

Reports User Guide

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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>Reports</i> explains how to create various reports such as unit holder register report, transaction load listings, liquidations reports etc.
Chapter 3	<i>Appendix-C Reporting for Capital Gains Tax</i> explains computation, processing, and maintenance of capital gains tax.

1.5 Conventions Used in this Manual

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

1.5.1 General Conventions





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

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

1.7 Abbreviations and Acronyms

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

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

Abbreviation/ Acronym	Meaning
CGT	Capital Gains Tax
CIF	Customer Information File
EOD	End of Day
EPU	Earnings per unit
FC-IS	Oracle FLEXCUBE Investor Servicing
FMG	The Fund Manager component of the system
FPADMIN	Oracle FLEXCUBE Administrator
ID	Identification
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. Reports

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

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

- The Administrator
- The Fund Administrator
- The Supervisor

The reports that are available are:

Transactions Reports

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

Performance Reports

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

Fund Data Reports

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

Unit Holder Reports

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

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

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

- Unit Holder Register
- Transaction Load Listings
- G2-G1 Unit Conversion Post Dividend Process Report
- Swinging Price Report
- Dilution Levy Report
- Creation/Liquidation Report
- Creation/Liquidation History Report
- UCITS-KIID Received override report
- UCITS-KIID Received SI Report
- Share Class Conversion Report
- SI & IDS Share Class Conversion Report
- Global Order Report

This chapter contains the following sections:

- [Section 2.1, "Report Parameter Maintenance"](#)
- [Section 2.2, "Report Parameter Maintenance Summary Screen"](#)
- [Section 2.3, "Unit Holder Register Report"](#)
- [Section 2.4, "Creations/Liquidations Report"](#)
- [Section 2.5, "G2-G1 Unit Conversion Post Dividend Process Report"](#)
- [Section 2.6, "Swinging Price Report"](#)
- [Section 2.7, "Dilution Levy Report"](#)
- [Section 2.8, "Creations/Liquidations History Report"](#)
- [Section 2.9, "UCITS-KIID Received Override Report"](#)
- [Section 2.10, "UCITS-KIID Received SI Report"](#)
- [Section 2.11, "Share Class Conversion Report"](#)
- [Section 2.12, "SI/IDS Conversion Transaction Report"](#)
- [Section 2.13, "Global Order Report"](#)
- [Section 2.14, "Hedge Fund Report"](#)
- [Section 2.15, "Back Data Propagation Enquiry Report"](#)
- [Section 2.16, "Periodic Commission as on Date Report"](#)
- [Section 2.17, "Stop Codes Report"](#)
- [Section 2.18, "Multi Switch Transaction Error Log Report"](#)
- [Section 2.19, "Bank Reconciliation Report"](#)
- [Section 2.20, "Welcome Letter"](#)
- [Section 2.21, "Retirement Report"](#)
- [Section 2.22, "Dividend Report"](#)
- [Section 2.23, "EFT Report"](#)

2.1 Report Parameter Maintenance

This section contains the following topics:

- [Section 2.1.1, "Invoking Report Parameter Maintenance Screen"](#)

2.1.1 Invoking Report Parameter Maintenance Screen

You can maintain report spool path for each module. The reports will be extracted from the respective folders against each module. The module code and folder names will be defined at this level. You can maintain report parameter using 'Report Parameter Maintenance' screen.

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

Input by	Authorized by	DateTime	Mod No	Open	Authorized
----------	---------------	----------	--------	------	------------

You can specify the following details:

Module ID

Alphanumeric; 30 Characters; Mandatory

Specify the module ID.

Folder Name

Alphanumeric; 200 Characters; Mandatory

Specify the folder name.

2.2 Report Parameter Maintenance Summary Screen

This section contains the following topics:

- [Section 2.2.1, "Invoking Report Parameter Maintenance Summary Screen"](#)
- [Section 2.2.2, "Retrieving Report Parameters"](#)
- [Section 2.2.3, "Editing Report Parameters"](#)
- [Section 2.2.4, "Viewing Report Parameters"](#)
- [Section 2.2.5, "Deleting Report Parameters"](#)
- [Section 2.2.6, "Authorizing Report Parameters"](#)
- [Section 2.2.7, "Amending Report Parameters"](#)
- [Section 2.2.8, "Authorizing Amended Report Parameters"](#)

2.2.1 Invoking Report Parameter Maintenance Summary Screen

You can invoke 'Report Parameter Maintenance Summary' screen by typing 'RPSPARAM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Report Parameter maintenance Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized Open

Module Id

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Module Id	Folder Name
------------	------	-----------	-------------

Exit

2.2.2 Retrieving Report Parameters

To retrieve a previously entered report parameters:

- Invoke the Report Parameter Maintenance Summary screen and specify the following:
- The authorization status of the entity in the Authorization Status field. If you choose the "Blank Space" option, then all the records are retrieved.
- Open
- Module ID

Click 'Search' button after you have specified the required details, all records with the specified details are retrieved and displayed in the lower portion of the screen.

