Upload Formats

The upload file would contain various segment identification numbers in the first column to indicate the type of data that is present in that entire row. Each segment, identified by a unique tag, indicates the type of information such as policy transaction details, transaction broker details, transaction fund ratio details and so on. Multiple transactions can be uploaded through in an upload file.

The possible segments that would be used in policy transaction upload are given below for reference:

Segment Identification Number	Description	Segment Mandatory / Optional?
00PXN	This segment is used for providing information common to the other policy transaction details.	Mandatory
00BRK	This segment is used for providing transaction broker related information	Mandatory

Segment Identification Number	Description	Segment Mandatory / Optional?
00FND	This segment is used for providing transaction fund ratio related information	Mandatory
00STL	This segment is used for providing transaction settlement related information	Optional
00SWF	This segment is used for providing transaction switch fund related information	Mandatory for switch transactions
00FOI	This segment is used for providing transaction fee override related information	Optional
00DFO	This segment is used for providing transaction derived fee override related information	Optional

Each of the segments have variable list of fields stored as information pertaining to that segment. The list of fields for each segment is mentioned in the following tables along with the description of the segment.

Note

For all imports of new and amended transactions data, the external hand-off file containing the information must:

- Always contain all information marked as mandatory in the table below.
 - Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below.
 - The Column Header on first line for Interface description of Policy transaction should always be false.
 - All the fields in the file should be of the format 'Text'.
-

2.13.1 Policy Transaction Upload Segment Formats

Serial Number: 1

Segment Identification Number: 00PXN

Description: This segment is used for providing information related to policy transactions that is to be uploaded into the system.

Mandatory: Mandatory and will be the driving header segment for all the other segments.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCE-NUMBER	Number	10	Mandatory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
BULKCLIENTCODE	String	12	Mandatory		The Code of the bulk client.
IMPORT-FILENAME	String	255	Mandatory		The name of the file as specified in the interface details
UPLOAD-MODE	String	1	Mandatory		"N" for new "D" for transactions to be deleted. "R" for reversal of transactions "A" for authorization of transactions "E" for transactions to be edited
AMCID	String	12	Mandatory		The ID of the AMC for which the bulk client has maintained the default details. This should be same within a file for all the records.
POLICYTXN-NUMBER	String	16	Mandatory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
POLICYNUMBER	String		Mandatory		Any additional reference number that can be given (optionally). No validations will be made for the same. The system will generate and update the Reference Number based on the Bulk Client Default Maintenance. For amendment, deletion or rejection, either the reference number or transaction number is mandatory.
TXNREFERENCE NUMBER	String	16	Optional		Any additional reference number that can be given (optionally) for new transactions. No validations will be made for the same. The system will generate and update the Reference Number based on the Bulk Client Default Maintenance. For amendment, deletion or rejection, either the reference number or transaction number is mandatory.
TXNTYPE			Mandatory		Type of the Transaction. The following are the valid transaction types allowed for bulk upload. 62 – Top-up transaction 65 – Surrender transaction 66 – Switch transaction
TXNDATE	Date		Mandatory		Indicates the value date of transaction. If this is specified in the import file, it must be on or later than the current application date. If not, the application date is considered by default to be the transaction date. Backdated transaction can be entered if backdated transactions are allowed in the corresponding product. If backdated transactions are not allowed, then this date must not be earlier than the Application Date.
TXNAMT	Number		Mandatory		The investment amount of the transaction.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
NETAMT	Number		Optional		
TXNBA-SECCY	String	3	Optional		A valid currency maintained in the system
TXNRE-MARKS	String	255	Optional		Brief description of the transaction, or any applicable remarks about the transaction.
MAKERID	String	15	Optional		If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, the ID of the logged in user at the time of import is taken by default as the Maker ID.
MAKER-DATE	Date	10	Optional		If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
CHECKER-ERID	String	10	Optional		If this information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for the generation of authorized transactions.
CHECKER-DATE	Date	10	Optional		If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for the generation of authorized transactions.
COUNTUP-DATESE-RIAL			Optional		
AUTHRE-JECTSTATUS	String	1	Mandatory		Values can be A-Authorized, U-Unauthorized, R-Rejected

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
AGENT-CODE	Number	12	Mandatory		Valid agent code maintained in the system
BRANCH-CODE	Number	12	Mandatory		Valid branch code maintained in the system
DRAWEEBANKCODE	Number	12	Optional		Valid bank code maintained in the system.
TRANSFER-BRANCHCODE	Number	12	Optional		Valid bank code maintained in the system
TRANSFERACCOUNTTYPE	String	1	Optional		Valid Account Type maintained in the system
TRANSFERACCOUNTNUMBER	String	16	Optional		
TRANSFERCURRENCY	String	3	Optional		A valid currency maintained in the system
PAYMENT-MODE	String	1	Optional		Indicates mode of payment. Can be any of the following values. Q-Cheque, T-Transfer, R-Credit card, C-Cash, D-Draft
CHEQUE-NUMBER	String	16	Optional		Indicates the check number for Payment mode (Q) and Credit card number for payment mode (R). This is mandatory if mode of Payment is check (Q) or credit card (R).
CHEQUE-DATE	Date		Optional		For check payment modes, this is the date of issue of the check. Must not be later than the current application date.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
CLEARING-DATE	Date		Optional		The date on which the check is expected to be cleared. If specified in the import file, it must not be earlier than the application date. If not, the system computes the same as a date = Cheque Date + Clearing Period and this computed date is considered by default to be the clearing date.
CLEARING-STATUS			Optional		The Cheque clearing status.
PRODUC-TID	String	10	Optional		ID of the product under which the corresponding Policy has been created
POLICY-HOLDERID			Optional		Identification number of the Policy Holder
POLICYTRANSACTIONMODE	String	1	Mandatory		Indicates the mode of the transaction. Can be any of the following : A-Amount, U- Units, P – Percentage
TOPUPINCLUSIVE		1	Optional		Indicates whether top up is inclusive. If yes, the top up amount is considered immediately for the next annuity payment.
TRANSFERORID			Optional		
PERCENTAGEAPPLIED	Number	5,2	Optional		Mandatory if Transaction mode is percentage
OLDPOLICYTXN-NUMBER			Optional		
MODULEID	String	30	Mandatory		
ADJUSTMENTTXN-TYPE			Optional		Adjustment Transaction Type

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
PORTFOLIOSWITCH			Optional		Indicates whether the switch is a complete or partial switch transaction. Portfolio switch is applicable to both transaction put through by amount or by percentage of holdings.
SURRENDERMON-EYPAYABLE	String		Mandatory		Indicates whom the surrender money is payable.
FUNDING-PERCENTAGE	Number	5	Optional		The funding factor that is applicable to the Policy transaction.
CANCELLED_PHASE1_NID			Optional		The cancelled IDs of the active PhaseIn setup
INTERESTAMOUNT	Number	15	Mandatory		The interest amount based on the interest calculation days and interest rate provided. If interest amount is not provided, then specify 0.
Adjustment-Transaction	Number	1	Optional		Valid values (0,1)
IBAN	String	36	Optional		Used to capture the IBAN
SOURCEID	VARCHAR2	6	Optional		The source from which the exchange rate is obtained, in case of multi-currency transactions
EXCHANGERATEAPPLIED	NUMBER	15,9	Optional		The exchange rate corresponding to the combination of policy base currency and policy transaction currency

2.13.2 Policy transaction broker related segment formats

Serial Number: 2

Segment Identification Number: 00BRK

Description: This segment is used for providing information related to brokers involved in the policy transactions

Segment Mandatory / Optional: Mandatory

Field Name (as expected in the file)	Data type	Field length	Mandatory ?	Characteristics / rules	Values
SEQUENCENUMBER	Number	10	Mandatory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
POLICYTXNUMBER	String	16	Mandatory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.
BROKERCODE	String	12	Optional		A valid broker code in the system should be entered
SPLITPERCENTAGE	Number	5,2	Mandatory if a broker is the Intermediary		Percentage, in a valid percentage format. Percentage of the commission that the selected broker is entitled to receive on any transactions put through for the investor

2.13.3 Policy Transaction Fund Ratio Related Segment Formats

Serial Number: 3

Segment Identification Number: 00FND

Description: This segment is used for providing information related to transaction fund ratio that is to be uploaded into the system.

Segment Mandatory / Optional: Mandatory

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCENUMBER	Number	10	Mandatory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
POLICYTXNUMBER	String	16	Mandatory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.
FUNDID	Alphanumeric	6	Mandatory		ID of the fund involved in the transaction. A valid fund id maintained in the system
RATIO		3	Optional		Indicates the investment ratio in the fund specified out of the total contribution towards the Policy.
TXNAMOUNT	Number		Mandatory		The investment amount of the transaction.
UNITSAPPLIED	Number	15,6	Optional		The number of units to be made in the fund out of the total contribution towards the Policy.
WAC			Optional		The take-on WAC. This will be used as the opening WAC in the fund. CGT computation for initial investment transaction will be based on the take-on WAC
AUTOCLEARPROVISIONALBALANCE		1	Mandatory		Indicates whether 100% outflow transactions include provisionally allotted units. Either '1' or '0'.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
AUTO-CLEAR-REINVESTMENTS		1	Mandatory		Indicates whether 100% outflow transactions include freeze held and reinvestment units. Either '1' or '0'.

2.13.4 Policy transaction fee settlement details related segment formats

Serial Number: 4

Segment Identification Number: 00STL

Description: This segment is used to provide transaction settlement related information.

Segment Mandatory / Optional: Optional

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
SEQUENCENUMBER	Number	10	Mandatory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
POLICYTXNUMBER	String	16	Mandatory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.
PAYMENTTYPE	String	1	Optional		Can have values as 'S' or 'T'. Means "Self" or "Third Party". Mandatory field for new mode
PAYMENTMODE	String	1	Optional		Indicates mode of payment. Can be any of the following values. Q-Cheque, T-Transfer, R-Credit card, C-Cash, D-Draft

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
PAYMENT-ENTITY	String	1	Optional		If the payment mode is by transfer and the payment type is broker, then this should be 'B' else it can be left blank
DRAWEE BANK-CODE	Number	12	Optional		Valid bank code maintained in the system.
TRANSFER-BRANCHCODE	Number	12	Optional		Valid bank code maintained in the system
TRANSFER-ACCOUNTTYPE	String	1	Optional		Valid Account Type maintained in the system
TRANSFER-ACCOUNTNUMBER	String	16	Optional		
TRANSFER-CURRENCY	String	3	Optional		A valid currency maintained in the system
CHEQUE-NUMBER	String	16	Optional		Indicates the check number for Payment mode (Q) and Credit card number for payment mode (R). This is mandatory if mode of Payment is check (Q) or credit card (R).
CHEQUE-DATE	Date		Optional		For check payment modes, this is the date of issue of the check. Must not be later than the current application date.
CLEARINGDATE	Date		Optional		The date on which the check is expected to be cleared. If specified in the import file, it must not be earlier than the application date. If not, the system computes the same as a date = Cheque Date + Clearing Period and this computed date is considered by default to be the clearing date.

Field Name (as expected in the file)	Data type	Field length	Mandatory	Characteristics / rules	Values
CLEARINGSTATUS			Optional		The Cheque clearing status.
RATIO	Number	3	Optional		Indicates the ratio of payment to be made in the specified payment mode.
AUTHREJECTSTATUS	String	1	Mandatory		Values can be A-Authorized, U-Unauthorized, R-Rejected
IDENTIFICATIONNUMBER	Number		Optional		Indicates the identification number assigned to the third party.
CONTACTNAME			Optional		Indicates the name of the contact person
ADDRESSLINE1			Optional		Indicates the address of the third party to whom the transfer payment must be made.
ADDRESSLINE2			Optional		Indicates the address of the third party to whom the transfer payment must be made.
TRANSFERREFERENCE			Optional		Indicates the reference number of the transfer transaction.
IBAN	String	36	Optional		Used to capture the IBAN

2.13.5 Policy Transaction Switch Fund related Segment Formats

Serial Number: 5

Segment Identification Number: 00SWF

Description: This segment provides transaction switch fund related information.

Segment Mandatory / Optional: Mandatory for Switch transactions

Field Name (as expected in the file)	Data type	Field length	Manda tory?	Charact eristics / rules	Values
SEQUEN- CENUM- BER	Num- ber	10	Man- datory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.
PRO- CESSID	Strin g	50	Man- datory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
POLI- CYTXN- NUMBER	Strin g	16	Man- datory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.
TOFUNDID	Alph anu- meric	6	Man- datory		ID of the fund the funds into which the investment amount is being moved
RATIO	Num- ber	3	Option al		Indicates the percentage of the amount that must be invested in the above fund.

2.13.6 Policy Transaction Fee Override related Segment Formats

Serial Number: 6

Segment Identification Number: 00FOI

Description: This segment is used for providing information related to fee override that is to be uploaded into the system.

Segment Mandatory / Optional: Optional

Field Name (as expected in the file)	Data type	Field length	Mand atory?	Charact eristics / rules	Values
SEQUEN- CENUM- BER	Num ber	10	Man- datory		Sequence no. of transaction record in the file. Each uploaded transaction has a unique sequence number.

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Characteristics / rules	Values
PRO-CESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID and it should be same within a file for all the records.
POLICYTXN-NUMBER	String	16	Mandatory		Is blank for new transactions. For amendment, deletion and edition, either the reference number or transaction number should be specified.
TXNDATE	Date		Mandatory		Indicates the value date of transaction. If this is specified in the import file, it must be on or later than the current application date. If not, the application date is considered by default to be the transaction date. Backdated transaction can be entered if backdated transactions are allowed in the corresponding product. If backdated transactions are not allowed, then this date must not be earlier than the Application Date.
FUNDID	Alphanumeric	6	Mandatory		ID of the fund involved in the transaction. A valid fund id maintained in the system
POLICY-HOLDERID			Optional		Identification number of the Policy Holder
DERIVED-LOADID			Optional		Indicates the ID of the derived load mapped to the fund.
PARENT-LOADID			Optional		Indicates the ID of the load mapped to the fund.
CHANGETYPE			Optional		Indicates the type of load override; Discount, Increase or Return value

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Characteristics / rules	Values
CHAN-GEVALUE			Optional		Indicates the altered return value for the allocation time load being overridden.
AUTHREJECTSTATUS	String	1	Mandatory		Values can be A-Authorized, U-Unauthorized, R-Rejected
TXNTYPE			Mandatory		Type of the Transaction. The following are the valid transaction types allowed for bulk upload. 62 – Top-up transaction 65 – Surrender transaction 66 – Switch transaction
REFTYPE	String	2	Optional		Can be same as the transaction type. If left blank, the system defaults internally to 'BT'. System picks up the load mapped to the fund based on the transaction type and reftype.

2.13.7 Policy Transaction Derived Fee Override related Segment Formats

Serial Number: 7

Segment Identification Number: 00DFO

Description: This segment is used for providing information related to derived fee override.

Segment Mandatory / Optional: Optional

The file format is similar to the transaction fee override file format.

Note

Refer the section 'Policy transaction fee override related segment formats' explained earlier in the chapter for the file format.

2.14 Cheque Tracking File Format

For all imports of new and amended Cheque Tracking data, the external hand-off file containing the information must:

- Always contain all information marked as mandatory in the table below.

- Always contain the information in the exact format and serial order shown in the Field Name column (with values according to the validations mentioned) in the table below:

Field Name (as expected in the file)	Data type	Field length	Mandatory?	Characteristics / rules	Values
SEGMENTID	String	20	Mandatory		Sequence no. of records in the file
SEQUENCE-NUMBER	Number	10	Mandatory		Sequence no. of records in the file
PROCESSID	String	50	Mandatory		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	String	12	Mandatory		The Code of the Bulk client.
IMPORTFILENAME	String	255	Mandatory		Name of the file being uploaded should be specified. Each file must have a unique name.
AMCID	String	12	Mandatory		The ID of the AMC/Distributor for which the bulk client has maintained the defaults details.
UPLOAD-MODE	String	1	Mandatory		“N” for New Mode and ‘E’ for Edit Mode, “M” for modify mode , “D” for delete mode.
CHEQU-ETYPE	String	3	Mandatory		Should be valid type as maintained in the system.
TRANSACTIONNUMBER	String	16			Transaction number should be specified if the Transaction Type is “RED”.
FUNDID	String	6	Mandatory		The ID of a valid and enabled fund maintained in the system
PAYMENT-NUMBER	Number	5	Mandatory		Payment number should be specified if the Transaction Type is “UHD”.
UNITHOLDERID	String	12	Mandatory		The Unit holder ID to identify a unit holder in the system, depending on the scheme/ cross reference number.

