Product Release Note
Oracle FLEXCUBE Investor Servicing
Release 12.0.4.0.0
[September] [2014]

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FINANCIAL SERVICES

Product Release Note
[September] [2014]
Version 12.0.4.0.0

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1. Release Notes

1.1 Background

Oracle Financial Services Software Limited has developed Oracle FLEXCUBE Investor Servicing Solution to enable banks to create a distributed network of branches for effective marketing and efficient handling of customer transactions. Oracle FLEXCUBE Investor Servicing is a real-time online solution, enabled for multi-currency, multilingual, multi-entity, multi-instance operations. Its mission-critical and robust architecture and use of leading-edge industry standard products ensure almost limitless scalability.

1.2 Purpose

The purpose of this Release Note is to highlight the enhancements in Oracle FLEXCUBE Investor Servicing 12.0.4.0.0

1.3 Abbreviations

Abbreviation	Description
LEP	Life & Endowment Product
UT	Unit Trust
DMS	Document Management System
BPEL	Business Process Execution Language
GO	Global Order
RDR	Retail Distribution Review
UCITS	Undertakings for Collective Investment in Transferable Securities
KIID	Key Investor Information Document
ISA	Individual Savings Account
SSO	Single Sign On
ODT	Oracle Development Tool
POS	Point of Sale
FCIS	Oracle FLEXCUBE Investor Servicing

For module code and description details, please refer Annexure C.

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1.4 Release Highlights

The scope of the current release Oracle FLEXCUBE Investor Servicing 12.0.4.0.0 includes dilution levy, Swinging price, global order, share class, ISA related changes, UCITS, RDR and distribution enhancements..

1.5 Enhancements to the Existing Modules

1.5.1 Swinging Price

- Few business in UK use swinging single pricing for some of their Funds. The prices that are applicable for these funds will be decided based on the net of Sales (Redemption) and Purchases (Subscriptions) on the day for that fund. The price swing (price basis) has to be decided by the system instead of user input.
- System has the capability to support both swinging price/semi swinging price basis funds
- Based on parameters maintained, facility exists to include/exclude specific transaction types to compute net sales for the day.

1.5.2 Dilution Levy

- Facility is made available to deduct dilution levy if any trade is more than certain percentage (%) of fund corpus (fund value).
- System has the capability to track the breach of dilution levy during transaction capture & processing & apply relevant dilution levy based on the maintenance
- System also supports overriding dilution levy at transaction level

1.5.3 Global Order

- Facility to generate global order based on defined maintenance parameters
- Facility to reconcile the fund house confirmations with the system generated global orders
- Automatic price updating for confirmed global orders
- New screen has been made available for Global order reconciliation
- Support for automated distribution of residual units(if any) post allocation of underlying orders based on predefined logic.

1.5.4 Share Class

- Share class conversion is a process in which units in one share class are converted into units of another share class of the same fund, with identical underlying assets typically to avoid high fees/advisory charges
- Facility is available to support both adhoc as well as bulk conversions

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1.5.5 ISA Related Changes

- Facility to maintain Account type level parameters for ISA account

- Support for validating breach in transaction limits(based on account type level maintenance)while capturing/processing transactions
- Support for one legged transfers
- Support for ISA transaction void & distribution void
- Facility to support ISA tax credit for distributions

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1.5.6 UCITS IV enhancmenets

- Facility to record receipt of KIID document for each share class at investor level
- Facility to maintain Master feeder structure for UCITS funds
- Support for validation to ensure Feeder should have at least 85% (parameterisable) assets in Master.

1.5.7 Distribution Enhancements

- Facility to adjust G1/G2 units at transaction level
- Support for zero distribution
- Facility to support multiple distributions for a fund on same day
- Support for distribution payment(Net/Gross) based on Net/Gross EPU

1.5.8 Retail Distribution Review Enhancement

- For all inbound transactions it is necessary to classify whether the investment is a result of a personal recommendation (i.e. Advised) or whether the order is being placed as a result of the investors own decision (Execution Only).
- Based on the classification of transaction (advised/execution) - it is possible to charge different fees for the same transaction/ref type combination
- New load ref types have been introduced to support the requirement.
- Based on parameters maintained, system can support classifying a transaction into a predefined category & charge fees appropriately for transactions
- The transaction category based fee charging is available for transaction fees as well as periodic fees.

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2. Components of the Software

2.1 Documents accompanying the software

The various documents accompanying the software are as follows:

- User Manuals
- Installation Guide
- Release Note
- Installer Kit

Note: User Manuals and Installation Guide can be accessed from
http://docs.oracle.com/cd/E57474_01/homepage.htm

2.2 Software Components

Software Components of Oracle FLEXCUBE 12.0.4.0.0 that form part of this release are as follows:

- Host
  - UI Components (JS,XML)
  - Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
  - Reporting Components(Data models(xdm), Reports(xdo and rtf))
  - Process Framework components (BPEL)
- New UI Application Server
  - Java Sources
  - Configuration files used for deployment
- Interface
  - ASCII interface sources
    - → Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
- Gateway
- Java application layer

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- → Java sources
- → Configuration files used for deployment
  - ➢ Messaging layer
    - → Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
  - ➢ Services
    - → The WSDL files for the service supported
    - → The XSDs of the messages involved
    - → Structure (dictionary) of the XSD documented as excel sheets (Message-dictionary-xls)
    - → The service documents – describing the services

- Adapters
  - o IS-UBS
    - ➢ FCIS MDB Adapter
      - → UI Components (JS,XML)
      - → Java sources
      - → Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
    - ➢ FCIS Callout Adapter
      - → Java sources
      - → Stored Procedures (Packages, Functions, Procedures, Triggers, Views)
    - ➢ FCIS Insulation Adapter
      - → Java sources
      - → Stored Procedures (Packages, Functions, Procedures, Triggers, Views)