Note

You can also retrieve an individual report parameters from the Detail screen by doing query in the following manner:

- Press F7
 - Input Module ID
 - Press F8
-

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

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

Example

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

- **Search by A%**: The system will fetch all the records whose Module ID starts from Alphabet 'A'. For example, ACCB.
- **Search by %7**: The system will fetch all the records whose Module ID has 7. For instance: ACT7

2.2.3 Editing Report Parameters

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

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

2.2.4 Viewing Report Parameters

To view the reports that you have previously entered:

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

2.2.5 Deleting Report Parameters

You can delete only unauthorized reports in the system. To delete a record:

- Invoke the Report Parameter Maintenance Summary screen from the Browser.
- Select the status of the reports that you want to retrieve for deletion.
- Specify any or all of the search parameters.

- Click 'Search' button. All records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete. The Report Parameter Maintenance Detail screen is displayed.
- Select Delete operation from the Action list. The system prompts you to confirm the deletion, and the record is deleted physically from the system database.

2.2.6 Authorizing Report Parameters

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

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

2.2.7 Amending Report Parameters

After a record is authorized, it can be modified using the Unlock operation from Action list. To make changes to a record after authorization, you must invoke the Unlock operation which is termed as Amend Operation.

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

2.2.8 Authorizing Amended Report Parameters

An amended report must be authorized for the amendment to be made effective in the system.

The process of authorization is the same as that of normal authorization process.

2.3 Unit Holder Register Report

This section contains the following topics:

- [Section 2.3.1, "Generating Unit Holder Register Report"](#)
- [Section 2.3.2, "Contents of the Unit Holder Register Report"](#)

2.3.1 Generating Unit Holder Register Report

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

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

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

Unitholder Register

Unitholder Register

Fund ID

Domicile* Both

Top

Unit Holder ID

Find UH

Date Basis* Allocation Date

Date

Format PDF

Output View

Print At Client

Printer

Ok Cancel

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

2.3.2 Contents of the Unit Holder Register Report

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

Unitholder Register

Fund ID

Alphanumeric; 6 Characters; Optional

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

Domicile

Mandatory

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

- Foreign
- Local

- Both

Top

Numeric; 22 Characters; Optional

Specify the top N investors.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also search for unit holder ID by clicking 'Find UH' button.

Date Basis

Mandatory

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

- Allocation Date
- Transaction Date
- Price Date

Date

Date Format; Optional

Select the report date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.4 Creations/Liquidations Report

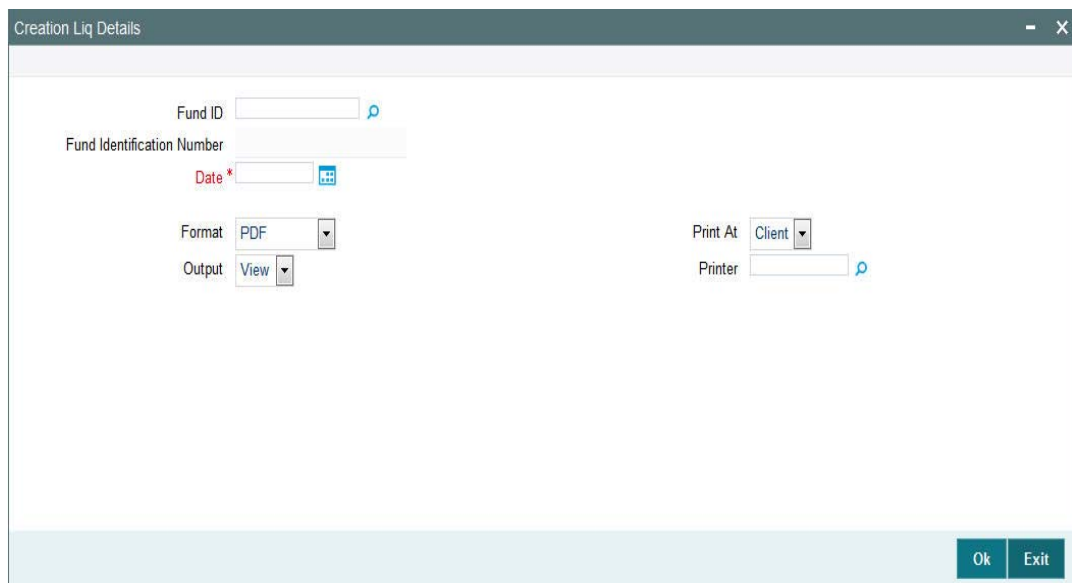
This section contains the following topics:

- [Section 2.4.1, "Generating the Creations/Liquidations Report"](#)
- [Section 2.4.2, "Contents of the Creations/Liquidations Report"](#)

2.4.1 Generating the Creations/Liquidations Report

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

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



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

Fund ID

Alphanumeric; 6 Characters; Optional

The fund for which you want to generate the trading report, in the Fund ID field.