Field Name (as expected in the file)	Data type	Field length	Mand atory?	Charact eristics / rules	Values
PRODUCTID	String	10	Option al		ID of the product under which the corresponding Policy has been created.
CORPO- RATEAC- TIONTYPE	String	1	Option al		C- Cash Dividend S – Stock Dividend
CHEQUEA- MOUNT	Num- ber	30,12	Man- datory		This field denotes the cheque Amount
CHEQUE- CURRENCY	String	3	Man- datory		This field denotes the cheque currency
CHEQUE- DATE	Date	10	Man- datory		For check payment modes, this is the date of issue of the check. Must not be later than the cur- rent application date..
CHEQUE- NUMBER	String	16	Man- datory		Indicates the check number for Payment mode (Q) and Credit card number for pay- ment mode (R). This is man- datory if mode of Payment is check (Q) or credit card (R).
OLD- CHEQUE- NUMBER	String	16	Option al		This field denotes the previ- ous cheque number.
DRAWEEBAN K	String	12	Man- datory		Should be a valid Bank Code as defined in the system
DRAWEEBRA NCHCODE	String	12	Option al	Manda- tory	Should be a valid Branch Code as defined in the sys- tem
DUPLICATE	String	1	Option al		
TRANSAC- TIONTYPE	String	4	Option al	Manda- tory	Should valid type as main- tained in the system.
SPOOLSERI- ALNO	Num- ber	10	Option al		Unique Serial No.
CHECKSTA- TUS	String	1	Man- datory		Check Status(N- New, A – Active, D- Duplicate, C- Cleared, I – Invalid)
CHECK- PRINTED- DATE	Date	10	Option al		Actual Chq Printed Date

Field Name (as expected in the file)	Data type	Field length	Mand atory?	Charact eristics / rules	Values
FILENAME	String	30	Option al		Chq Upload File Name
PROCESSED	String	1	Option al	Manda- tory	Unique Sequence number
TIMESTAMP	Date	10	Option al		Date Time Stamp
PRINTERID	String	15	Option al		Unique Sequence number
MAKERID	String	15	Option al		There should not be any vali- dation on Maker ID field with regards to the user profile maintenance in FCIS if it is supplied with the import file. If it is not supplied, default it to the logged in user id
MAKERDATE	Date	10	Option al		If the date is not specified in the import file, the application date is considered to be the Maker Date by default.
DEPOSIT- RYID	String	12	Option al		DP Id
PAYMENT- MODE	String	2	Man- datory		Indicates mode of payment. Can be any of the following values. Q-Cheque, T-Trans- fer, R-Credit card, C-Cash, D- Draft
SUBPAY- MENTMODE	String	2	Option al		Can have valid values as defined in the mode of pay- ment table
PAYINBANK	String	12	Option al		Should be a valid Bank as defined in the system.
PAYIN- BRANCH	String	12	Option al		Should be a valid Brach as defined in the system.
PAYINNUM- BER	String	12	Option al		Unique Serial Number
MODULEID	String	30	Man- datory		Should be a valid module id as defined in the system.
COMMIS- SION	Num- ber	30,12	Option al		Entity Commission Amount

Field Name (as expected in the file)	Data type	Field length	Mand atory?	Charact eristics / rules	Values
CHEQOP- TYPE	String	1	Option al		0 – Cheque 3 – Demand Draft 4 – Outstation Cheques/DD 5 - Others
SYSREFER- ENCENUM- BER	String	25	Man- datory		Unique Serial number
CHECKERID	String	15	Option al		This information is specified in the import file, no validation is made with regards to the user profile maintenance in the FCIS system. If it is not specified, it is defaulted to 'SYSTEM'. This information is applicable for authorized unit holder generation.
CHECKER- DATE	Date	10	Option al		If the date is not specified in the import file, the application date is considered to be the Checker Date by default. This information is applicable for authorized unit holder generation.
MICRCODE	String	40			Cheque MICR Code
AUTHTYPE	String	1	Man- datory		Could be either of the following values: "U" - Unauthorized, "A" – Authorized
IBAN	String	36	Option al		Used to capture the IBAN

2.15 Holiday Upload File Format

For all imports of new and amended Holiday data, the external hand-off file containing the information must:

- Always contain all information marked as mandatory in the table below.
- Always contain the information in the exact format and serial order shown in the Field Name column in the table below:

Field Name	Data Type	Field Length	Mandatory?	Nullable
SEQUENCENUMBER	Number	10	Mandatory	N
PROCESSID	VARCHAR2	50	Mandatory	N

Field Name	Data Type	Field Length	Mandatory?	Nullable
BULKCLIENTCODE	VARCHAR2	12	Mandatory	N
IMPORTFILENAME	VARCHAR2	255	Mandatory	N
UPLOADMODE	VARCHAR2	1	Mandatory	N
AMCID	VARCHAR2	12	Optional	Y
YEAR	NUMBER	4	Mandatory	N
JAN	VARCHAR2	100	Optional	Y
FEB	VARCHAR2	100	Optional	Y
MAR	VARCHAR2	100	Optional	Y
APR	VARCHAR2	100	Optional	Y
MAY	VARCHAR2	100	Optional	Y
JUN	VARCHAR2	100	Optional	Y
JUL	VARCHAR2	100	Optional	Y
AUG	VARCHAR2	100	Optional	Y
SEP	VARCHAR2	100	Optional	Y
OCT	VARCHAR2	100	Optional	Y
NOV	VARCHAR2	100	Optional	Y
DEC	VARCHAR2	100	Optional	Y
MAKER_ID	VARCHAR2	15	Optional	Y
MAKER_DT_STAMP	DATE	10	Optional	Y
AUTH_STAT	VARCHAR2	1	Mandatory	N
CHECKER_ID	VARCHAR2	15	Optional	Y
CHECKER_DT_STAMP	DATE	10	Optional	Y
LASTMODIFIEDUSERID	VARCHAR2	15	Optional	Y
LASTMODIFIEDDATE	DATE	10	Optional	Y
ENTITYTYPE	VARCHAR2	1	Mandatory	N
ENTITYID	VARCHAR2	15	Mandatory	N

2.16 Dividend Equalization Adjustment Upload

Field Name	Data Type	Field Length	Mandatory?	Characteristics/Rules	Values
SEQUENCE-NUMBER	Number	10	Yes		System generated sequence number of records in the file
PROCESSID	String	50	Yes		The Process ID, along with the system generated sequence number, identifies the uploaded record uniquely. Each file must have a unique Process ID. This should be same for all records within a file.
BULKCLIENTCODE	String	12	Yes		The Code of the Bulk Client
IMPORT-FILENAME	String	255	Yes		Name of the file being uploaded should be specified. Each file must have a unique name.
UPLOAD-MODE	String	1	Yes		'N' for New unit holder uploads and 'I' for Information change.
FUNDID	Alpha-numeric	6	Yes		ID of the fund involved in the transaction. A valid fund id maintained in the system.
UNITHOLDERID	String	12	Yes		The unit holder ID available in FCIS.
EFFECTIVE-DATE	Date	10	No		Effective Date
G2UNITS	Number	30,12	No		Adjustable Units
AUTH_STAT	Varchar 2	1	Yes		Must be 'A'
ONCE_AUTH	Varchar 2	1	No		
RECORD_STAT	Varchar 2	1	No		
MAKER_ID	Varchar 2	15	Yes		Maker ID
MAKER_DT_STAMP	Date	10	Yes		Maker Date

Field Name	Data Type	Field Length	Mandatory?	Characteristics/Rules	Values
CHECKER_ID	Varchar2	15	Yes		Checker ID
CHECKER_DT_STAMP	Date	10	Yes		Checker Date
MOD_NO	Number	2	No		Modification Number

2.17 Exchange Rate Upload Format

Field Name	Data Type	Field Length	Mandatory?	Characteristics/Rules	Values
SOURCEID	VARCHAR2	6	YES		Source maintained in the system
REFCURRENCY	VARCHAR2	3	YES		Base Currency of the Source
PAIRCURRENCY	VARCHAR2	3	YES		Pair Currency for the exchange rate would be made available
FXDEAL-DATE	DATE	10	YES	Should be application date	Effective date for the Exchange rate
FXVALUE-DATE	DATE	10	YES	Should be greater than or equal to FXDEALDATE	Value date for Forward Rates
BUYRATE	NUMBER	15	YES		Buy Rate for the mentioned currencies
SELLRATE	NUMBER	15	YES		Sell Rate for the mentioned currencies
EXCHRATE-REPORT	NUMBER		NO		Flag to set whether the maintained FX Rate is used for Reporting
USERID	VARCHAR2	15	YES		Maker Id of the Exchange Rate
IMPORTS-TATUS	VARCHAR2	1	NO		Status of the Import

Field Name	Data Type	Field Length	Mandatory?	Characteristics /Rules	Values
ERRORD-ESC	VARCHAR2	255	NO		Error description

3. Appendix B - Upload File Formats B

3.1 Fund Rules Upload Formats

The upload file would contain various segment identification number in the first column to indicate the type of data that is present in that entire row. Each segment identified by a unique tag, indicates the type of fund rule information such as Demographics, Shares Characteristics and so on. The possible segments that would be used in Fund upload are given below for reference:

Segment Identification Number	Description	Segment Mandatory / Optional?	Multiple records allowed for the same Fund and Rule Effective Date
00GEN	This segment is used for providing information common to the other fund rules that need to be uploaded in the system.	Mandatory; and will be the driving header segment for all the other segments.	No
01FDR	This segment is used for providing Fund Demographics related information	Mandatory	No
02SCR	This segment is used for providing Shares Characteristics related information	Mandatory	No
03GOR	This segment is used for providing General Operating rules information	Mandatory	No
04TPR	This segment is used for providing Transaction processing rules information	Mandatory	Yes (For each transaction type - there is a separate record)
05TCM	This segment is used for providing Transaction Processing Communication Mode information	Mandatory	Yes (For each transaction type - there is a separate record)
06INV	This segment is used for providing Transaction Processing Investor Category related information	Mandatory	Yes (For each transaction type - there is a separate record)
07IDR	This segment is used for providing Corporate Action related information	Optional	Yes (For cash and Stock dividend information)
08FSC	This segment is used for providing Fund Sale Country information	Mandatory	Yes

Segment Identification Number	Description	Segment Mandatory / Optional?	Multiple records allowed for the same Fund and Rule Effective Date
09FRL	This segment is used for providing Fund Residency List information	Mandatory	Yes
10FFM	This segment is used for providing Fund Formula information	Optional	Yes
11FLM	This segment is used for providing Fund Load information	Optional	Yes
12FTC	This segment is used for providing Fund Transaction Currency information	Mandatory	Yes
13FAI	This segment is used for providing Fund Additional Information	Mandatory	No
14IRA	This segment is used for providing Fund IRA Information, if applicable	Optional	No
15FDI	This segment is used for providing Fund Delivery Instructions, if applicable	Optional	No
17KYC	This segment is used for providing the Customer document details, if applicable	Optional	Yes
18MLD	This segment is used for providing Multi language details, if applicable	Optional	Yes
19FSI	This segment is used for providing Fund Investment Account SI, if applicable	Optional	Yes
20HFP	This segment is used to include hedge fund parameters	Optional	No
21HFL	This segment is used to provide hedge fund linkage details	Optional	Yes
22HFD	This segment is used to provide investor category details for hedge funds	Optional	Yes

Each of the segments have variable list of fields stored as information pertaining to that segment. The list of fields for each segment is mentioned in the following tables along with the description of the segment.

3.1.1 Fund Rules Upload Segment Formats

Serial Number: 1

Segment Identification Number: 00GEN

Description: This segment is used for providing information that is common to the other fund rules that need to be uploaded in the system

Mandatory: Mandatory and will be the driving header segment for all the other segments.

Multiple records allowed for the same fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PROCESSID	Alphanumeric	50	Mandatory		This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
BULKCLIENTCODE	Alphanumeric	12	Mandatory		Valid authorized, enabled Bulk client codes maintained in the system as a part of Entity Maintenance.
IMPORT-FILENAME	Alphanumeric	255	Mandatory		This is the name of the file being uploaded into the FCIS system
AMCID	Alphanumeric	12	Mandatory		Valid authorized, enabled AMC maintained in the system as a part of Entity Maintenance. The fund rule upload defaulting would be based on both AMCID and the Bulk client code.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
USERID	Alphanumeric	15	Mandatory		The fund rule MakerID would have the value of UserID as a part of data storage in all the fund rule tables.
UPLOAD-MODE	Alphanumeric	1	Mandatory	Valid values are 'N' and 'I'	Should be 'N' for New fund rule, and 'I' for amending an existing authorized fund rule.
GENERATEAUTH-FUNDRULE	Alphanumeric	1	Optional	Valid values are 'A' and 'U'	This indicates whether the fund rule uploaded should be a authorized fund rule or unauthorized fund rule.
DEFAULT-OPTION	Alphanumeric	15	Optional	Valid values are Null which means 'No defaulting'; 'BULKCLIENTCODE' means defaulting information based on Bulk Client code mentioned as a part of this segment; existing valid template id based on which defaulting would happen	This indicates if data needs to be defaulted based on any existing templates or based on bulk client code.

Serial Number: 2

Segment Identification Number: 01FDR

Description: This segment is used for providing Fund demographics related information

Segment Mandatory / Optional: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MEN-TID	Alpha-numeric	20	Mandatory	Default value 01FDR	Standard value of 01FDR to uniquely identify Fund demographics information
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alpha-numeric	6	Mandatory		The Fund ID is a unique identification for each Fund in the system. Enter a unique value for the fund for which a Fund Demographics record is being set up
RULE-EFFEC-TIVEDA TE	Date	8	Mandatory	The Rule Effective Date should be later than (or same as) the Fund Start Date and it should also be later than (or same as) the current application date of the system.	Specify the date from when the Fund Demographics Rule that is currently being set up should become effective.
FUND-START-DATE	Date	8	Mandatory		Specify the date upon which the fund is to begin operations
FUND-NAME	Alpha-numeric	60	Mandatory		Enter the name of the fund for which the Fund Demographics profile is being set up in this record

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FUND-NAME-SHORT	Alpha-numeric	15	Mandatory		Enter the short name of the fund for which the Fund Demographics profile is being set up in this record
FUND-CLASS	Alpha-numeric	1	Optional	Valid values are 'O' for Open-ended and 'C' for Closed-ended	Enter the fund class as either Open Ended and Closed-Ended Funds
FUNDTYPE	Number	38	Optional	Valid Fund types defined in the system	Enter the value of Fund Type. The Fund Types are set up as a part of the Fund Type Maintenance.
FUND-FAMILY	Alpha-numeric	2	Optional	Valid Fund families defined in the system	Enter the fund family under which the fund must be placed
FUND-BASE-CURRENCY	Alpha-numeric	3	Optional	Valid Currency code defined in the system	Specify the currency code in which the fund will be denominated. The NAV and dividend declarations for the fund will be in this base currency.
FUND-COUNTRY	Alpha-numeric	3	Optional	Valid Domicile code defined in the system as a part of Params Maintenance	Enter the country of domicile of the fund. This information will be used to determine whether a unit holder that subscribes to the fund must be considered a Foreign unit holder or not
FISCAL-START-YEAR	DATE	8	Optional	The Fiscal Start Date must be earlier than the application date and the Rule Effective Date of the fund	Enter the date from when the Fiscal Year should start for the fund

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FISCALEND-YEAR	DATE	8	Optional	The Fiscal End Date should be later than (or same as) the current date of the system. It should also be later than (or same as) the Rule Effective Date of the fund that is being set up.	Enter the date on which the Fiscal Year should end for the fund
AMCID	Alpha-numeric	12	Optional	Valid authorized AMC defined in the system as a part of entity maintenance	Specify the AMC that this Fund will be operative in
BROKER-SALLO WED	Number	1	Optional	Valid values are 1 and 0	if brokers are to be mandatory for the given Fund, then a value of '1' should be entered else enter 0.
REGISTRARID	Alpha-numeric	12	Optional	Valid Registrar defined in the system as a part of Entity maintenance	Enter the Registrar ID for the fund being set up
TRUSTEEID	Alpha-numeric	12	Optional	Valid Trustee defined in the system as a part of Entity maintenance	Enter the Trustee ID for the fund being set up
FUNDENABLED	Number	1	Optional	Valid values are 1 and 0	Every new fund is created in the system initially as an enabled fund. Hence, the value can be defaulted to 1