- Conversion Utilities

- Installation utilities
  - ➢ Front end based installation for host
  - ➢ Script based installation for interface backend
  - ➢ Script based installation for interface application server components
  - ➢ Front end based installation for Gateway backend
  - ➢ Script based installation for gateway application server components
  - ➢ Installation documents for
    - → Oracle FLEXCUBE Installer documents
    - → Gateway

- SMS Related Components

- Reports
  - ➢ Stored Procedures (Packages, Functions, Procedures, Views)
  - ➢ Repositories and pre-defined Reports

- Online Help Files

3. Annexure – A: Environment Details

Component	Deployment option	Machine	Operating System	Software	Version
Oracle FLEXCUBE Investor Servicing	UI-Host and centralized	Application server	Oracle Linux Server release 6.4	Oracle WebLogic Server 12C(JDK 1.7 Update 60)	12.1.3.0.0
				Java HotSpot(TM) JDK (with WebLogic Application Server)	JDK 1.7 Update 60
				Open Symphony Quartz	2.1.7
				IBM websphere Application Server with inbuilt JVM (IBM JDK 1.7_64))	8.5.5.0
				IBM Websphere MQ Server	7.5.0
		Database Server		Oracle Database 12c Enterprise Edition Release 12.1.0.1.0	12.1.0.1.0
		Reporting Server		Oracle BI Publisher 11g	11.1.1.7.0
				Oracle Business Intelligence Enterprise Edition 11g (OBIEE)	11.1.1.7.0
		Client Machines	Windows 7	Internet Explorer	8.0/ 9.0/ 10.0/ 11.0
				Mozilla Firefox	26.0
				Opera	24.0.1558.61
				Apple Safari	5.1.7
				Google Chrome	37.0.2062.120

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Component	Deployment option	Machine	Operating System	Software	Version
Oracle FLEXCUBE Investor Servicing	UI-Host and centralized	Single Sign On Server	Oracle Linux Server release 6.4	JDK 1.7	JDK 1.7 Update 60
				Weblogic	10.3.6
				RCU Utility (Windows)	11.1.2.2.0
				Oracle Identity Management	11.1.1.7.0
				Oracle SOA	11.1.1.7.0
				Oracle Identity And Access Management	11.1.2.2.0
				Oracle Identity And Access Management - Patchset	18333689, 19269297, 18662903
				Oracle Webtier Utilities	11.1.1.7.0
				Oracle Webtier Utilities Patch	p14264658
				Oracle Webgate	11.1.2.2.0
				OID Connector	11.1.1.6.0
Oracle FLEXCUBE Investor	Web services	Integration Server	Oracle Linux Server	Oracle WebLogic Server 12C(JDK 1.7 Update 60)	12.1.3.0.0

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Component	Deployment option	Machine	Operating System	Software	Version
Servicing Integration Gateway	(incoming)		release 6.4	IBM websphere Application Server with inbuilt JVM (IBM JDK 1.7_64)	8.5.5.0
				IBM Websphere MQ Server	7.5.0
	MDB (incoming)	Integration Server	Oracle Linux Server release 6.4	Oracle WebLogic Server 12C(JDK 1.7 Update 60)	12.1.3.0.0
				IBM websphere Application Server with inbuilt JVM (IBM JDK 1.7_64)	8.5.5.0
				IBM Websphere MQ Server	7.5.0
	Notifications (outgoing)	Integration Server	Oracle Linux Server release 6.4	Oracle WebLogic Server 12C(JDK 1.7 Update 60)	12.1.3.0.0
				IBM websphere Application Server with inbuilt JVM (IBM JDK 1.7_64)	8.5.5.0
				IBM Websphere MQ Server	7.5.0

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4. Annexure – B: Third Party Software Details

Vendor Name	Licensed Technology	Version
Apache	Ant	1.7.1
Apache	Apache Commons Transaction 1.2	1.2
Apache	Apache POI	3.8
Apache	Apache XMLBeans	2.3.0
Apache	Commons Codec	1.2
Apache	Commons Pool	1.2
Apache	Commons-Collections	2.1
Apache	HTTPClient	4.3.3
Apache	HTTP Core	4.3.2
Apache	Log4J	1.2.16
Apache	Xalan	2.7.1
Apache	commons-io-1.2.jar	1.3
Apache	dbcp (commons-dbcp-1.2.1.jar)	1.2.1
Apache	Xerces2-J xercesImpl.jar	2.11
Fontbox	Font box	0.1.0
MetaStuff, Ltd.	Dom4j	1.6.1
Terracotta, Inc.	Quartz	2.1.7
PDFBox	PDFBox Library	0.7.3
Sean Owen	PJL Compressing Filter	1.7
Apache	xml-commons-resolver	1.2
The Apache Software Foundation	Apache Commons Logging	1.0.4
Apache	Apache Commons Net	2.0
The Apache Software Foundation	commons-discovery-0.2.jar	0.2
Apache	xml-apis.jar	1.4.01
Apache	Commons File Upload	1.3.1
Sun	Swing Layout	1.0.4
Yahoo	YUI Compressor	2.4.7
Apache	serializer-2.7.1.jar	2.7.1
SLF4J	slf4j-api-1.6.1.jar	1.6.1
SLF4J	slf4j-log4j12	1.6.1

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5. Annexure – C: Module Code and Description

Abbreviation/ Acronym	Meaning
FCIS	Oracle FLEXCUBE Investor Servicing
ID	Identification
SMS	Security Management System
ITP	Integrated Test Plan
MIS	Management Information System
WB	Web Branch
WF	Work Flow

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