Fund Identification Number

Display

The system displays the fund identification number details for the selected fund ID.

Date

Mandatory

The date for which trading data must be retrieved, in the Date field.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.4.2 Contents of the Creations/Liquidations Report

The following details are displayed:

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

2.5 G2-G1 Unit Conversion Post Dividend Process Report

This section contains the following topics:

- [Section 2.5.1, "Generating the G2-G1 Unit Conversion Post Dividend Process Report"](#)
- [Section 2.5.2, "Contents of G2-G1 Unit Conversion Post Dividend Process Report"](#)

2.5.1 Generating the G2-G1 Unit Conversion Post Dividend Process Report

The system segregates funds into two buckets: Group 1 and Group 2. Set of units which have undergone distribution at least once are termed as 'Group 1' unit whereas set of units which are yet to receive any kind of distribution are termed as 'Group 2' units. This report shows the units conversion from G2 to G1 units at the transaction level, post distributions. This report also displays the zero distributions of all funds.

The 'G2 -G1 Unit Conversion Post Dividend Process' screen allows you to enter the search criteria for the generation of a G2-G1 Unit Conversion Post Dividend report. You can invoke this screen by typing "UTRDG1G2" in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button.

G2 to G1 unit conversion post dividend process

FundID *

Payment Number *

Fund Name

Format

Output

Print At

Printer

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Select the fund ID from the adjoining option list.

Fund Name

Display

On selection of the Fund ID, the name of the fund is displayed in the Fund Name field.

Payment Number

Numeric; 5 Characters; Mandatory

Select the payment number from the adjoining option list.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.5.2 Contents of G2-G1 Unit Conversion Post Dividend Process Report

Header Section**Title**

Displays the name of the report.

Fund ID

Displays Fund ID for which the report is being generated.

Payment Number

Displays the Payment Number of the selected fund.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID.

Details Section**Date**

Displays the date as of which the units were converted.

UH ID

Displays the identification number of the Unit Holder.

UH Name

Displays the name of the Unit Holder.

Fund ID

Displays the fund ID for which the distribution process is complete.

Fund Name

Displays the name of the fund for which the distribution process is complete.

Payment Number

Displays the payment number of the fund for which the distribution process is complete.

Total G1 Units

Displays the total G1 units.

No. of Units moved to G1 bucket as part of distribution process

Displays the number of units moved to the G1 bucket for the selected dividend number.

Transaction Category of Units

Displays the transaction category of units. The following options are displayed:

- Advised
- Legacy
- Execution

2.6 **Swinging Price Report**

This section contains the following topics:

- [Section 2.6.1, "Generating the Swinging Price Report"](#)
- [Section 2.6.2, "Contents of the Swinging Price Report"](#)

2.6.1 **Generating the Swinging Price Report**

The Swinging Price for a fund is computed based on the net of sales value. The 'Swinging Price' report displays the net of sales value for the allotted transaction.

You can invoke this screen by typing "UTRSPREP" in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button. You can generate a report on Adhoc basis for any date which is less than the application date. The system fetches records

based on the specified date and not the current application date. If a future date is selected, then the system displays an error message.

The screenshot shows a software window titled "Swinging Price Report". The window contains the following elements:

- Family ID: (with a search icon)
- Fund ID: (with a search icon)
- From Date*: (with a calendar icon)
- To Date*: (with a calendar icon)
- Format: (dropdown menu)
- Output: (dropdown menu)
- Print At: (dropdown menu)
- Printer: (with a search icon)
- Buttons: Ok, Exit

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

Family ID

Alphanumeric; 6 Characters; Optional

Select the fund family ID from the adjoining option list. The option list consists of all funds in which the Swinging Price Basis is not Null. You can also select all the fund families by selecting the option All.

Fund ID

Alphanumeric; 6 Characters; Optional

Select the fund ID from the adjoining option list. The option list consists of all funds in which the Swinging Price Basis is not Null. Active funds are only considered.