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MIN-HOLD-INGPERIOD	Number		Optional		Enter the lock in period for the investors investing in the fund so that outflow transaction would be possible only after this period
MINAMOUNT-FOR-TAXID	Number	15	Optional	Maximum of 3 decimal places allowed	Enter the minimum subscription / IPO subscription amount beyond which it is necessary / preferable to capture the Tax details for any unit holder.
PRIMARYREGADDRESS	Alpha-numeric	255	Optional		Registered Address for the fund
FUND-TAXID	Alpha-numeric	25	Optional		Unique Tax ID for the fund
FUNDIDENTIFICATIONNUMBER	Alpha-numeric	25	Mandatory for DEKA Installation. For others this is optional.		Fund ISIN number that helps to uniquely identify the fund
FUNDTRACKERSYMBOL	Alpha-numeric	25	Optional		This is another value that helps to uniquely identify the fund. However, if this is not applicable, it can be entered as null also.
ALLOWIRAINVESTMENTS	Number	1	Optional	Valid values are 0 and 1	Only if IRA transactions are allowed, the value should be specified as 1. Else specify 0.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CUSTODIAN	Alpha-numeric	12	Optional	Valid custodian defined in the system as a part of Entity maintenance	Enter the Custodian for the fund being set up
HEDGE FUND	Alpha-numeric	1	Optional	Valid values are 0 and 1	Indicate whether the fund is a hedge fund

Serial Number: 3

Segment Identification Number: 02SCR

Description: This segment is used for providing Shares Characteristics related information

Segment Mandatory/Optional? : Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 02SCR	Standard value of 02SCR to uniquely identify Shares characteristics information
PROCESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Shares characteristics information has to be uploaded

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
RULEEF-FECTIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which share characteristic information for the fund has to be maintained.
SCRIP-BASED	Number	1	Optional	Valid values are 0,1 and 2	This field is used to designate the applicability of certificate issue for investment in the fund. The value '0' indicates 'Scripless'; '1' indicates 'Scrip based' and '2' indicates 'Certificate option'
PAR-VALUE	Number	15	Optional	Maximum of 6 decimal places allowed	Enter the Par Value for the fund. Normally, this will be the base price for Initial Public Offer (IPO) period, However you can change the base price for IPO.
NOOF-DECIMALSFOR UNITS	Number	1	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the number of allotted units. You cannot indicate a precision higher than 6 decimal places.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
ROUND-OFFTRUNCATE	Alphanumeric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the number of allotted units, designated for the fund.
MINNOO-FUNITHOLDERS	Number	5	Optional		At any point of time, when the fund is enabled, the number of unit holders cannot fall below this value. This value must not be lower than zero.
MAXNOO-FUNITHOLDERS	Number	5	Optional		At any point of time, when the fund is enabled, the number of unit holders cannot go above this value.
MINREGISTERED-CAPITAL	Number	20	Optional	Maximum of 6 decimal places allowed	. At any point of time, when the fund is enabled, the fund corpus (registered capital) cannot go below this value.
MAXREGISTERED-CAPITAL	Number	NUMBER(30,12)	Optional	Maximum of 6 decimal places allowed	At any point of time, when the fund is enabled, the fund corpus (registered capital) cannot go above this value.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CAPINDICATOR	Alphanumeric	1	Optional	Valid values are 'A' and 'P'	This is to specify the foreign investors' limit to be defined either in percentage of fund corpus or a flat Amount. Enter A if the foreign investors limit is in terms of an Amount and P for a percentage of the Registered Capital.
FOREIGN-INVESTORSLIMIT	Number	NUMBER(30,12)	Optional	Maximum of 6 decimal places allowed	Enter a value to specify the percentage of fund corpus that foreigners are allowed to hold. This could be either a percentage of Fund Corpus or a flat Amount. If it is a percentage, then it cannot be greater than 100.
ACCOUNT STATEMENT-FREQ	Alphanumeric	20	Optional	Valid values are 'F' or 'B' for Bi-weekly; 'M' for 'Monthly'; 'Q' for 'Quarterly'; 'H' for 'Half-yearly'; 'Y' for 'Yearly'	This is to indicate the frequency with which the system should initiate the Account Statement processing
ACCOUNT STATEMENTLEADTIME	Number	3	Optional		Enter a lead-time in days..
PRINTACCOUNT-STATEMENT	Number	1	Optional	Valid values are '1' to print and '0' for not to print account statement	This is to indicate that the Account Statement to be printed for the fund that is being set up

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRINT-HOLDINGSSTATEMENT	Number	1	Optional	Valid values are '1' to print and '0' for not to print holding statement	This is to indicate that if the Holding Statement to be printed for the fund that is being set up
STANDARDLOT	Number	1	Optional		Enter a value to specify the standard lot for fund. This is also the marketable lot
PREFIX-CERT-CODE	Alphanumeric	1	Optional		Enter a character for this field. This will be used as prefix to the Certificate Number
START-CERTISSUEDNO	Number	1	Optional		Enter a value for this field. This is just for information. For a new Fund, the Certificate Numbers will start from this number.
LASTCERTISSUEDNO	Number	5	Optional		Enter a value for this field. This is to specify that this was the last certificate number that has been issued so far and system needs to start from next number. For new funds, this could be zero. This is also equal to the Start Certificate Issue Number in the case of new Funds

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PREFIXD-NRCODE	Number	1	Optional		Enter a character for this field. This will be used as prefix to the Distinctive Number Record (DNR) Number. This information is only applicable if you have specified the number of decimals for units as zero, in the Number of Decimals for Units field in this screen.
STARTDN-RIS-SUEDNO	Alphanumeric	1	Optional		Enter a value for this field. This is just for information. For new funds, this will be same as last DNR issued number. This information is only applicable if you have specified the number of decimals for units as zero, in the Number of Decimals for Units field in this screen.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
LASTDN-RIS-SUEDNO	Number	5	Optional		Enter a value for this field. This is to specify that this was the last DNR number that has been issued so far and system needs to start from next number. For new funds, this could be zero. This is also equal to the Start Certificate Issue Number in the case of new Funds. This information is only applicable if you have specified the number of decimals for units as zero, in the Number of Decimals for Units field in this screen
SINGLECERTALLOWED	Number	1	Optional	Valid values are 0 and 1	This is to indicate whether a single certificate is needed for the transaction or multiple certificates are needed. Valid values are 0 and 1 indicating 'No' and 'Yes' option for Single certificate allowed.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MINCERT-DENOMINATION	Number	5	Optional		Enter a value to specify the minimum certificate denomination. I.e., the next level of denomination after the standard lot. The system will use this after exhausting the maximum certificate denominations.
MAX-CERTDENOMINATION	Number	5	Optional		Enter a value to specify the maximum certificate denomination. This is the first level of denomination used by the system.
USE-OVERRIDEALLOWED	Number	1	Optional	Valid values are '0' and '1'	Enter value as '1' if the user on the unit holder's request can override the default denominations defined. If the User override is allowed then, system will allow the teller to override the fund default denominations. This is true only for minimum and maximum denominations. The Standard lot cannot be changed. This is applicable only to scrip-based funds.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CER-TREQD	Number	1	Optional	Valid values are '0' and '1'	For scrip less funds, this value is to indicate that certificates must be issued to investors for block transactions in the fund.
MAXREG-ISTERE-DUNITS	NUMBER	5	Optional		Capture the Maximum Units Registered Capital.
UHC-ATREG-CAPITAL	VARCHAR2	2000	Optional		Tilde separated string with Inv Category and Max Reg Units. Eg : PB~100;CO~200

Serial Number: 4

Segment Identification Number: 03GOR

Description: This segment is used for providing General Operating rules information

Segment Mandatory/Optional: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 03GOR	Standard value of 03GOR to uniquely identify General Operating Rules information
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which General operating rules information has to be uploaded
RULEEFFECTIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which general operating rules information for the fund has to be maintained.
POST-PRICED	Number	1	Optional	Valid values are '0' and '1'	Enter '1' if the price for the fund will be announced Post Transactions. Else enter '0' if it is a pre-priced fund
NEXT-PRICE-DECLAR-EDATE	DATE	DATE	Optional		Specify the next date upon which the fund price is to be declared. This date must be after the Rule Effective Date of the fund, and the current system date.
PRICE-DECLAR-EFREQ	Alphanumeric	1	Optional	Valid values are 'D' for 'Daily'; 'W' for 'Weekly'; 'F' or 'B' for 'Bi-weekly'; 'M' for 'Monthly'; 'Q' for 'Quarterly'; 'H' for 'Half-yearly'; 'Y' for 'Yearly'	This is used to indicate the frequency with which the price will be announced. If the fund is Post-priced Fund, you must specify this frequency as Daily

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
NOOF-DECI-MALSFO RNAV	Number	1	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the NAV. You cannot indicate a precision higher than 6 decimal places.
ROUND-OFFTRUNCATE	Alphanumeric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the number of allotted units, designated for the fund.
MATURITYDATE	DATE	DATE	Optional		Indicate the maturity date for the fund. This is applicable only if the fund is closed-ended fund.
RETAIN-IPOBALANCE	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate if the IPO Balance of unit holders must to be stored for later use. '1' indicate maintenance of IPO balance of Unit holders and '0' indicates that it need not be maintained separately

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CONFBE-FALCRE-REQUIRED	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate that a rejection of a transaction as applicable, for all authorized transactions, prior to allocation. If this is not specified, then all authorized transactions will be taken up for allocation directly.
AUTORE-DEMP-TIONALLOWED	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate if Automatic Redemption is to be allowed for the fund. This is applicable only for Open Ended funds. When the balance the unit holder falls below a defined minimum level, then the investor will be intimated about it and will be provided with some lead-time to either increase the balance above the minimum level or redeem all his units. After the elapsed lead-time, if the unit holder balance still lies below the defined minimum level, then the automatic redemption of those units will be done.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MINI-MUM-BALANCE TYPE	Alphanumeric	1	Optional	Valid values are 'A' and 'U'	Enter the type of Minimum balance (amount / units) to be maintained for Automatic Redemption
MINI-MUM-BALANCE	Number	20	Optional		Enter the minimum balance (in amounts / units based on what balance type has been specified above) to be maintained for Automatic Redemption
ELAPSEDDAYS-BEFORE AUTOREDD	Number	3	Optional		Enter the number of days from the date of intimation after which Automatic Redemption will be initiated. This is the lead-time provided to the investor.
CHQALLOTION-CLGDATE	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate whether allocation must be done on the transaction date or on the check clearing date, using the price prevailing on that date, for transactions in which the payment mode is Check

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
AGEING-BASE-DON	Alphanumeric	1	Optional	Valid values are 'F' for 'FIFO'; 'T' for 'Transaction Receipts' and 'P' for 'FIFO across products'	This is used to indicate if the unit holder has specified as to how transactions are to be ordered - FIFO, Transaction receipts and FIFO across products
MAINTAINTRADINGBOX	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate to the system that the trading functions must be enabled for the fund. This means that for the fund, all trading transactions and the relevant processing are allowed
NAVLOT	Number	6	Optional		Specify the number of units for which the NAV quote is deemed to be applicable, for the fund.
CDSC-FUND	Varchar2	2	Optional	Valid values : 1. LOCOM 2. Market Price 3. Not Applicable 4. CDSC Class B Default : Not Applicable 'L','M','N','B'	This is used to indicate that the Contingent Deferred Sales Charge (CDSC) is applicable for the transactions in this fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CDSCAP-PLICA-BLEFOR SWITCHES	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate that the Contingent Deferred Sales Charge (CDSC) is applicable to switch or exchange for the transactions in this fund.
REINVESTMENTFIRST	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate that reinvestment transactions must be taken up first for aging during computation of Contingent Deferred Sales Charge for redemption transactions in this fund.
VAT-VALUE	Number	5	Optional	Maximum of 2 decimals possible	Value added tax value for the fund
CHECK-FEATUREEXISTS	Number	1	Optional	Valid values are '0' and '1'	Indicates whether the check writing facility is allowed for the fund or not
MIN-CHECKAMOUNT	Number	15	Optional	Maximum of 3 decimals possible	If check writing facility is allowed then the minimum check amount possible is indicated here.
MAX-CHECKAMOUNT	Number	15	Optional	Maximum of 3 decimals possible	If check writing facility is allowed then the maximum check amount possible is indicated here.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MIN-CHECK-HOLDING PERIOD	Number	5	Optional		If check writing facility is allowed then the minimum holding period required is indicated here.
CHECK-ACCOUNT CLOSURE	Number	1	Optional		
CHECKREDEMPTION-PENALTY	Number	1	Optional	Valid values are '0' and '1'	If check writing facility is allowed then various penalties applicable or not is indicated by values '0' and '1'
HOLDINGPERIODPENALTY	Number	1	Optional		
BALANCEPENALTY	Number	1	Optional		
STOP-PAYMENTPENALTY	Number	1	Optional		
AMTLIMITPENALTY	Number	1	Optional		
INTERESTRATE	Number	15	Optional	Maximum of 6 decimals possible	
PERFORMANCEFEETHRESHOLD	Number	5	Optional	Maximum of 2 decimals possible	

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
LIMITORDERALLOWED	Number	1	Optional	Valid values are '0' and '1'	This indicates whether limit order is applicable for the fund depending upon the price
FUTURELIMITORDERALLOWED	Number	1	Optional	Valid values are '0' and '1'	Indicates - limit order based on Date
AUTOLIMITORDERPROCESS	Number	1	Optional	Valid values are '0' and '1'	If limit order is based on price, indicates whether automatic triggering of processing is required or not.
PRICINGRULE	Alphanumeric	1	Optional	Valid values are 'A' for After and 'P' for Prior	Rule to be applied for pricing
MinTreshHoldLimit	Number	5	Optional	Maximum of 2 decimals possible	Used for capturing Minimum Threshold Limit.
EUSDSCOPE	Alphanumeric	1	Optional	Valid values are 'R' for Redemption & Switch Out and 'D' for Dividend and 'B' for Both. Shown only for EUSD applicable segments.	Used to cater EUSD requirements.
AgeingDate	Alphanumeric	1	Optional	Valid values are 'T' for Transaction Date and 'C' for Confirmation date and 'D' for Dealing date.	Used to store Ageing basis value.
INVESTMENTSIMULATIONMETHOD	Alphanumeric	1	Optional	Valid values are 'N' and 'H'	This indicates whether the Investment Simulation Method should be a Not Allowed or Historic Based NAV.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MIN-LOCKIN-PERIODF ORGAIN	Number	4	Optional	Valid values are Greater than or equal to 0	
MAX-LOCKIN-PERIODF ORGAIN	Number	4	Optional	Valid values are Greater than or equal to the Min Lock-in Period	
MIN-LOCKIN-PERIODF ORGAIN	Number	4	Optional	Valid values are Greater than or equal to the Min Lock-in Period and Less than or equal to the Max Lock-in Period.	
AMOUNT BLOCK-ALLOWED	NUMBER	1	Optional	Valid values are 0 and 1	
CALCULATE-FEEINTX NCCY	NUMBER	1	Optional	Valid values are 0 and 1	
INCLUDEHOLDINGPERIOD	VARCHAR2	1	Optional	Valid Values are 0 and 1	
BLOCKPRIORITYNO	NUMBER	4	Optional	Block priority should not be a numeric value.	For amount block, the priority will be derived with this number and for amount unblock the priority would be reverse of this order.
DIVIDENDEQUALIZATIONAPPLICABLE	NUMBER	1	Optional	Valid Values are '0' (No) and '1' (Yes)	Dividend equalization applicable" flag should be set to '1' to support dividend / income equalization funds.