From Date

Date Format; Mandatory

Select From date from the adjoining calendar.

To Date

Date Format; Mandatory

Select To date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.6.2 **Contents of the Swinging Price Report**

Header Section**Title**

Displays the name of the report.

Report Date

Displays the application date.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID who has generated the report.

Details Section**Fund ID**

Displays the fund ID for which the swinging price report is generated.

Fund Name

Displays the name of the fund associated with the fund ID.

Swinging Price Basis

Displays the Swinging Price Basis associated with the fund such as mid, offer, or bid.

Threshold Basis

Displays the threshold basis as amount or percentage.

Threshold Value

Displays the Threshold Value for the semi swinging price basis fund.

Fund Corpus

Displays the fund corpus which is calculated as:

BOD outstanding units * NAV allocation date

Total Inflow

Displays the total inflow used to calculate the net sales value.

Total Outflow

Displays the total outflow used to calculate the net sales value.

Net Sales

Displays the net sales value which is computed as follows:

Total Inflow - Total Outflow

Price Basis Applied

Displays the price basis applied as offer, mid, or bid.

2.7 Dilution Levy Report

This section contains the following topics:

- [Section 2.7.1, "Generating the Dilution Levy Report"](#)
- [Section 2.7.2, "Contents of Dilution Levy Report"](#)

2.7.1 Generating the Dilution Levy Report

To view all the trades that have attracted dilution levy, you can invoke the 'Dilution Levy' report. You can invoke this screen by typing "'UTRDLREP' in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button. You can generate a report on adhoc basis for any date which is the current date or less than the application date. If a future date is selected, then the system displays an error message.

The screenshot shows a software window titled "Dilution Levy Report". The window contains the following elements:

- Fund ID ***: A text input field with a search icon to its right.
- From Date ***: A date selection field with a calendar icon to its right.
- To Date ***: A date selection field with a calendar icon to its right.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a search icon to its right.
- Buttons**: "Ok" and "Exit" buttons located at the bottom right of the window.

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID from the adjoining option list. The option list consists of all funds in which Dilution Levy is marked as 'Yes'.

From Date

Date Format; Mandatory

Select From date from the option list.

To Date

Date Format; Mandatory

Select To date from the option list.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.7.2 Contents of Dilution Levy Report

Headers Section**Title**

Displays the name of the report.

Date Range

Displays the 'From Date' and 'To Date' for which the report is generated.

Report Generation Date

Displays the application date,

Generated By

Displays the maker ID who has generated this report.

Details Section**Transaction Date**

Displays the transaction date.

Allocation Date

Displays the allocation date.

Fund ID

Displays the fund ID for which the report is generated.

Fund Name

Displays the name of the fund for which the report is generated.

Fund Based Currency

Displays the fund currency.

Fund Corpus

Displays the fund corpus as on the transaction date which is computed as follows:

BOD Outstanding Units * NAV as of transaction allocation date

Unit Holder ID

Displays the identification number of the unit holder.

Transaction Number

Displays the transaction number.

Transaction Type Description

Displays the transaction type.

Ref Type Description

Displays the reference type.

Param Code

Displays the Param Code as S or A. S indicates that dilution levy is applicable to specific transactions and A indicates that dilution levy is applicable for all transactions for the unit holder, fund, and transaction type combination.

Transaction Mode

Displays the transaction mode as Units or Amount.

Transaction Value

Displays the transaction value which is computed as follows:

Units/Transaction Currency + Amount

Breach Amount

Displays the breach amount in the fund based currency.

Gross Amount

Displays the gross amount.

Dilution Levy Amount

Displays the dilution levy amount which is attached to the transaction.

2.8 Creations/Liquidations History Report

This section contains the following topics:

- [Section 2.8.1, "Generating the Creations/Liquidations History Report"](#)
- [Section 2.8.2, "Contents of the Creations/Liquidations Report \(Trading Box\)"](#)

2.8.1 Generating the Creations/Liquidations History Report

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

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

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

- From Date ***: A text input field with a calendar icon.
- To Date ***: A text input field with a calendar icon.
- Fund ID**: A text input field with a search icon.
- Fund Identification Number**: A disabled text input field.
- Days ***: A text input field.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a search icon.
- Ok** and **Exit**: Buttons at the bottom right of the window.

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

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the trading history details.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund for which you want to generate the trading history report, in the Fund ID field. If you do not specify any fund, all the funds maintained in the system will be considered.

Fund Identification Number

Display

The system displays the fund identification number.

Days

Numeric; 22 Characters; Optional

Specify the number of days.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.8.2 Contents of the Creations/Liquidations Report (Trading Box)

Report Heading

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

Status

Displays the status 'Processed OK' by default.