Serial Number: 5

Segment Identification Number: 04TPR

Description: This segment is used for providing Transaction processing rules information

Segment Mandatory/Optional?: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For each transaction type - there is a separate record)

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 04TPR	Standard value of 04TPR to uniquely identify Transaction processing information
PROCESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Transaction processing information has to be uploaded
RULEEFFECTIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which transaction processing information for the fund has to be maintained.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRANS-ACTION-TYPE	Alphanumeric	2	Mandatory	Valid values are '01' for IPO; '02' for Subscription; '03' for Redemption; '04' for Switch from operation; '05' for transfers and so on upto '10'	Indicate the value for which the transaction type for which the rules are being set up
GROSSORNET	Alphanumeric	1	Optional	G' for Gross ; 'N' for Net and 'B' for Both	Opting for a gross or net mode in transaction processing is mode is only available for IPO, subscription or redemption transactions. For transactions with a gross processing mode, the value of the transaction, whether as an amount or a number of units, will be processed as a gross value from which any applicable charges will be deducted. For transactions with a net processing mode, the amount value of the transaction will be processed as a net value apart from the charges.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRANS-ACTION-STARTDATE	DATE	8	Optional		Enter a date to specify that the above mentioned transaction type will start from this date
TRANS-ACTION-ENDDATE	DATE	8	Optional		Enter a date to specify that the above mentioned transaction type will end on this date
TRANS-ACTION-FREQUENCY	Alphanumeric	1	Optional	Valid values are 'D' for 'Daily'; 'W' for 'Weekly'; 'F' or 'B' for 'Bi-weekly'; 'M' for 'Monthly'; 'Q' for 'Quarterly'; 'H' for 'Half-yearly'; 'Y' for 'Yearly'	Enter a value to specify the frequency with which the transaction type will operate
TRANS-ACTION-STARTPERIOD	NUMBER	1	Optional		Enter a value to specify the Start Period within the frequency mentioned above. Within a particular frequency, you have an option to restrict it to a particular period. For example if the transaction Frequency is WEEKLY, Start Period is 2 and End Period is 5. This means that the Fund is open for this transaction from second day till the fifth day of the week.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRANSACTION PERIOD	NUMBER	1	Optional		The End period has to be within the Transaction Frequency i.e., it can take values up to 7 (weekly) and not greater than that.
DATE	DATE		Optional		Enter a time to specify the start time for a given working date. On a given day when the fund is open for this transaction, you can start entering transactions from this time.
MIN-TRANSACTION AMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	The minimum transaction amount allowed for this transaction type in this fund
STEP AMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	Enter a value to specify the steps of amount in which a unit holder can invest or redeem. This will operate above the Minimum Transaction Amount.
MAX-TRANSACTION AMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	The maximum transaction amount allowed for this transaction type in this fund

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MIN-TRANS-ACTIONUNITS	NUMBER	15	Optional	Maximum of 6 decimals allowed	The minimum transaction units allowed for this transaction type in this fund
STEPUNITS	NUMBER	15	Optional	Maximum of 6 decimals allowed	The unit steps applicable for a unit holder to invest do any operation
MAX-TRANS-ACTIONUNITS	NUMBER	15	Optional	Maximum of 6 decimals allowed	The maximum transaction units allowed for this transaction type in this fund
ONLINE-ALLOCATION	NUMBER	1	Optional	Valid values '0' and '1'	This is to indicate if Online Allocation is to be allowed for the given transaction type. This can be applicable only if the fund is pre-priced. For Post Priced Fund with Allocation as Online, the Transaction Frequency is Allocation
ALLOCATION-PERVSR EGCAPITAL	NUMBER	1	Optional	Should be below 100.	Specify the percentage up to which allocation can be allowed for a given registered amount on the day

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
ALLOCA-TION-POLICY	Alphanumeric	1	Optional		Enter F for First In First Out or P Proportionate to specify the policy for allocation in case the maximum limit is reached for a given day. This policy is with respect to the allocation percentage that is allowed against the fund corpus.
NOOF-TXNAL-LOWEDF ORFREQ	NUMBER	1	Optional		This is to specify the number of transactions allowed restriction within this frequency
NOOF-TXNAL-LOWEDP ERUH	NUMBER	1	Optional		Enter a value to specify the number of transactions that are allowed for a unit holder. You can restrict the unit holder from operating more than the specified limit for transactions.
NOOF-FREETXN ALLOWE DPERUH	NUMBER	1	Optional		Enter a value to specify the number of free transactions within the permitted transactions. This definition will override all loads that will be set for this transaction

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
ALLOW-BACK-DATING	NUMBER	1	Optional		This is used to indicate whether back-dating should be allowed for this fund. This means that on any given date, for this transaction type, the system will allow the user to enter transactions dated earlier to the current date
BACK-DAT-INGLIMIT	NUMBER	1	Optional	Valid values are '0' and '1'	This is applicable only if Allow Back Dating is True. This has to be later than the transaction start date. Fund Price as effective on that date will be taken into account during allocation.
FUNDTRANSACTI- ON-COUNT- ER	NUMBER	1	Optional		Enter a value to specify the total number of transactions to be allowed in this transaction type.
ACKNOWLEDGE- MENTRE- QUIRED	NUMBER	1	Optional		This is to indicate if the Acknowledgment Slip is to be printed after every transaction. Otherwise this can be printed on receiving specific request from the User.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CONFIRMATION-REQUIRED	NUMBER	1	Optional	Valid values '0' and '1'	This is to indicate whether confirmation Slip is to be printed after every transaction entry. Otherwise this can be user initiated after allocation of the transaction.
NOTICE-PERIOD-DATEBASIS	VARCHAR2	1	Optional		
NOTICE-PERIOD	NUMBER	3	Optional		
BASE-PRICE-DEFINITION	Alphanumeric	1	Optional	Valid values are 'P' for Par Value and 'N' for declared NAV	This indicates the Base Price definition for the transaction. The Unit Price will be calculated based on this price and loads defined for this transaction.
BASE-PRICE-FACTOR	NUMBER	1	Optional		This percentage will be applied to the price arrived from the above calculations to arrive at the Base Price for this transaction type for the fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
NOOF-DECI-MALSFO RBASE-PRICE	NUMBER	1	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the base price. You cannot indicate a precision higher than 6 decimal places.
ROUND-OFFTRU NCATE-BASE-PRICE	Alphanu- meric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the number of allotted units, designated for the fund.
TRANS-ACTIONE NABLED	NUMBER	1	Optional		This is used to indicate whether the transaction is enabled for the fund. It is possible to set up a temporary suspension of transactions, even if the transactions are open for the fund.
CROSS-BRAN- CHALLO WED	NUMBER	1	Optional	Valid values are 0 and 1	
PRICELAG	NUMBER	1	Optional		This cannot have negative value. This indicates the price date to be used for the transaction during allocation process

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
ALLOCATIONLAG	NUMBER	1	Optional		Enter a value to specify when the transaction should be allocated if the transaction is 'T'. T + X , where 'X' will be days of Lag. Lag can only be positive.
CONFIRMATIONLAG	NUMBER	1	Optional		Enter a value to specify when the redemption transaction should be picked for confirmation after allocation. T + X , where 'X' will be days of Lag. Lag can only be positive.
CHQAL-LOCON-PARWITH CASH	NUMBER	1	Optional	Valid values are '0' and '1'	This is used to specify that all check / Demand Draft transactions are to be treated on par with cash transactions. If this is true, then during allocation, the check / demand draft transactions will be taken for allocation for the same day. The units allocated will be provisional, and will be confirmed only after the check is cleared.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
HOLD- INGPERI- ODAPPLI CABLE	NUMBER	1	Optional	Valid values are '0' and '1'	This is used to indicate whether a lock in period is applicable for the investors investing in the fund for the transaction type
RETAIN- AGEING- TOSUBS CRIP- TION	NUMBER	1	Optional	Valid values are '0' and '1'	This is used to indicate that the aging principle must be applied to subscription transactions in the fund. Aging is the process of keeping track of a transaction from the transaction date right up to when it is cleared in full from the account of the unit holder. Depending upon the policy specified to be followed for aging, (i.e., either FIFO or proportionate), aging is applied.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
CREDIT-CARDAL-LOCONP ARWITH-CASH	NUMBER	1	Optional	Valid values are '0' and '1'	This is used to indicate if all credit card transactions to be treated on par with cash transactions. If this is true then during allocation the credit card transactions will be taken for allocation for the same day. The units allocated will be provisional, and will be confirmed only after the credit card transaction is cleared.
LIMITRE-DEMP-TIONMODE	Alphanumeric	1	Optional	Valid values are 'P' for Percent; 'U' for Units and 'A' for Amount	The mode based on which redemption will be limited
NATURE-OFLIMIT	Alphanumeric	1	Optional		Indicates whether it is 'A' or 'U' or 'B'

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRANSFERAL-LOCONPARWITH-CASH	NUMBER	1	Optional		Mark this check box if you want all transfer transactions to be treated on par with cash transactions. If this is true then during allocation the transfer transactions will be taken for allocation for the same day. The units allocated will be provisional, and will be confirmed only after the bank transfers are cleared
MININITIALTXNAMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	Minimum amount applicable for initial transaction
MININITIALTXNUNITS	NUMBER	15	Optional	Maximum of 3 decimals allowed	Minimum units applicable for initial transaction
MINSITXNAMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	Minimum amount applicable for Standing instructions
MAXSITXNAMOUNT	NUMBER	15	Optional	Maximum of 3 decimals allowed	Maximum amount applicable for Standing instructions
MINSITXNUNITS	NUMBER	15	Optional	Maximum of 3 decimals allowed	Minimum units applicable for Standing instructions
MAXSITXNUNITS	NUMBER	15	Optional	Maximum of 3 decimals allowed	Maximum units applicable for Standing instructions

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
EXISTINGU	Alphanumeric	2	Optional	Valid values are '0' and '1'	This is to indicate that the subscription transactions for the fund must only be available to existing customers, and not to new customers.
NOOF-DECIMALSFORUNIT-PRICE	NUMBER	1	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the unit price. You cannot indicate a precision higher than 6 decimal places.
ROUND-OFFTRUNCATEUNITPRICE	Alphanumeric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the number of allotted units, designated for the fund.
ROUND-OFFTRUNCATEUNITS	Alphanumeric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the number of allotted units, designated for the fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PAY-MENT-LAG	NUMBER	1	Optional		<p>In the case of redemption transactions, specify a value to indicate the number of days by which the resulted redemption payouts would be lagged or deferred, after the redemption transaction has been allotted and confirmed. To arrive at the actual date of redemption payment, both the confirmation lag (if specified) and the payment lag (if specified here) are taken into consideration. For instance, if the redemption transaction was allocated on 15th January and both the confirmation lag and payment lag were specified as 2, then the actual redemption payout to the unit holder would be effected on 19th January (15 + 2+ 2), provided it is not a holiday in the system, and provided there are no intervening holidays.</p>

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRANSACTION-CUTOFF TIME	DATE	DATE	Optional		Specify the time, on a given working day before which a transaction of the selected type will be accepted with the transaction date being the current date. Beyond this time on a working day, the transaction date will be set by default to be the next working date.
ENFORCE HOLDING PERIOD	NUMBER	1	Optional		You can indicate that the minimum holding period specified for the fund in the Fund Demographics profile must be enforced as mandatory for the transaction type, by selecting this option.
APPLY-ENTRY-TIME LOADED	NUMBER	1	Optional		Applicable for Exit transactions
Pseudoswitchlag	Number		Optional		Used for capturing Pseudo Switch lag
Allow Systematic Plans	Number	1	Optional		
MaxInitialTxnAmount	Number	15	Optional	Maximum of 3 decimals allowed	Used for capturing the maximum initial transaction amount.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MaxInitialTxnUnits	Number	15	Optional	Maximum of 6 decimals allowed	Used for capturing maximum initial transaction units.
Pseudowitchlagcalendarbasis	Alphanumeric Code	1	Optional		Specify whether the ps lag days should be considered based on the holiday calendar for the fund, the actual calendar or the System calendar.
FULL-OUT-FLOW	NUMBER	1	Optional	Valid values are 0 and 1	
MAX-NOOFSI-TRANSACTIONS	NUMBER	4	Optional	MaxNoofSI-Transactions value should be Greater than 0	
MAXVALIDITY	NUMBER	4	Optional	Maxvalidity value should be Greater than 0	
SILEAD-TIME	NUMBER	4	Optional		
APPLICABLEAC-COUNT-TYPES	Alphanumeric	255	Optional		
INFLOW-OVER-RIDABLE MSG	NUMBER	1	Optional	Valid values are 0 and 1	
MINMATURITY-PERIOD	NNUMBER	4	Optional	Min.Maturity Period value should be greater than 0	

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MAXMATURETY-PERIOD	NNUMBER	4	Optional	Max.Maturity Period value should be greater than 0 and greater than or equal to Min.Maturity Period	
FUTURE-DATE-LIMIT	NUMBER	1	Optional	Valid values are positive integer	To facilitate users to input future dated transactions
UHCAL-ENDAR-BASIS	VARCHAR2(1)	1	Optional	Valid values are 'T' and 'C'	
NOOF-DECIMALSFO RUNIT	NUMBER	1	Optional	Valid values are -1 to 9	
CONSSIAUTOCOUNTER	NUMBER	3	Optional		Used to capture consecutive payment rejections allowed for the SI
THRESHOLDAMOUNT	NUMBER	(30, 12)	Optional		Threshold Amount

Serial Number: 6

Segment Identification Number: 05TCM

Description: This segment is used for providing Transaction processing communication mode information

Segment Mandatory/Optional? : Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For each transaction type - there is a separate record)

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alpha-numeric	20	Mandatory	Default value 05TCM	Standard value of 05TCM to uniquely identify Transaction processing communication mode information
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alpha-numeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Transaction processing communication mode information has to be uploaded
RULE-EFFEC-TIVEDA TE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which transaction processing communication mode information for the fund has to be maintained.
TRANS-ACTION-TYPE	Alpha-numeric	2	Mandatory	Valid values are '01' for IPO; '02' for Subscription; '03' for Redemption; '04' for Switch from operation; '05' for transfers and so on up to '10'	Indicate the value for which the transaction type for which the rules are being set up

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
COMMUNICATION MODE	Alphanumeric	2	Mandatory		Valid Communication mode code indicated as a part of Params Maintenance.
MIN-TRANSACTION AMOUNT	Number	15	Optional	Decimal values up to maximum of 3 digits are allowed	Minimum transaction amount allowed for the transaction type and communication mode.
MAX-TRANSACTION AMOUNT	Number	15	Optional	Decimal values up to maximum of 3 digits are allowed	Maximum transaction amount allowed for the transaction type and communication mode.
MIN-TRANSACTION UNITS	Number	15	Optional	Decimal values up to maximum of 6 digits are allowed	Minimum transaction units allowed for the transaction type and communication mode.
MAX-TRANSACTION UNITS	Number	15	Optional	Decimal values up to maximum of 6 digits are allowed	Maximum transaction units allowed for the transaction type and communication mode.
DISALLOW-FIRSTTRANSACTION	Number	1	Optional	Valid values are 0 and 1	

Serial Number: 7

Segment Identification Number: 06INV

Description: This segment is used for providing Transaction processing investor category related information

Segment Mandatory/Optional? : Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For each transaction type - there is a separate record)

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 06INV	Standard value of 06INV to uniquely identify Transaction processing communication mode information
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Transaction processing investor category information has to be uploaded
RULEEF-FEC-TIVEDATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which transaction processing investor category information for the fund has to be maintained.
TRANS-ACTION-TYPE	Alphanumeric	2	Mandatory	Valid values are '01' for IPO; '02' for Subscription; '03' for Redemption; '04' for Switch from operation; '05' for transfers and so on up to '10'	Indicate the value for which the transaction type for which the rules are being set up

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
INVESTORCATEGORY	Alphanumeric	2	Mandatory		Valid Corporate and Individual categories defined as a part of Params Maintenance.
MIN-TRANSACTIONAMOUNT	Number	15	Optional	Decimal values up to maximum of 3 digits are allowed	Minimum transaction amount allowed for the transaction type and investor category.
STEPAMOUNT	Number	15	Optional	Decimal values up to maximum of 3 digits are allowed	
MAX-TRANSACTIONAMOUNT	Number	15	Optional	Decimal values up to maximum of 3 digits are allowed	Maximum transaction amount allowed for the transaction type and investor category.
MIN-TRANSACTIONUNITS	Number	15	Optional	Decimal values up to maximum of 6 digits are allowed	Minimum transaction unit allowed for the transaction type and investor category.
STEPUNITS	Number	15	Optional	Decimal values up to maximum of 6 digits are allowed	
MAX-TRANSACTIONUNITS	Number	15	Optional	Decimal values up to maximum of 6 digits are allowed	Maximum transaction unit allowed for the transaction type and investor category.

Serial Number: 8

Segment Identification Number: 07IDR

Description: This segment is used for providing Corporate Action related information

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For cash and Stock dividend information)

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alpha-numeric	20	Mandatory	Default value 07IDR	Standard value of 07IDR to uniquely identify Transaction processing communication mode information
PROCESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alpha-numeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Corporate action has to be uploaded
RULEEFFECTIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which corporate action for the fund has to be maintained.
DIVIDENDDECLAREFREQUENCY	Alpha-numeric	1	Optional	Valid values are 'D' for 'Daily'; 'W' for 'Weekly'; 'F' or 'B' for 'Bi-weekly'; 'M' for 'Monthly'; 'Q' for 'Quarterly'; 'H' for 'Half-yearly'; 'Y' for 'Yearly'	Enter the frequency with which the dividend is to be declared

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
DIVIDEND-PAYMENT FREQ	Alphanumeric	1	Optional	Valid values are 'D' for 'Daily'; 'W' for 'Weekly'; 'F' or 'B' for 'Bi-weekly'; 'M' for 'Monthly'; 'Q' for 'Quarterly'; 'H' for 'Half-yearly'; 'Y' for 'Yearly'	Enter the frequency with which the declared dividends are to be paid. As the system supports accumulation of dividends, the payment could be for any dividend that has been declared earlier. The Dividend Payment Frequency must not be less than Dividend Declaration Frequency.
REINVESTMENTALLOWED	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate if reinvestment is allowed for the fund.
TAXID	Alphanumeric	15	Optional		Enter the tax ID for the fund that is being set up.
BOOK-CLOSINGLEADTIME	Number	5	Optional		Enter a lead-time in days
FREEZE-HOLDINGLEADTIME	Number	5	Optional		This data is also in days and the Freeze Holding Date is the date on which the balances held by all unit holders in the fund will be consolidated
BOARD-MEETINGLEADTIME	Number	5	Optional		Enter a lead-time in days. This is captured for information purposes only.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
DIVI-DEND-PAYMENT LEAD-TIME	Number	5	Optional		The lead time entered is in days. Each of the lead times must be less than the Dividend Declaration Frequency. For example, if the Dividend Declaration Frequency is WEEKLY, the Board Meeting Lead Time cannot be 8 days.
NOOF-DECIMALSFORDIVIDEND	Number	5	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the dividend. You cannot indicate a precision higher than 6 decimal places.
ROUND-OFFTRUNCATE-DIVIDEND	Alpha-numeric	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the dividend, designated for the fund.
TDSBASIS	Alpha-numeric	1	Optional	D - Each Dividend ; U - Fiscal year	This is to indicate whether slab should be looked for every dividend payment separately or whether consolidated on a fiscal year basis.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
EPUCOMPONENTS	Number	1	Optional	Valid values are '0' and '1'	This indicates the applicability of Earnings Per Unit and that the earnings per unit must be defined in terms of components, or as a single value. Setting up EPU components is not applicable for stock dividends.
DEFAULT DISTRIBUTION-MODE	Alpha-numeric	1	Optional	Valid values are 'T' - Payout-A/C Transfer; 'Q' - Payout-Cheque and 'R' - Full Reinvestment	If the Income Distribution Setup for the unit holder has not yet been specified, the fund level default Unit Holder Distribution Mode to be considered for the unit holder can be specified here. For stock dividends, the only possible option is 'Reinvestment' as others would not be applicable
EXCHANGERATE-DATEBASIS	Alpha-numeric	1	Optional	Valid values are 'P' - Payment Date; 'R' - Reference Date	Specify the basis upon which the exchange rate will be applied for dividend processing. The system provides two options: Reference Date and Payment Date.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
RESTRIC-TIDS	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate that specific income distribution set-ups for unit holders may be overridden. For stock dividends this value should always be set.
EPULOT	Number	6	Optional		Specify the number of units for which the EPU quote is deemed to be applicable, for the fund. Setting up EPU components is not applicable for stock dividends.
DIV-LOOKA-HEAD	Number	1	Optional		This is to indicate that in the event of intervening holidays, the system would obtain the EPU information and process dividends for the holiday period, ahead of the prior business day, for the fund.
CORPORATEACTIONTYPE	Alphanumeric	1	Mandatory	Valid values are 'C' for Cash and 'S' for Stock dividends	For cash dividend EPU should be mentioned whereas for Stock dividend, Parent:Resultant ratio should be mentioned

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
UNITS-FOR-FREEZEHOLDINGS	Alpha-numeric	1	Optional	Valid values 'A' for all units and 'C' for Confirmed units	Specify the units to be considered for dividend eligibility as on the freeze holdings date. You can specify that all units (including unconfirmed units) must be considered, or that only confirmed units are to be considered as on the freeze holdings date.
FIRST-DIVIDENDDECLARATIONDATE	Date	8	Optional		Specify the first date for dividend declaration, for the fund
SPECIAL-DIVIDEND	Number	1	Optional		This is to indicate that special dividends are applicable for the fund. This feature is only available if your installation has requested for it.
MOCK-DIVIDEND	Number	1	Optional		Not applicable now

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
HOLIDAY-RULE	Alpha-numeric	1	Optional	A' for After and 'P' for prior	Select the rule to be applied if the dividend processing date falls on a holiday. You can select either the PRIOR rule (the previous working day is considered) or the AFTER rule (the next working day is considered), for the dividend type. The holiday rule you select here will be applicable to all dividend-processing dates that have been arrived at using a frequency. They are not applicable to dates arrived at using lead times or lag periods.
PAYMENT-LAG	Number	3	Optional		Specify a lag period (in days) for the payment of dividend. The lag value is interpreted in calendar days, and is used to arrive at the payment date for the dividend. The payment date is arrived at as follows: Dividend Payment Date = Dividend Declaration Date + Payment Lag

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PAYDIVI-DEND-DURINGREDE	Number	1	Optional		This is used to indicate that dividends may be paid during redemption.
REINVESTMENTPRICEBASIS	Alpha-numeric	1	Optional		
IRACOMPULSORYREINVEST	Number	1	Optional		Applicable only if IRA is applicable for the fund.
NPISUPPORT	Alpha-numeric	1	Optional		
NPIPAYMENT	Alpha-numeric	3	Optional		
NPIUHOVERRIDE	Alpha-numeric	1	Optional		
FigUnsettleUnits	Alpha-numeric	1	Optional		
MIMAMTTOBEPAIDOUT	NUMBER	1	Optional		
ACTION	VARCHAR2	1	Optional	Valid values are 'L' and 'R'	
OVERRATPAYTIME	NUMBER	1	Optional	Valid values are 0 and 1	
AUTOREINVFORUNCLHQ	NUMBER	1	Optional	Valid values are 0 and 1	
AUTOREINVFORUNCLHQFZB	NUMBER	1	Optional	Valid values are 0 and 1	
TRACKUNCLEARREDTXNS	VARCHAR2	1	Optional	Valid values are 0 and 1	

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
TRACK-BLOCKE DTXNS	VARCH AR2	1	Optional	Valid values are 0 and 1	
PAYUN-GENRE-INVESTMENT	VARCH AR2	1	Optional	Valid values are 0 and 1	
TDS APPLICABLE FOR ALL UH	Number	1	Optional	Valid values are 0 (No) and 1(Yes)	TDS Applicable for all UH" flag could be set to '1' only if dividend equalization is applicable for the fund.

Serial Number: 9

Segment Identification Number: 08FSC

Description: This segment is used for providing Fund Sale Country information

Segment Mandatory / Optional?: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 08FSC	Standard value of 08FSC to uniquely identify Fund sale country information
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund sale country information has to be uploaded
RULE-EFFECTIVEDATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund sale country information for the fund has to be maintained.
COUNTRY-CODE	Alphanumeric	3		Valid country code present in the system as a part of Domicile in Params maintenance	If no country code is mentioned and this field is left blank then it means that there is no restriction on the sale of the fund. However, if valid value is entered then the fund would be restricted for sale in those countries

Serial Number: 10

Segment Identification Number: 09FRL

Description: This segment is used for providing Fund residency list information

Segment Mandatory/Optional?: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 09FRL	Standard value of 09FRL to uniquely identify Fund residency list information

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund residency list information has to be uploaded
RULE-EFFECTIVEDATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund residency list information for the fund has to be maintained.
COUNTRY-CODE	Alphanumeric	3		Valid country code present in the system as a part of Domicile in Params maintenance	If no country code is mentioned and this field is left blank then it means that there is no restriction on the investor residing in any domicile. However, if valid value is entered then the fund would be restricted for investors residing in that domicile.

Serial Number: 11

Segment Identification Number: 10FFM

Description: This segment is used for providing Fund formula information

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 10FFM	Standard value of 10FFM to uniquely identify Fund formula related information
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund formula information has to be uploaded
RULE-EFFEC-TIVEDA TE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund formula information for the fund has to be maintained.
COM-PONEN-TID	Alphanumeric	10	Mandatory		Valid components maintained in the system as a part of Params maintenance. This also depends on whether this is used for Fund price computation or not.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FUND-PRICECOMPUTATION	Alphanumeric	1	Optional		Indicates whether the data has to be used for Fund price computation or not. This value should remain the same for the fund and Rule effective date combination. In other words, for a fund and Rule effective date - we cannot have one component used for fund price computation and the other component not used for fund price computation.
FORMULA	Alphanumeric	255	Optional		
DEFAULTVALUE	Number	15	Optional	Maximum of 6 decimals allowed	
EXCLUDEFROMCAPITALGAINS	Number	1	Optional		

Serial Number: 12

Segment Identification Number: 11FLM

Description: This segment is used for providing Fund load information

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanu- meric	20	Mandatory	Default value 11FLM	Standard value of 11FLM to uniquely iden- tify Fund load related informa- tion
PRO- CESSID	Alphanu- meric	50	Mandatory	Same value as in 00GEN - Pro- cessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanu- meric	6	Mandatory		The Fund ID is a unique Identifi- cation for each Fund and it indi- cates the fund for which Fund load informa- tion has to be uploaded
RULEEF- FECTIVE- DATE	Date	8	Mandatory	The Fund ID and Rule effec- tive date combi- nation should be the same as defined in 01FDR	The rule effec- tive date for which fund load information for the fund has to be maintained.
TRANS- ACTION- TYPE	Alphanu- meric	2	Mandatory	Valid values are from '01' to '10' ranging from IPO to Re-issue	This is to indi- cate the trans- action type for which the loads are being defined
LOADID	Number	5	Mandatory	Valid load ID defined in the system	Specify the name of the Load (fee/incen- tive) that must be applied for the selected Fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
LOADTO-PRICE	Number		Optional	Valid values are '0' and '1'	This is to indicate that this load is to be loaded to the base price
FRO-MENTI-TYTYPE	Alphanumeric	1	Mandatory	Valid values are: 'M' for AMC, 'A' for Agent, 'B' for Broker, 'D' for Distributor, 'F' for Fund, 'R' for Registrar, 'T' for Trustee, 'U' for Unit Holder, 'S' for Custodian	This is to indicate the entity type from which the load is applied
TOENTI-TYTYPE	Alphanumeric	1	Mandatory	Valid values are: 'M' for AMC, 'A' for Agent, 'B' for Broker, 'D' for Distributor, 'F' for Fund, 'R' for Registrar, 'T' for Trustee, 'U' for Unit Holder, 'S' for Custodian	This is to indicate the entity type to which the load is applied
PRO-CESS-INGFREQ	Alphanumeric	1	Optional	Valid values are 'A', 'T' and 'P'	Specify the frequency at which this load is to be applied. Loads can be applied at any of three possible frequencies - Allocation time, Transaction time and Post allocation. (Refer the table marked 'PRO-CESSING-FREQ' at the end of this document)

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
GLAC-COUNT-CODE	Alphanumeric	10	Optional		When transaction information is exported to an external system, if separate books of accounts are to be posted for different loads, this code will be used to identify this load information in the export data.
DEBITOR-CREDIT	Alphanumeric	1	Optional	Valid values are 'D' and 'C'	This is used to indicate that the applied load would result in a debit or credit for the fund. This data is captured for information purposes only and has no processing implications in the system database.
CON-TRAAC-COUNTCODE	Alphanumeric	10	Optional		Specify the code that will be used to identify the second leg of accounting entries for any transaction, in the event of exporting of transaction information to an external system.
NOOF-DECIMALSFO RLOAD	Number	1	Optional	Valid values are 'R' for Round off; 'T' for Round Down and 'U' for Round up	Indicate the rounding options for the value of the load, designated for the fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
ROUND-OFFTRUNCATE-FOR-LOAD	Alphanumeric	1	Optional		Indicate the maximum number of decimals that would be reckoned for rounding precision, for the load. You cannot indicate a precision higher than 6 decimal places.
MANDATORY	Alphanumeric	1	Optional	Valid values are 'M' and 'O'	Select Mandatory or Optional to specify whether the load is mandatory or optional
PRIORITYNO	Number		Optional	For a mandatory load, the priority number is set to 0 and for an optional load the priority number should be unique i.e.. for a given Fund, no more than one load can have the same priority number.	Enter a value to specify the priority number in case of optional loads.
LOAD-VATTPRICE	Number		Optional	Valid values are 1 and 0	
APPLYRETVOLON	Alphanumeric	1	Optional	Valid vales are 'G' - Capital Gains Gross; 'N' - Non-capital gains Net and 'C' - Capital gains and 'P' - Performance Based and 'I' – IOF and 'D' - Default IRRF and 'O' - Optional IRRF and 'S'- CDSC	If the load is a Capital Gains Tax, and it is to be applied based on the gross amount after allocation, choose the Capital Gains – Gross option in this field, for such a load.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEND-FOR-GLINTER FACE	Number	1	Optional	Valid values are '0' and '1'	This is used to indicate that accounting entries due only to the selected load must be posted to the external asset management system, for the fund.
REFTYPE	Alphanumeric	2	Mandatory	Valid reference type as per the pre-shipped data in RefTypeTbl	When load needs to be mapped to a reference transaction type like Reinvestment and if the system supports the mapping of the Ref Type to any load, then such RefTypes can be indicated here.
DIFFERENTIAL-FEE	Number	1	Optional	Valid values are '0' and '1'	This is to indicate whether differential fee in the case of switch transactions for any fund is to be applicable
SLABBASIS	Alphanumeric	1	Optional	Valid values are 'G' for Gross and 'N' for Net 'W' – Weighted Average	This is to Indicate the basis on which the slabs will be reckoned for an amount-based load that you are designating as applicable for the fund

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRICE-ADDIN	Number	1	Optional		This is used to indicate the add-in factor that is to be applicable for computing the return value for the load, for the selected transaction type. The add-in factor is used to arrive at the return value for a load, at the time of allocation.
GROUPID	Alphanumeric	6	Optional	Valid Group Id present in the system	
INDEXATIONONCGT	Alphanumeric	1	Optional	Valid values are 'Y' for Yes and 'N' for 'No'	
LevelID	Number		Optional		Used for capturing the LevelID
DependentLevel	Number		Optional		Used for capturing Dependent level.