Value Date

Displays the price date of the trading record.

Processing Date

Displays the Allocation date of trading record.

Units Created

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

Units Liquidated

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

Creation Price

Displays the unit price of trading record.

Liquidation Price

Displays the unit price of trading record.

Amount Created

Displays the trading amount.

Trading amount = Creation Price * Units created

Amount Liquidated

Displays the trading amount

Liquidation Price * Units Liquidated

Units In Issue

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

Client Units

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

Statutory Bal

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

Unit Inflows

Displays the Net settlement In for trading allocation date.

Unit Outflows

Displays the Net settlement out for trading allocation date

Nett Position

Nett Position = Unit Inflows - Unit Outflows - Trading Balance

Date Captured

Displays the date on which the record was processed.

Captured By

Displays the Maker ID of the creator of the record.

2.9 UCITS-KIID Received Override Report

This section contains the following topics:

- [Section 2.9.1, "Generating the UCITS-KIID Received Override Report"](#)
- [Section 2.9.2, "Contents of the UCITS-KIID Received Override Report"](#)

2.9.1 Generating the UCITS-KIID Received Override Report

This report is used to check list of Unit holders where the KIID field is selected as 'Yes' during Transaction level and the UH level mapping is updated. This includes the system generated transactions for UT and LEP, such as, premiums annuities, recurring switches, periodic fee etc.

You can invoke 'UCITS-KIID Received Override Report' screen by typing 'UTR305' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button

The screenshot shows a software window titled "UCITS-KIID Received override report". Inside the window, there are several input fields and dropdown menus. The "From Date" and "To Date" fields are both set to "04/20/2016". The "Format" dropdown is set to "PDF", and the "Output" dropdown is set to "View". The "Print At" dropdown is set to "Client", and the "Printer" field is empty. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

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

From Date and To Date

Date Format; Optional

Specify the dates indicating the UCITS-KIID received override details between from date and to date.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.9.2 Contents of the UCITS-KIID Received Override Report

Headers Section

Title

Displays the name of the report.

Date Range

Displays the 'From Date' and 'To Date' for which the report is generated.

Report Generation Date

Displays the application date,

Generated By

Displays the maker ID who has generated this report.

Details Section

UH ID

Displays the unit holder ID.

UH Name

Displays the unit holder Name.

Product ID

Displays the Insurance linked Product ID for ILP transaction.

Policy No

Displays the policy ID of the LEP Transaction.

Fund ID

Displays the UCITS Fund ID for which the flag was over ridden at transaction level.

Fund Name

Displays the fund name.

Transaction Date

Displays the transaction date.

Transaction Type

Displays the type of transactions such as subscription, redemption, policy maintenance etc.

Policy Transaction No

Displays the transaction number for which the KIID was over ridden from No ridden from No to Yes for Policy Transactions.

UT Transaction No

Displays the transaction number for which the KIID was over ridden from No ridden from No to Yes.

Maker Date

Displays the maker date.

Maker ID

Displays the transaction maker ID.

2.10 UCITS-KIID Received SI Report

This section contains the following topics:

- [Section 2.10.1, "Generating UCITS-KIID Received SI Report"](#)
- [Section 2.10.2, "Contents of the UCITS-KIID Received SI Report"](#)

2.10.1 Generating UCITS-KIID Received SI Report

This report is used to check lists of Standing Instruction's where the KIID Flag is made Yes during SI maintenance and the UH level mapping is updated.

You can invoke 'UCITS-KIID Received SI Report' screen by typing 'UTR306' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button

The screenshot shows a software window titled "UCITS-KIID Received SI Report". The window contains the following fields and controls:

- From Date:** 04/20/2016 (with a calendar icon)
- To Date:** 04/20/2016 (with a calendar icon)
- Format:** PDF (dropdown menu)
- Output:** View (dropdown menu)
- Print At:** Client (dropdown menu)
- Printer:** (text field with a printer icon)
- Buttons:** Ok and Exit (bottom right)

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

From Date and To Date

Date Format; Optional

Specify the dates that specify the period between which you want to view the UCITS-KIID SI history details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.10.2 Contents of the UCITS-KIID Received SI Report

Headers Section

Title

Displays the name of the report.

Date Range

Displays the 'From Date' and 'To Date' for which the report is generated.

Report Generation Date

Displays the application date,

Generated By

Displays the maker ID who has generated this report.

Details Section

UH ID

Displays the unit holder ID.

UH Name

Displays the unit holder Name.

Fund ID

Displays the UCITS Fund ID for which the flag was over ridden at SI maintenance.

Fund Name

Displays the fund name.

SI Start Date

Displays SI Start date.

SI/Plan Ref No

Displays reference number of SI.

Maker Date

Displays the maker date.

Maker ID

Displays the transaction maker ID.

2.11 Share Class Conversion Report

This section contains the following topics:

- [Section 2.11.1, "Generating the Share Class Conversion Report"](#)
- [Section 2.11.2, "Contents of the Share Class Conversion Report"](#)

2.11.1 Generating the Share Class Conversion Report

Share Class report is a fund wise report which displays the total units (including G1/G2 split) which is under conversion on a given day.

You can invoke this screen by typing 'UTRSCCVN' in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Share Class Conversion". The window contains the following fields and controls:

- From Fund Id**: Text input field with a search icon.
- To Fund ID**: Text input field with a search icon.
- From Date ***: Date input field with a calendar icon.
- To Date ***: Date input field with a calendar icon.
- Format**: Dropdown menu set to "PDF".
- Output**: Dropdown menu set to "View".
- Print At**: Dropdown menu set to "Client".
- Printer**: Text input field with a search icon.
- Buttons**: "Ok" and "Exit" buttons at the bottom right.

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

From Fund ID

Alphanumeric; 6 Characters; Optional

Specify the From funds ID. Select the appropriate From fund ID from the adjoining option list.

To Fund ID

Alphanumeric; 6 Characters; Optional

Specify the To Fund ID. Select the appropriate To fund ID from the adjoining option list.

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Share Class conversion history details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.11.2 Contents of the Share Class Conversion Report

Header Section**Title**

Displays the name of the report.

Report as on Date

Displays the application date.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID who has generated the report.

Details Section**From Fund**

Displays the 'From Fund' ID for which the report is generated.

From Fund Name

Displays the name of the fund associated with the fund ID.

To Fund

Displays the 'To Fund' ID for which the report is generated.

To Fund Name

Displays the name of the fund associated with the fund ID.

Conversion Factor

Displays the conversion factor value.

Conversion Date

Displays the conversion factor date.

Unit Holder ID

Displays the unit holder ID associated with the fund.

Unit Holder Name

Displays the first name and the last name of the unit holder.

Units under Conversion

Displays the units available for conversion

G1 Units Balance

Displays the G1 units available for conversion.

G2 Units Balance

Displays the G2 units available for conversion.

Converted Units

Displays the units converted after applying the conversion factor.

Converted G1 Units

Displays the G1 Units available post conversion.

Converted G2 Units

Displays the G2 Units available post conversion.

Blocked Units

Displays the details of the blocked units.

Provisional Units

Displays the details of provisional units.

2.12 SI/IDS Conversion Transaction Report

This section contains the following topics:

- [Section 2.12.1, "Generating the SI/IDS Conversions Transaction Report"](#)
- [Section 2.12.2, "Contents of the SI/IDS Conversion Transaction Report"](#)

2.12.1 Generating the SI/IDS Conversions Transaction Report

SI/IDS Conversion Transaction report provides details on the Standing Instructions (SI) and Income Distribution Setup for the fund (From Fund) of all unit holders which have undergone conversion during the given date range.

You can invoke this screen by typing 'UTRSIIDS' in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "SI and IDS Share Class Conversion". It contains the following fields and controls:

- From Fund Id**: A text input field with a search icon.
- From Date ***: A text input field with a calendar icon.
- SI Status**: A dropdown menu currently showing "Not Selected".
- To Date ***: A text input field with a calendar icon.
- Format**: A dropdown menu currently showing "PDF".
- Output**: A dropdown menu currently showing "View".
- Print At**: A dropdown menu currently showing "Client".
- Printer**: A text input field with a search icon.
- Buttons**: "Ok" and "Exit" buttons at the bottom right.

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

From Fund ID

Alphanumeric; 6 Characters; Optional

Specify the From funds ID. Select the appropriate From fund ID from the adjoining option list.

SI Status

Optional

Select the SI status from the drop-down list. The list displays the following values:

- Active
- Paused
- Cancelled

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the UCITS-KIID SI history details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.12.2 Contents of the SI/IDS Conversion Transaction Report

Header Section

Title

Displays the name of the report.

Report as on Date

Displays the application date.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID who has generated the report.

Details Section

From Fund

Displays the 'From Fund' ID for which the report is generated.

From Fund Name

Displays the name of the fund associated with the fund ID.

Unit Holder ID

Displays the unit holder ID associated with the fund.

Unit Holder Name

Displays the first name and the last name of the unit holder.

Conversion Date

Displays the conversion transaction date.

SI Number

Displays the Standing Instruction reference number.