Serial Number: 13

Segment Identification Number: 12FTC

Description: This segment is used for providing Fund transaction currency information

Segment Mandatory/Optional?: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 12FTC	Standard value of 12FTC to uniquely identify Fund transaction currency information

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alpha-numeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund transaction currency information has to be uploaded
RULEEFFECTIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund transaction currency information for the fund has to be maintained.
CURRENCYCODE	Alpha-numeric	3	Optional	Valid currency maintained in the system	If no currency code is mentioned and this field is left blank then it means that there is no restriction on the currency used for transaction for this fund. However, if valid value is entered then the fund would be restricted for transaction in those currencies

Serial Number: 14

Segment Identification Number: 13FAI

Description: This segment is used for providing Fund additional information

Segment Mandatory/Optional?: Mandatory

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 13FAI	Standard value of 13FAI to uniquely identify Fund additional information
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund additional information has to be uploaded
RULEEF-FEC-TIVEDATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund additional information for the fund has to be maintained.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
OTHERI NFO1	Alphanumeric	60	Optional		Additional information could be maintained in the system as a part of 'Add Info Maintenance'. Once this is done, for a specific AMC, the additional information can be mapped for the entity type Fund. Hence, as a part of Fund additional information maintenance, the values could be captured. Any such additional information can be captured using these fields
OTHERI NFO2	Alphanumeric	60	Optional		
OTHERI NFO3	Alphanumeric	60	Optional		
OTHERI NFO4	Alphanumeric	60	Optional		
OTHERI NFO5	Alphanumeric	60	Optional		
OTHERI NFO6	Alphanumeric	60	Optional		
OTHERI NFO7	Alphanumeric	60	Optional		
OTHERI NFO8	Alphanumeric	60	Optional		
OTHERI NFO9	Alphanumeric	60	Optional		
OTHERI NFO10	Alphanumeric	60	Optional		
OTHERI NFO11	Alphanumeric	60	Optional		

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
OTHERI NFO12	Alphanu- meric	60	Optional		
OTHERI NFO13	Alphanu- meric	60	Optional		
OTHERI NFO14	Alphanu- meric	60	Optional		
OTHERI NFO15	Alphanu- meric	60	Optional		
OTHERI NFO16	Alphanu- meric	60	Optional		
OTHERI NFO17	Alphanu- meric	60	Optional		
OTHERI NFO18	Alphanu- meric	60	Optional		
OTHERI NFO19	Alphanu- meric	60	Optional		
OTHERI NFO20	Alphanu- meric	60	Optional		
OTHERI NFO21	Alphanu- meric	60	Optional		
OTHERI NFO22	Alphanu- meric	60	Optional		
OTHERI NFO23	Alphanu- meric	60	Optional		
OTHERI NFO24	Alphanu- meric	60	Optional		
OTHERI NFO25	Alphanu- meric	60	Optional		
OTHERI NFO26	Alphanu- meric	60	Optional		
OTHERI NFO27	Alphanu- meric	60	Optional		
OTHERI NFO28	Alphanu- meric	60	Optional		
OTHERI NFO29	Alphanu- meric	60	Optional		
OTHERI NFO30	Alphanu- meric	60	Optional		

Serial Number: 15

Segment Identification Number: 14IRA

Description: This segment is used for providing Fund IRA information, if applicable

Segment Mandatory/Optional? : Optional

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MEN-TID	Alphanumeric	20	Mandatory	Default value 14IRA	Standard value of 14IRA to uniquely identify Fund IRA information
PRO-CESSI D	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUN-DID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund IRA information has to be uploaded
RULE-EFFEC TIVE-DATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which fund IRA information for the fund has to be maintained.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
MININITIALINVESTMENT	Number	15	Mandatory		Minimum initial investment amount
MAXINITIALINVESTMENT	Number	15	Mandatory		Maximum initial investment amount
MININVESTMENT	Number	15	Mandatory		Minimum investment amount
MAXINVESTMENT	Number	15	Mandatory		Maximum investment amount
MINWITHDRAWAL	Number	15	Mandatory		Minimum Withdrawal amount
MAXWITHDRAWAL	Number	15	Mandatory		Maximum Withdrawal amount

Serial Number: 16

Segment Identification Number: 15FDI

Description: This segment is used for providing Fund delivery instruction information, if applicable

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 15FDI	Standard value of 15FDI to uniquely identify Fund transaction currency information

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund delivery instruction has to be uploaded
RULE-EFFECTIVEDATE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which Fund delivery instruction information for the fund has to be maintained.
REGISTER-DACCOUNT	Number	1	Mandatory	Valid values are '0' and '1'	Indicate as '1' if the respective delivery mode is applicable for the fund
DELIVERY-CUSTODIAN	Number	1	Mandatory	Valid values are '0' and '1'	
DELIVERY-CLGAGENT	Number	1	Mandatory	Valid values are '0' and '1'	
PHYSICAL-CERTDELIVERY	Number	1	Mandatory	Valid values are '0' and '1'	

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
DEFAULTDELIVERY	Alphanumeric	2	Mandatory	Valid values are 'RA' for Registered account, 'CU' for Deliver to Custodian, 'CL' for Deliver to Clearing Agent and 'PD' for Physical delivery	Should be based on allowed delivery modes
CERTIFIED DENOMINATIONS	Alphanumeric	200	Optional	This value should be specified with necessary field and record separator as shown below:- 10 0:100 1:500 0:1000 0 where the field separator between Denomination value and Default is ' ' and the record separator is colon - ':'	This is applicable only in case of scripless funds having Physical delivery as one of the delivery instruction.
PUEV	NUMBER	1	Optional	Valid values are 0 and 1	This is a new delivery+ option

3.1.2 **PROCESSINGFREQ (ref 11FLM, 12.10)**

* Allocation: This will mean that you will be charging the investor a fee or giving an incentive at the time of allocation of units. Allocation time loads cannot be designated for any transaction types other than IPO, subscription, redemption, and switch.

* Transaction: The charge (fee) or incentive will be applied at the time the transaction request is accepted from the investor.

* Post Allocation: This frequency is applicable typically to the Capital Gains Tax, which may be applied after allocation, on the gross amount.

Capital Gains Tax may also be designated as an allocation time load.

Serial Number: 17

Segment Identification Number: 17KYC

Description: This segment is used for capturing the Document information, if applicable

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alphanumeric	20	Mandatory	Default value 17KYC	Standard value of 17KYC is to uniquely identify Fund document description.
PRO-CESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund delivery instruction has to be uploaded
RULE-EFFEC-TIVEDA TE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which Fund delivery instruction information for the fund has to be maintained.
Docu-mentDe-scription	Alphanumeric Code	255	Optional	Captured only if the KYCAML parameter is set to True.	Used for capturing the document description.

Serial Number: 18

Segment Identification Number: 18MLD

Description: This segment is used for capturing the information in multiple languages against the language codes.

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
SEG-MENTID	Alpha-numeric	20	Mandatory	Default value 18MLD	Standard value of 18MLD is to uniquely identify multiple languages.
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alpha-numeric	6	Mandatory		The Fund ID is a unique Identification for each Fund and it indicates the fund for which Fund delivery instruction has to be uploaded
RULE-EFFEC-TIVEDA TE	Date	8	Mandatory	The Fund ID and Rule effective date combination should be the same as defined in 01FDR	The rule effective date for which Fund delivery instruction information for the fund has to be maintained.
Lan-guage-Code	Alpha-numeric Code	12	Optional		Used for capturing the information in multiple languages against the language code.
Fund-Name	Alpha-numeric Code	60	Optional		Enter the name of the fund for which the Fund Demographics profile is being set up in this record

Serial Number: 19

Segment Identification Number: 19FSI

Description: This segment is used for providing Fund Investment Account SI, if applicable

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes

Field Name	Type	Maximum Length	Mandatory / Optional?
MAXNOOFSITRANSACTIONS	NUMBER	4	Optional
MAXVALIDITY	NUMBER	4	Optional

Serial Number: 20

Segment Identification Number: 20HFP

Description: This segment is used for providing hedge fund parameters

Segment Mandatory/Optional?: Optional

Field Name	Type	Maximum Length	Mandatory / Optional?
SegmentID	VARCHAR2	20	Mandatory
ProcessID	VARCHAR2	50	Mandatory
FundID	VARCHAR2	6	Mandatory
RuleEffectiveDate	DATE	7	Mandatory
HedgeFundType	VARCHAR2	1	Mandatory
HedgeFundManager	VARCHAR2	12	Mandatory
TxnGenerationBasis	VARCHAR2	1	Optional
MasterFundUHID	VARCHAR2	12	Optional
NoticePeriodforRed	NUMBER	5	Optional
ComputationMethod	VARCHAR2	4	Optional
RuleGroupID	VARCHAR2	10	Optional
PerformancefeePer	NUMBER	3	Optional
AccrualFrequency	VARCHAR2	1	Optional
NextAccrualDate	DATE	7	Optional
PaymentFrequency	VARCHAR2	1	Optional
NextPaymentDate	DATE	7	Optional
HurdleRateApplicable	VARCHAR2	1	Optional
HurdleType	VARCHAR2	1	Optional
ResetHurdle	VARCHAR2	1	Optional
HurdleRateType	VARCHAR2	1	Optional
CalculationMethod	VARCHAR2	1	Optional

Field Name	Type	Maximum Length	Mandatory / Optional?
DayBasis	VARCHAR2	1	Optional
RateCode	VARCHAR2	15	Optional
RateBasis	VARCHAR2	1	Optional
Rate	NUMBER	20	Optional

Serial Number: 21

Segment Identification Number: 21HFL

Description: This segment is used for providing hedge fund linkage details

Segment Mandatory/Optional?: Optional

Field Name	Type	Maximum Length	Mandatory / Optional?
SegmentID	VARCHAR2	20	Mandatory
ProcessID	VARCHAR2	50	Mandatory
FundID	VARCHAR2	6	Mandatory
RuleEffectiveDate	DATE	7	Mandatory
LinkFundID	VARCHAR2	6	Mandatory
Percentage	NUMBER	3	Optional
Unit holder ID	VARCHAR2	12	Optional

Serial Number: 22

Segment Identification Number: 21HFD

Description: This segment is used for providing investor category details for hedge funds

Segment Mandatory/Optional?: Optional

Field Name	Type	Maximum Length	Mandatory / Optional?
SegmentID	VARCHAR2	20	Mandatory
ProcessID	VARCHAR2	50	Mandatory
FundID	VARCHAR2	6	Mandatory
RuleEffectiveDate	DATE	7	Mandatory
InvestorCategory	VARCHAR2	25	Mandatory

Field Name	Type	Maximum Length	Mandatory / Optional?
PerformanceFeeRate	NUMBER	20	Mandatory

3.1.3 Fund Related Information Upload Segments Format

The upload file would contain various segment identification numbers in the first column to indicate the type of data that is present in that entire row. Each segment identified by a unique tag, indicates the type of Fund rule related information like Fund entity, Fund calendar and Fund Agency Branch Back-dating limit.

Segment Identification Number	Description	Segment Mandatory / Optional?	Multiple records allowed for the same Fund and Rule Effective Date
00GEN	This segment is used for providing information that is common to the other fund related rules that need to be uploaded in the system.	Mandatory and will be the driving header segment for all the other segments.	No
01FEM	This segment is used for providing Fund entity related information that needs to be uploaded in the system for the Fund.	Optional	Yes [For various entity types and entity ids]
02FAB	This segment is used for providing Fund agency branch back-dating information that needs to be uploaded in the system for the Fund.	Optional	Yes [For various transaction types]
03FBC	This segment is used for providing Fund based calendar related information that needs to be uploaded in the system for the Fund.	Optional	Yes [For various years]

3.1.3.1 Fund Related Information Segments Formats

Serial Number: 1

Segment Identification Number: 00GEN

Description: This segment is used for providing information that is common to the other fund related rules that need to be uploaded in the system.

Segment Mandatory / Optional?: Mandatory and will be the driving header segment for all the other segments.

Multiple records allowed for the same Fund and Rule Effective Date: No

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PRO-CESSID	Alphanumeric	50	Mandatory		This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
BULKCLIENTCODE	Alphanumeric	12	Mandatory		Valid authorized, enabled Bulk client codes maintained in the system as a part of Entity maintenance.
IMPORT-FILE-NAME	Alphanumeric	255	Mandatory		This is the name of the file being uploaded into the FCIS system
AMCID	Alphanumeric	12	Mandatory		Valid authorized, enabled AMC maintained in the system as a part of Entity maintenance. The fund rule upload defaulting would be based on both AMCID and the Bulk client code.
USERID	Alphanumeric	15	Mandatory		The fund rule MakerID would have the value of UserID as a part of data storage in all the fund rule tables.
UPLOAD-MODE	Alphanumeric	1	Mandatory	Valid values are 'N' and 'I'	Should be 'N' for New fund rule. And 'I' for Amending an existing authorized fund rule.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
GENERATEAUTH-FUNDRULE	Alphanumeric	1	Optional	Valid values are 'A' and 'U'	This indicates whether the fund rule uploaded should be a authorized fund rule or un-authorized fund rule.

Serial Number: 2

Segment Identification Number: 01FEM

Description: This segment is used for providing Fund entity related information

Segment Mandatory / Optional: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For various entity types and entity IDs)

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
SEGMENTID	Alphanumeric	20	Mandatory	Default value 01FEM	Standard value of 01FEM to uniquely identify Fund entity information
PROCESSID	Alphanumeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUNDID	Alphanumeric	6	Mandatory	Depending upon the scheme cross reference maintained at the Bulk client defaults - this field value could either be FundID, Fund Identification number or Fund ticker symbol.	The Fund ID is a unique Identification for each Fund in the system. Enter the fund for which a Fund entity mapping needs to be maintained.

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
ENTITY-TYPE	Alpha-numeric	2	Optional	Valid values are - 'A' for Agent; 'Q' for Check Vendor;'U' for Investor, 'L' for Clearing Agent; 'IC' for Individual customer category and 'CC' for Corporate customer category	The entity type for which the fund is mapped. This helps us to understand whether it is a Fund-Agent mapping, Fund-Check Vendor mapping, Fund-Clearing Agent mapping, Fund-Investor mapping, Fund-Individual category mapping or Fund - Corporate category mapping
ENTITYID	Alpha-numeric	12	Optional	Valid entity ID maintained in the system as a part of Single entity maintenance for the respective entity type.	The Entity ID which belongs to the entity type specified
DISABLE	Number	1	Optional	Valid values are '0' and '1'	This is to indicate whether the definition should be disabled or enabled.
RESTRICTIVELIST	Number	1	Optional	Valid values are '0' and '1'	Indicates whether the mapping is a positive list or negative list. The value of '1' indicates that it is a negative list and vice versa.

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
DEFAULT OPTION	Alpha-numeric	15	Optional	Valid values are null, 'BULKCLIENT-CODE' or any valid Fund Id available in the system.	* If the default option is null, then all values provided by the user for entity type, entity id and Restrictive list should be used. * If the value 'BULKCLIENTCODE' is mentioned, then default the information based on the bulk client code mentioned as a part of header segment. * If any other Fund ID value is mentioned, then default values based on the latest available record for the Fund mentioned.
UPLOAD MODE	Alpha-numeric	1	Optional	Valid values are null, 'N' and 'I'. This is to override the value mentioned as a part of header segment.	Should be 'N' for New fund rule. And 'I' for Amending an existing authorized fund rule.
GENERATEAU-THFUND RULE	Alpha-numeric	1	Optional	Valid values are null, 'A' and 'U'. This is to override the value mentioned as a part of header segment.	This indicates whether the fund rule uploaded should be a authorized fund rule or unauthorized fund rule.

Serial Number: 3

Segment Identification Number: 02FAB

Description: This segment is used for providing Fund agency branch back-dated related information

Segment Mandatory/Optional: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes (For various transaction types)

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
SEG-MEN-TID	Alpha-numeric	20	Mandatory	Default value 02FAB	Standard value of 02FAB to uniquely identify Fund agency branch back-dating limit information
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUN-DID	Alpha-numeric	6	Mandatory	Depending upon the scheme cross reference maintained at the Bulk client defaults - this field value could either be FundID, Fund Identification number or Fund ticker symbol.	The Fund ID is a unique Identification for each Fund in the system. Enter the fund for which a Fund agency branch back-dated limit needs to be maintained.
AGENT CODE	Alpha-numeric	12	Optional	Valid agent as a part of entity maintenance	Valid entity id in the system for which entity type is 'A'
AGENCYBRANCH-CODE	Alpha-numeric	12	Optional	Valid agency branch as a part of entity maintenance	Valid entity id in the system for which the parent code is Agent code mentioned in the previous column
TRANSACTIONTYPE	Alpha-numeric	2	Optional	Valid values are '01' for IPO; '02' for Subscription; '03' for Redemption and so on.	Transaction type for which back-dating limit is maintained. Valid values are '01' to '10' ranging from IPO to Re-issue

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
BACK-DATINGPERIOD	Number		Optional	Back dating limit in days	
DISABLE	Number	1	Optional	Valid values are '0' and '1'	This is to indicate whether the definition should be disabled or enabled.
DEFAULTOPTION	Alphanumeric	15	Optional	Valid values are null, 'BULKCLIENTCODE' or any valid Fund Id available in the system.	* If the default option is null, then all values provided by the user for entity type, entity id and Restrictive list should be used. * If the value 'BULKCLIENTCODE' is mentioned, then default the information based on the bulk client code mentioned as a part of header segment. * If any other Fund ID value is mentioned, then default values based on the latest available record for the Fund mentioned.
UPLOADMODE	Alphanumeric	1	Optional	Valid values are null, 'N' and 'I'. This is to override the value mentioned as a part of header segment.	Should be 'N' for New fund rule. And 'I' for Amending an existing authorized fund rule.
GENERATEAUTHFUNDRULE	Alphanumeric	1	Optional	Valid values are null, 'A' and 'U'. This is to override the value mentioned as a part of header segment.	This indicates whether the fund rule uploaded should be an authorized fund rule or unauthorized fund rule.

Serial Number: 4

Segment Identification Number: 03FBC

Description: This segment is used for providing Fund based calendar information

Segment Mandatory/Optional?: Optional

Multiple records allowed for the same Fund and Rule Effective Date: Yes (for various years)

Field Name	Type	Maximum Length	Mandatory /Optional?	Characteristics / Validations applicable	Description
SEG-MEN-TID	Alpha-numeric	20	Mandatory	Default value 03FBC	Standard value of 03FBC to uniquely identify Fund agency branch back-dating limit information
PRO-CESSID	Alpha-numeric	50	Mandatory	Same value as in 00GEN - ProcessID	This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later
FUN-DID	Alpha-numeric	6	Mandatory	Depending upon the scheme cross reference maintained at the Bulk client defaults - this field value could either be FundID, Fund Identification number or Fund ticker symbol.	The Fund ID is a unique Identification for each Fund in the system. Enter the fund for which a Fund agency branch back-dated limit needs to be maintained.
YEAR	Number	4	Optional		The year for which the calendar need to be maintained for the fund.