SI Status

Displays the status of the standing instructions.

SI Transaction Type

Displays the transaction type as Switch, Subscription, Redemption, or Transfer.

SI Start Date

Displays the From Date of the Standing Instructions.

SI End Date

Displays the To Date of the Standing Instructions.

Frequency

Displays the frequency as any one of the following values:

- Daily
- Weekly
- Monthly
- Quarterly
- Half Yearly
- Yearly
- Bi- Weekly

To Fund ID

Displays the identification number of the fund.

To Fund Name

Displays the name of the selected fund ID.

To UH ID

Displays the unit holder identification number.

IDS Rule Effective Date

Displays the effective date of the income distribution setup rule.

Status

Displays the status as Active/Inactive

Distribution Mode

Displays the distribution mode as Full Payment, Full Re-investment, or Both.

Payment Percentage

Displays the payment percentage.

Re-investment Percentage

Displays the re-investment percentage.

Payment Currency

Displays the currency in which is the payment is made.

Payment Mode

Displays the mode of payment as transfer or check.

Reinvestment UH ID

Displays the unit holder ID for reinvestment.

Reinvestment UH Name

Displays the unit holder name for reinvestment.

Reinvestment Fund ID

Displays the fund ID of reinvestment.

Split Percentage

Displays the split percentage.

2.13 Global Order Report

This section contains the following topics:

- [Section 2.13.1, "Generating Global Order Report"](#)
- [Section 2.13.2, "Contents of the Global Order Report"](#)

2.13.1 Generating Global Order Report

The Global Order report details the list of transactions grouped in a GO and also provides details of a specific transaction appearing under a specific GO. You can invoke this screen by typing 'UTRGOREP' in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Global Order Transaction Report". The window contains several input fields and dropdown menus for configuring the report. The fields are: "GO Date" with a calendar icon, "Transaction Number" with a search icon, "GO Number" with a search icon, "Format" set to "PDF", "Output" set to "View", "Print At" set to "Client", and "Printer" with a search icon. At the bottom right, there are "Ok" and "Exit" buttons.

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

GO Date

Date Format; Optional

Select the Global Order Generation Date from the adjoining calendar.

GO Number

Alphanumeric; 16 Characters; Optional

Specify the GO number. Alternatively, you can select transaction number from option list.

Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number. Alternatively, you can select transaction number from option list.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.13.2 Contents of the Global Order Report

Header Section**Title**

Displays the name of the report.

Report as on Date

Displays the application date.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID who has generated the report.

GO Number

Displays the GO generation number.

GO Date

Displays GO generation date.

GO Transaction Type

Displays the GO transaction type as Subscription or Redemption.

AMC ID

Displays the Asset Management ID associated with the Global Order.

Fund ID

Displays the Fund ID associated with the Global Order.

GO Mode

Displays the GO mode as amount or units.

GO Status

Displays the GO status as any one of the following:

- Pending Confirmation
- GO Confirmed
- GO Rejected
- Price Mismatch
- Unit Mismatch
- Amount Mismatch

GO Confirmed Amount

Displays the confirmed amount.

GO Confirmed Units

Displays the confirmed units.

GO Price Date

Displays the date of the global order pricing.

GO Confirmed Price

Displays the confirmed price as on price date.

Details Section**Transaction Number**

Displays the subscription or Redemption transaction number.

Reference Number

Displays the reference number of the related subscription or redemption transaction.

Unit Holder ID

Displays the Unit Holder Identification number.

Transaction Type

Displays the transaction type as subscription or redemption.

Transaction Value

Displays the transaction value as amount or units.

Transaction Date

Displays the subscription or redemption transaction date.