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
DEFAULTOPTION	Alpha-numeric	15	Optional	Valid values are null, 'BULKCLIENT-CODE' or any valid Fund Id available in the system.	* If the default option is null, then all values provided by the user for entity type, entity id and Restrictive list should be used. * If the value 'BULKCLIENTCODE' is mentioned, then default the information based on the bulk client code mentioned as a part of header segment. * If any other Fund ID value is mentioned, then default values based on the latest available record for the Fund mentioned.
UPLOADMODE	Alpha-numeric	1	Optional	Valid values are null, 'N' and 'I'. This is to override the value mentioned as a part of header segment.	Should be 'N' for New fund rule. And 'I' for Amending an existing authorized fund rule.
GENERATEAUTHORULE	Alpha-numeric	1	Optional	Valid values are null, 'A' and 'U'. This is to override the value mentioned as a part of header segment.	This indicates whether the fund rule uploaded should be a authorized fund rule or un-authorized fund rule.

3.1.4 Fund Template-based Upload Format

For funds uploaded using a fund template, the required format must be as shown below:

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
PROCESSED	Alpha-numeric	50	Mandatory		This should identify the upload uniquely. This should also be unique within a file and it allows to identify imported records later

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
BULK-CLIENT-CODE	Alphanumeric	12	Mandatory		Valid authorized, enabled Bulk client codes maintained in the system as a part of Entity maintenance.
IMPORT-FILENAME	Alphanumeric	255	Mandatory		This is the name of the file being uploaded into the FCIS system
AMCID	Alphanumeric	12	Mandatory		Valid authorized, enabled AMC maintained in the system as a part of Entity maintenance. The fund rule upload defaulting would be based on both AMCID and the Bulk client code.
TEMPLATEID	Alphanumeric	6	Mandatory	Valid authorized template present in the system	
FUNDID	Alphanumeric	6	Mandatory		The new fund id for which fund rule has to be set up
RULE-EFFECTIVE-DATE	Date	8	Mandatory		The rule effective date on which the fund rule would be effective
FUND-TAXID	Alphanumeric	25	Optional		Fund tax id, if any
FUND-IDENTIFICATION-NUMBER	Alphanumeric	25	Optional		Fund ISIN number - depending upon the installation type check, this field would be made mandatory or optional
FUND-TICKER-SYMBOL	Alphanumeric	25	Optional		Ticker symbol for the fund whose rule is set up

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FUND-NAME-SHORT	Alpha-numeric	15	Mandatory		Short name for the fund
FUND-NAME	Alpha-numeric	60	Mandatory		Fund name
USERID	Alpha-numeric	15	Mandatory		The fund rule MakerID would have the value of UserID as a part of data storage in all the fund rule tables.
GENERATEAUTHFUNDRULE	Alpha-numeric	1	Optional	Valid values are 'A' and 'U'	This indicates whether the fund rule uploaded should be a authorized fund rule or un-authorized fund rule.
FDR	Alpha-numeric	3	Mandatory	Valid values are 'NO' and 'YES'	Fund demographics information
GOR	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	General operating rules information
SCR	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Shares characteristics information
IDR	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Corporate actions information
TPR	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Transaction processing rules information
TPRCOMM-MODE	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Transaction processing rules Communication mode information
TPRINVCATEGORY	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Transaction processing rules Investor category information
FSC	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund sale country information

Field Name	Type	Maximum Length	Mandatory / Optional?	Characteristics / Validations applicable	Description
FRR	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund residency list information
FTC	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund transaction currency information
FFM	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund formula maintenance information
FLM	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund load maintenance information
FAI	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund additional information
IRA	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	IRA information
FDI	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund delivery instruction information
FEM	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund entity maintenance information
FAB	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund agency branch back-dating limit information
FBC	Alpha-numeric	3	Optional	Valid values are NULL, 'NO' and 'YES'	Fund based calendar information

3.1.5 EPU Upload File Format

EPU upload is specific to OMSTA, as the assumption is that OMSTA maintains the following components and those component names are hard-coded in DIVIDENDEPUIIPTBL:

Field Name	Data Type	Remarks
Fund Id	Char (3)	The fund id in FCIS.
Distribution Type	Char (1)	This field will be ignored and the dividend type in FCIS will be treated as cash dividend.

Field Name	Data Type	Remarks
Gross Or Net Distribution	Char (1)	This field will be ignored.
Declaration Date	Date	The interface will verify if there is any generated cash dividend record for this date, and will update that record with the required EPU.
Payment Date / Re-investment Date	Date	This field will be ignored by the interface.
Gross Amount	Float	This will be a dividend component. Component code 'GA'.
Dividend Amount	Float	This will be a dividend component. Component code 'DA'.
Dividend Amount Foreign	Float	This will be a dividend component. Component code 'AF'.
Dividend Amount Foreign Withholding Tax	Float	This will be a dividend component. Component code 'WF'.
Dividend Amount Foreign Exempt	Float	This will be a dividend component. Component code 'EF'.
Interest Amount	Float	This will be a dividend component. Component code 'IA'.
Interest Amount Local	Float	This will be a dividend component. Component code 'IL'.
Interest Amount Foreign	Float	This will be a dividend component. Component code 'IF'.
Interest Amount Foreign Withholding Tax	Float	This will be a dividend component. Component code 'TF'.
NPI Amount	Float	This will be a dividend component. Component code 'NP'.
Interest Withheld Tax Amount	Float	This will be a dividend component. Component code 'IT'.
Property Dividend Amount	Float	This will be a dividend component. Component code 'PD'.

3.1.6 Tax Aggregation Interface Format

The formats for export and import of files for transfer of tax information are given below. This is applicable to annuity taxes only.

The Record Specifications for the export file containing tax is as follows:

Field Name	Description	Data Type	Remarks
Tax Year	The tax year applicable –format – ddmccyy	Number (8)	This will be set to the last day of the fiscal year in he required format.
LOB	Line of Business code – ‘GAL’	String (3)	Will be set as ‘GAL’.
Agreement_Code	Contract number	Char (12)	Policy number
Product_Code	Product Code	Char (10)	Product code.
Sequence	Numeric Count	Number (4)	Record number, incremented sequentially.
Owner_Client_Id	Client Number or owner of the contract	Char (9)	The unitholder id.
Title	Null	Char (12)	This will be set to null.
Initials	Null	Char (15)	This will be set to null.
Surname	Null	Char (64)	This will be set to null.
IDNumber	Null	Char (15)	This will be set to null.
IDType	Null	Char (2)	This will be set to null.
DOB	Nulls	Char (10)	This will be set to null.
ClientType	‘N’ for naturals	Char (1)	This will be set to null.
Tax_Number	Nulls	Char (12)	This will be set to null.
TRUST-NUMBER	Nulls	Char (12)	This will be set to null.
AnnuType	‘C’ for compulsory, ‘V’ for voluntary	Char (1)	This will be set to ‘C’.
GN18	‘Y’ or ‘N’	Char (1)	This will be set to ‘N’.
Fund-Name	The pension Fund Name	Char (70)	Fund Name
Frequency	Frequency of the annuity income	Char (1)	The frequency of the annuity.
Payments_left	No of payments left within the tax year	Number (2)	The remaining number of annuities to be executed.
TaxEarnings_YTD	The taxable earning to date for the tax year.	Number (8,2)	The total annuity till date, including the tax already applied.

Field Name	Description	Data Type	Remarks
TaxDeducted_YTD	Tax deducted for the tax year	Number (8,2)	The tax deducted for the current fiscal year.
TaxEarnings	Taxable earnings for this annuity income	Number (8,2)	Taxable earnings for this annuity income
TaxDeducted	Tax to be deducted for that annuity income	Number (8,2)	Tax to be deducted for that annuity income
SystemId	The system ID as defined by the tax aggregation module.	Char (10)	This will be set to 'FCIS'.
Scheme	Nulls	Char (30)	This will be set to null.

The control record for the export of information relating to tax has the following format:

Field Name	Description	Data Type	Remarks
Record	'CONTROL'	Char (7)	This field will be set as 'CONTROL'
SystemId	The system ID as defined by the tax aggregation module.	Char (10)	Will be set as 'FCIS'.
Entries	Number of entries on the file	Number (8)	The number of entries in the file.
TaxEarnings_YTD	The taxable earning to date for the tax year.	Number (13,2)	The sum of all the TaxEarnings_YTD in the file.
TaxDeducted_YTD	The tax deducted for that tax year.	Number (13,2)	The sum of all the TaxDeducted_YTD in the file.
TaxEarnings	The taxable earnings for this annuity income	Number (13,2)	The sum of all the TaxEarnings in the file.
TaxDeducted	The tax to be deducted for that annuity income.	Number (13,2)	The sum of all the TaxDeducted in the file.
Tax_Recalc	The tax amount that should be deducted	Number (13,2)	This will be set to null.
Tax_Differ	The difference between what should be deducted and what was calculated by the product admin system.	Number (13,2)	This will be set to null.
Monthly_Adjust	Not applicable		This will be set to null.

The Record Specifications for the import of tax aggregation information into FCIS is as indicated below. The import will only log the data in the designated tables of FCIS. There is no processing carried out on the data imported.

Field Name	Description	Data Type	Remarks
GCS_CLNO	The group client id	Char (20)	This field will be ignored.
TaxYear	The tax year applicable in dd/mm/ccyy format	Char (8)	
TaxMonth	Month of the year	Char (2)	
PARM	ProductCode	Char (8)	
Agreement_Code	Contract Number	Char (12)	The policy number.
Sequence	Numeric Count	Char (4)	This field will be ignored.
LOB	Line of Business – 'GAL'	Char (3)	This field will be ignored.
Owner_Client_Id	Client Number or Owner of the contract	Char (9)	The unitholder id in FCIS.
Tax_Number	Nulls	Char (12)	
TrustNumber	Nulls	Char (16)	
AnnuType	'C' for compulsory, 'V' for voluntary	Char (1)	
GN18	'Y' or 'N'	Char (1)	
FundName	Nulls	Char (30)	
Frequency	Frequency of the annuity income	Char (1)	
Payments_Left	No of payments left within the tax year	Char (2)	
TaxEarnings_YTD	The taxable earning to date for the tax year.	Char (16)	
TAXDEDUCTED_YTD	The tax deducted for that tax year.	Char (16)	
TaxEarnings	Taxable earnings for this annuity income	Char (16)	
TaxDeducted	Tax to be deducted for that annuity income	Char (16)	
Scheme	Nulls	Char (10)	
Tax_Recalc	Tax amount that should be deducted	Char (16)	

Field Name	Description	Data Type	Remarks
Tax_Deffer	The difference between what should be deducted and what was calculated by the product admin system.	Char (16)	
Monthly_Adjust	Not applicable	Char (16)	
SystemId	The system ID as defined by the tax aggregation module.	Char (10)	
Tax_Remuneratio n	The total taxable income across the Old Mutual group.	Char (16)	

The Control Record for the import of information pertaining to tax aggregation should be in the following format:

Field Name	Description	Data Type	Remarks
Record	'CONTROL'	Char (7)	This field will be ignored.
SystemId	The system ID as defined by the tax aggregation module.	Char (10)	This field will be ignored.
Entries	Number of entries on the file	Number (8)	This field will be ignored.
TaxEarnings_YTD	The taxable earning to date for the tax year.	Number (13,2)	This field will be ignored.
TaxDeducted_YTD	The tax deducted for that tax year.	Number (13,2)	This field will be ignored.
TaxEarnings	The taxable earnings for this annuity income	Number (13,2)	This field will be ignored.
TaxDeducted	The tax to be deducted for that annuity income.	Number (13,2)	This field will be ignored.
Tax_Recalc	The tax amount that should be deducted	Number (13,2)	This field will be ignored.
Tax_Differ	The difference between what should be deducted and what was calculated by the product admin system.	Number (13,2)	This field will be ignored.
Monthly_Adj ust	Not applicable		

3.1.7 Agent Reference File

The files uploaded using the Agent Reference File have to be imported and the broker details updated. They should have the following format:

Field Name	Format	Comments	Remarks/ Mapping
Intermediary or Broker Code	Char 10	Intermediary Code and No	Broker Code
Broker Category	Char 1	Corporate/ Individual	Broker Category
Broker Name	Char 50	Individual name or corporate name	Broker Name
Broker Type	Char	For example, Platinum, Gold, Silver	Broker Type
Parent Broker	Char	Channel – For example, PFA, BD	Parent Broker Code
Active Flag	Char	Y/N	Broker Enabled
Date Effective	Date		Rule effective date

3.1.8 Oracle Financial Interface

Files uploaded using the Oracle Financial Interface should have the following format.

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Status	Indicates that its new data you are bringing into the General Ledger. This is a compulsory field.	Char (50)	'NEW'	'NEW'
Set_Of_Books_Id	This is a compulsory field. Appropriate set of books id. Should be present on Oracle's SET OF BOOKS table.	Char (15)	OMUT = "000000000001140" NAM= "000000000001150"	Product – ULA = "0000000000000235" OTHER - = "0000000000000236"
Accounting_Date	This is a compulsory field.	Char (11)	Date the transaction occurred	Date the transaction occurred.

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Currency_Code	Transaction Currency. This is a compulsory field.	Char (15)	“ZAR” – South Africa or “NAD” – Namibia or “GBP” – Britian	‘ZAR’ – South Africa or ‘NAD’ – Namibia or ‘GBP’ – Britian
Date_Created	Date the journal was created. This is a compulsory field	Char (11)	System Date	System Date
Created_By	ID to identify the data from feeder system for audit trail. This is a compulsory field.	Char (15)	Use your own unique number, must be the same for all files	“9999999999999999”
Actual_Flag	Indicates type of journal	Char (1)	“A” = Actual “B” = Budget “E” = Encumbrance (not used)	“A”
JE_CAT_NAME	Journal Category Name	Char (25)	‘INTERFACE’	‘INTER-FACE’
JE_SRC_NAME	Journal entry Source name (from where the Journal comes). This is a compulsory field.	Char (25)	To be determine from values in table JE SOURCES (HYPHEN to use FACSSO)	Product ULA = OASULA Product ULA = OASOTH
Cur_Conv_Date	Used if currency of journal is different from Set of books currency	Char (11)	Empty	Empty
ENCUM_TYP_ID	Used if the ACTUAL_FLAG = “E”. This is not used.	Char (15)	Empty	Empty
BUDGET_VERSION_ID	If ACTUAL_FLAG = “B”	Char (15)	Empty	Empty
CUR_CONV_TYPE	Currency Conversion Type	Char (30)	Empty	Empty
CUR_CONV_RATE	Currency Conversion Rate	Char (15)	Empty	Empty
AVERAGE_JRNL	Not Used	Char (1)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
ORG_BAL_SE G_VAL	Noy used	Char (25)	Empty	Empty
Segment1	Balancing entity value	Char (25)	Four chars (0000) OMUT SA = 1140 OMUT NAM = 1156	Four chars (0000)
Segment2	Budget Centre Value	Char (25)	Eight chars (00-00000) Channel code	Eight chars (00-00000)
Segment3	Account Value	Char (25)	Seven chars (0000000) Account code	Seven chars (0000000)
Segment4	Realted Party Value	Char	Four Chars (0000) Derived from channel and account code combination	Four Chars (0000)
Segment5	Product Value	Char (25)	Five Chars (00000) Derived from fund code	Five Chars (00000)
Segment6	Project value	Char (25)	Four chars (0000)	Four chars (0000)
Segment7	Investment Value	Char (25)	Four chars (0000)	Four chars (0000)
Segment8	Scheme Value	Char (25)	Four chars (0000)	Four chars (0000)
Segment9	Tax Fund value	Char (25)	Three Chars (000)	Three Chars (000)
Segment10	VAT Segment	Char (25)	Four Chars (0000 = non vat portion, 0001 = unprocessed vat, 0002 = processed vat)	Four Chars (0000 = non vat portion,
Segment11	Spare 2	Char (25)	"0000" (4 Zeroes)	"0000" (4 Zeroes)
Segment12	Not Used	Char (25)	Empty	Empty
Segment13	Not Used	Char (25)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Segment14	Not Used	Char (25)	Empty	Empty
Segment15	Not Used	Char (25)	Empty	Empty
Segment16	Not Used	Char (25)	Empty	Empty
Segment17	Not Used	Char (25)	Empty	Empty
Segment18	Not Used	Char (25)	Empty	Empty
Segment19	Not Used	Char (25)	Empty	Empty
Segment20	Not Used	Char (25)	Empty	Empty
Segment21	Not Used	Char (25)	Empty	Empty
Segment22	Not Used	Char (25)	Empty	Empty
Segment23	Not Used	Char (25)	Empty	Empty
Segment24	Not Used	Char (25)	Empty	Empty
Segment25	Not Used	Char (25)	Empty	Empty
Segment26	Not Used	Char (25)	Empty	Empty
Segment27	Not Used	Char (25)	Empty	Empty
Segment28	Not Used	Char (25)	Empty	Empty
Segment29	Not Used	Char (25)	Empty	Empty
Segment30	Not Used	Char (25)	Empty	Empty
ENTERED_DR	Debit Amount (Empty if ENTERED_CR populated)	Number (12,2)	Debit Amount of journal Absolute value "000000000000.00" Transaction value	Debit Amount of journal Absolute value "000000000000.00" Transaction value
ENTERED_CR	Credit Amount (Empty if ENTERED_DR populated)	Number (12,2)	Credit Amount of journal Absolute value "000000000000.00" Transaction value	Credit Amount of journal Absolute value "000000000000.00"

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
ACCOUNTED_DR	If CUR_CONV_* used, populate with converted amount. ENTERED_DR must be populated as well with original amount. This is not used.	Char (15)	Empty	Empty
ACCOUNTED_CR	If CUR_CONV_* used, populate with converted amount. ENTERED_CR must be populated as well with original amount.	Char (15)	Empty	Empty
TRANS_DATE	Must be nulls – used for internal processing	Char (11)	Empty	Empty
Reference1	Batch Name	Char (100)	Empty	Empty
Reference2	Batch Description	Char (240)	Empty	Empty
Reference3	Must be nulls. Used for internal processing		Empty	Empty
Reference4	Journal Name	Char (100)	JE_SRCE_NAME & Run number	Product ULA = OASULA, Other = OASOTH
Reference5	Journal Description	Char (240)	Empty	Empty
Reference6	Journal Entry reference	Char (100)	Empty	Empty
Reference7	Journal entry Reversal flag	Char (100)	Empty (will default to NO)	Empty (will default to NO)
Reference8	Journal Entry reversal period or effective date	Char (100)	Empty	Empty
Reference9	MUST BE NULLS – used for internal processing	Char (100)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Reference10	Journal Entry line description	Char (240)	Empty	Empty
Reference11	Not Used	Char (100)	Empty	Empty
Reference12	Not Used	Char (100)	Empty	Empty
Reference13	Not Used	Char (100)	Empty	Empty
Reference14	Not Used	Char (100)	Empty	Empty
Reference15	Not Used	Char (100)	Empty	Empty
Reference16	Not Used	Char (100)	Empty	Empty
Reference17	Not Used	Char (100)	Empty	Empty
Reference18	Not Used	Char (100)	Empty	Empty
Reference19	Not Used	Char (100)	Empty	Empty
Reference20	Not Used	Char (100)	Empty	Empty
Reference21	Not Used	Char (100)	Empty	Empty
Reference22	Not Used	Char (100)	Empty	Empty
Reference23	Not Used	Char (100)	Empty	Empty
Reference24	Not Used	Char (100)	Empty	Empty
Reference25	Not Used	Char (100)	Empty	Empty
Reference26	Not Used	Char (100)	Empty	Empty
Reference27	Not Used	Char (100)	Empty	Empty
Reference28	Not Used	Char (100)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Reference29	Not Used	Char (100)	Empty	Empty
Reference30	Not Used	Char (100)	Empty	Empty
JE_BATCH_ID	Must be nulls – Used for internal processing only	Char (15)	Empty	Empty
PERIOD_NAME	If ACTUAL_FLAG = "B", must be populated instead of ACCOUNTING_DATE	Char (15)	Empty	Empty
JE_HEADER_ID	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
JE_LINE_NO	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
COA_ID	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
FUNC_CURR_CODE	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
CODE_COMB_ID	Code Combination ID – Not used(Values entered in Segment1-11)	Char (15)	Empty	Empty
DATE_CREATED_GL	MUST BE NULLS – used for internal	Char (11)	Empty	Empty
WARNING_CODE	MUST BE NULLS – used for internal processing	Char (4)	Empty	Empty
STATUS_DESC	MUST BE NULLS – used for internal processing	Char (240)	Empty	Empty
STAT_AMOUNT	Statistical amount associated with the journal	Char (15)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Group_Id	Unique Group Number to distinguish import data within a source	Char (15)	Empty	Empty
Request_Id	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
SUBL_DOC_S EQ_ID	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
SUBL_DOC_S EQ_VAL	MUST BE NULLS – used for internal processing	Char (15)	Empty	Empty
Attribute1	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute2	Descriptive Flex-Field	Char (150)	Source id/Source refno/Request type	Product ULA = OASULA, Other = OASOTH
GL_SL_LINK_ID	Not Used	Char (15)	Empty	Empty
GL_SL_LINK_TBL	Not Used	Char (30)	Empty	Empty
Attribute3	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute4	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute5	Descriptive Flex-Field	Char (150)	To be determined	Business run number = 3 digits
Attribute6	Descriptive Flex-Field	Char (150)	To be determined	Product ULA = OASULA, Other = OASOTH
Attribute7	Descriptive Flex-Field	Char (150)	To be determined	Business run number = 3 digits
Attribute8	Descriptive Flex-Field	Char (150)	Empty	Empty

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
Attribute9	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute10	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute11	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute12	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute13	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute14	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute15	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute16	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute17	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute18	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute19	Descriptive Flex-Field	Char (150)	Empty	Empty
Attribute20	Descriptive Flex-Field	Char (150)	Empty	Empty
Context	Define structure of descriptive flex-fields "Journals – journal Entry Line" (ATTRIBUTE21 – 22)	Char (150)	JE_SRC_NAME	Product ULA = OASULA, Other = OASOTH

Field Name	Description	Data type & Format	OMUT Data	Galaxy Data
CONTEXT2	Used to indicate if journal is a tax item	Char (150)	Empty "YES" – To identify the VAT Descriptive flexfields "NO" – To indicate that the journal entry is not a tax item, VAT Descriptive flexfields must be nulls	Empty "YES" – To identify the VAT Descriptive flexfields "NO" – To indicate that the journal entry is not a tax item, VAT Descriptive flexfields must be nulls
INVOICE_DATE	Date on which you paid/collected tax on the tax journal line	Char (11)	Empty	Empty
TAX_CODE	Identifies the type of tax paid for this invoice	Char (15)	Empty	Empty
INVOICE_ID	Reference info about the source document or invoice upon which tax was paid/ collected	Char (20)	Empty	Empty
INVOICE_AMOUNT	Net invoice amount relating to your tax journal	Char (15)	Empty	Empty
Context3	Define structure if descriptive flexfields "Journals – Captured Information" (ATTRIBUTE11 – 20)	Char (150)	JE_SRC_NAME	Product ULA = OASULA, Other = OASOTH
USSGL_TRANSACTION_CODE	Not Used	Char (30)	Empty	Empty
DESC_FLEX_ERRORMSG	MUST BE NULLS – used for internal processing	Char (240)	Empty	Empty
JGZZ_RECON_REF	Not Used	Char (240)	Nulls	Nulls

Control Record

The sum of the transaction amount for each day is recorded in the Control Record. The file upload should have the following format:

Field Name	Description	Data Type	OMUT Value	Galaxy Value
RECORD_ID	Indicates it's the trailer record	Char (50)	All 9s	All 9s
GROUP_ID	Unique Group Number to distinguish import data within a source	Char (15)	Source file id & run number	Source file id & run number
TOTAL_AMT_DR	Total monetary amount of debits on the file	Char (15)	Format: 999999999999.99'	Format: 999999999999.99'
TOTAL_CNT_DR	Total count of debits on the file	Char (8)	Format: 99999999	Format: 99999999
TOTAL_AMT_CR	Total monetary amount of credits on the file	Char (15)	Format: 999999999999.99'	Format: 999999999999.99'
TOTAL_CNT_CR	Total count of credits on the file	Char (8)	Format: 99999999	Format: 99999999

3.1.9 Global Order Placement Interface

Files uploaded using the Global Order Placement should have the following format:

Field Name	Calculation	Disinvestments	Investments
Transaction Date	N/A	Transaction Date	Transaction Date
Asset Code	For each Product – Fund combination, an asset code would be maintained	Yes	Yes
Fund Name	N/A	Yes	Yes
Product Name	N/A	Yes	Yes
Net Investment Amount (Amount with +ve sign)/ Disinvestment Amount(Amount with -ve sign)	Derived	0	Yes
Disinvestment Units	N/A	Yes	0
Manco Initial Unit Trust Fee	N/A	0	Yes

Field Name	Calculation	Disinvestments	Investments
Transaction Type Name	Transaction Descriptions as available in the system	Yes	Yes
Internal Reference Number	Running serial per batch	Yes	Yes

3.1.10 GL Setup Upload Interface Format

Files uploaded using the GL Setup Upload should have the following format:

Field Name	Data Type	Details
Fund Id	Character(6)	
GL Template Id	Character(10)	The template Id of the GL set up. A dummy value to be provided for this.
Account type	Character(2)	The account type of the GL set up.
Business Event	Character(2)	One of the valid codes for business events.
Trigger Event	Character(15)	The triggering event. One of the valid enumerations for the triggering event.
Theoretical Flag	Character (1)	Y: Theoretical N: Actual
Setup Enabled	Character (1)	Y: Enabled N: Disabled
Component Id	Character(20)	One of the valid codes for business events.
Component Description	Character (255)	Description of the component code.
Debit credit Flag	Character(2)	Dr: Debit Cr: Credit
GL set up for primary	Character(1)	C: CASA G:GL S:SAP P:Payment
Primary Entity Type	Character(1)	The primary entity type of the GL set up. U: Uniholder D:Distributor M:AMC F:Fund
Account Number	Character(16)	
AccountCurrency	Character(3)	
Transaction Currency	Character(3)	
Bank branch	Character(12)	
Direct DebitApplicable	Character(1)	1: Applicable 0: Not applicable

Field Name	Data Type	Details
GL setup for Contra	Character(1)	C: CASA G:GL S:SAP P:Payment
Contra Primary Entity Type	Character(1)	U: Uniholder D:Distributor M:AMC F:Fund
Contra Account Number	Character(16)	
Contra Account Currency	Character(3)	
Contra Transaction Currency	Character(3)	
Contra Bank branch	Character(12)	
Contra Direct DebitApplicable	Character(1)	1: Applicable 0: Not applicable
Restricted reference types	Character(255)	A semicolon separated list of the restricted reference types.
GL Currency	Character(3)	
GL reference number	Character(10)	
Product Id	Character(10)	
Product or Fund Level	Character(1)	F: Fund Level P: Product level
Mode of upload	Character(1)	N: new mode A: Amend mode

3.1.11 Interface to Check for Transaction Unrelated to GL Extraction

Files uploaded for checking the transaction unrelated to GL Extraction Interface should have the format mentioned below:

Field Name	Data Type	Details
IFaceRefNo	Character(25)	The reference number of the entry in the AMInterfaceMasterTbl.
TransactionType	Character(2)	The transaction type of the entry.
Component	Character(20)	The component code of the entry.
TransactionNumber	Character(16)	The transaction number of the missing entry.
Valuedate	Date	The date on which the entry was expected to be passed.

3.1.12 File Format for OMIPAY FILE INTERFACE

The interface is capable of exporting the details in two separate formats. These are:

- The detailed format includes all the records of the day, for every individual broker.
- The Header record for OMIPAY contains the sum of all the brokers' Commission accounts which have been listed in the Detailed Record.

The system extracts commission details for upfront and trailer (periodic load) commission.

3.1.13 File format for Header Record

The File format for the Header Record is as follows:

Field Name	Data Type	Details
Record Category	Number	It is displayed as 00
Trigger System	Character	Ensures the entries which require to be entered for calculation of Commission
Product Provider	Character	The code for which the file is processed to calculate commission. For example Unit Trust 'UT'
Cycle Number	Number	The number of the cycle for which the export action is being processed
Interface Date	Number	The date of generation of the interface file
Number Of Transaction Records (01 Category)	Number	Total Number of transaction records on input file
Commission Total	Number	The total value of Premium amount on the Input File
Commission Allowance Total	Number	Value of Commission Allowance amounts on the Input File
Fund Value Total	Number	The total value of Fund Value amounts on the Input File
Current Potential Commission	Number	Applicable to recurring business only
Future Potential Commission	Number	Applicable to recurring business only
Numeric Field 11	Number	Provide preceding zeros as 0000000

3.1.14 File format for Detailed Record

The Detail Record File format is the record of all the Broker details, involved in all the transactions for that day, taken individually. The file containing the Detailed records for all the individual Brokers. The file format used for Detailed records is:

Field Name	Data Type	Details
Record Category	Number	It is displayed as 00
Transaction Sequence Number	Number	Unique identifier of transaction in the source external interface
Product Provider	Character	The code for which the file is processed to calculate commission. For example Unit Trust 'UT'
Cycle Number	Number	Preceded by zeros
Intermediary Code (Sales Code)	Number	The intermediary's sales code as supplied on the policy proposal / application form. It consists of six digits preceded by zeros
Intermediary Type (Sales Type)	Number	Code for the intermediary who has initiated the sale of that policy; 0 is for the Sales Staff 1 is for the Office staff
Intermediary Commission Percentage (Direct Share)	Number	The percentage of commission as indicated in the policy/ application form
Intermediary Figure Percentage (Indirect Share)	Numeric	The percentage of indirect commission as indicated in the policy/ application form
Sales Centre (branch / team structure code)	Character	An optional field
Sale Type	Character	Not applicable can be left blank
Policy Number (Contract Number)	Character	It is the Policy or Contract number
Policy Type (Contract Type)	Character	Only applicable for recurring business types, can be left blank
Policy Term	Number	It is applicable for recurring business only, default set at 01
Product Code	Character	The selection is available from a drop down list
Premium Amount	Number	The amount of the premium for a transaction
Premium Frequency	Character	You can select from a list, for the type of premium applicable
Premium Term	Number	The term for which the premium is applicable

Field Name	Data Type	Details
Movement Code	Number	It is the number code for the type of transaction
Transaction Date	Number	The date on which the transaction takes place
Entry Date	Number	The date from which the new business/policy is started
Effective Date	Number	The date from which the policy becomes effective
Client or Entity Number	Character	It is an optional field
Client Name	Character	The name as mentioned in description
Fees	Character	Optional field
Commission Amount 01	Number	The commission amount for 1 year
Commission Amount 02	Number	The commission amount for the 2 nd year
Life Credit	Character	Not mandatory can be left blank
Commission Year Indicator	Number	It indicates the year for which the commission is applicable
Commission Content	Number	It contains the commission amount for the two years
Commission Scaling Factor	Number	The amount agreed between the client and the broker
Commission Frequency	Character	It is optional, left blank
Commission Type	Character	This field is left blank
Current Potential Commission (Primary)	Number	It is applicable for only recurring business, input display shows 00000000000000
Future Potential Commission (Secondary)	Number	It is applicable for only recurring business, input display shows 00000000000000
VAT	Number	It is the value added tax, not required as input
Broker Reference	Character	It is the reference as specified on the application form
Currency Indicator	Character	It indicates the currency type selected
Agents Commission	Number	It is not applicable in this case, displayed as 00000000000000
Commission Allowance	Number	It is the waiver amount on the broker's commission
New Business Date	Number	It is the transaction date
Total Investment	Number	It is the total amount of investments
Investment Type	Character	An optional field can be left blank

Field Name	Data Type	Details
Fund Value	Number	It is the sum of the average of the absolute values of the fund of the client
Layer type	Character	This field is left blank
Layer Number	Number	This field displays 00
Reject ID	Number	This field is not required for entry, it displays 00000000
Adjustment Indicator	Character	This field is not required for entry and is left blank
Territory	Character	This field is not required for entry
Annual Fund Total	Number	This field is not required for entry, it displays 0000000000000000
Distribution Fee (Channel)	Number	This field is not required for entry, it displays 0000000000000000
Maximum Commission	Number	This field is not required for entry, it displays 0000000000000000
Instance Number	Character	This field is not required for entry
BEN Type	Character	This field is not required for entry
EMM Client Number	Character	This field is not required for entry
Sales Instance	Number	This field is not required for entry, it displays 000
Transaction Instance	Number	This field is not required for entry, it displays 000



Upload Format

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