Transaction Category

Displays the transaction category as advised, legacy, or execution

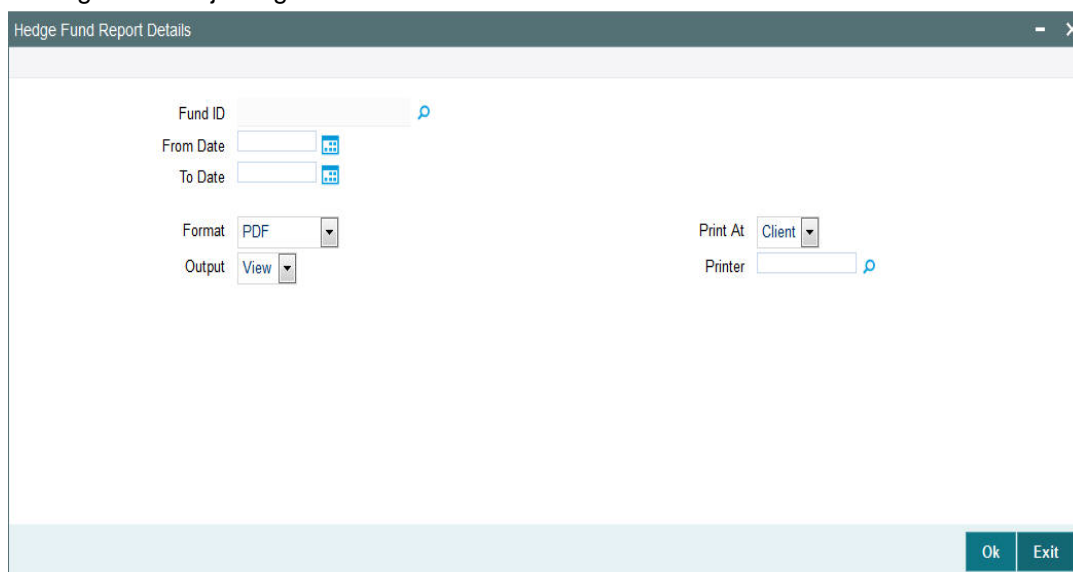
2.14 Hedge Fund Report

This section contains the following topics:

- [Section 2.14.1, "Generating the Hedge Fund Report"](#)
- [Section 2.14.2, "Contents of the Hedge Fund Report"](#)

2.14.1 Generating the Hedge Fund Report

Hedge Fund Report displays the details related to a hedge fund, based on the transaction date range and Fund ID using 'Hedge Fund Report Details' screen. You can invoke this screen by typing 'UTR00226' in the field at the top right corner of the application tool bar and clicking on the adjoining arrow button.



The screenshot shows a software window titled "Hedge Fund Report Details". The window contains the following fields and controls:

- Fund ID:** A text input field with a search icon to its right.
- From Date:** A date selection field with a calendar icon to its right.
- To Date:** A date selection field with a calendar icon to its right.
- Format:** A dropdown menu currently set to "PDF".
- Output:** A dropdown menu currently set to "View".
- Print At:** A dropdown menu currently set to "Client".
- Printer:** A text input field with a search icon to its right.
- Buttons:** "Ok" and "Exit" buttons are located at the bottom right of the window.

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

Fund ID

Alphanumeric; 6 Characters; Optional

Select the fund ID from the adjoining option list.

From Date and To Date

Date Format; Optional

Specify the dates that specify the period between which you want to view the Hedge fund history details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.14.2 Contents of the Hedge Fund Report

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

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

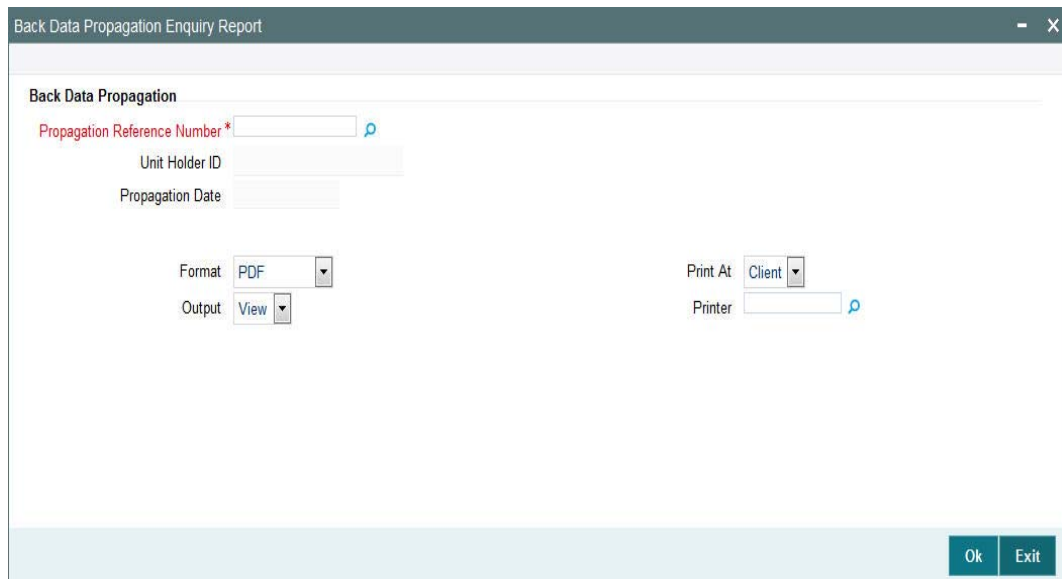
2.15 Back Data Propagation Enquiry Report

This section contains the following topics:

- [Section 2.15.1, "Generating the Back Data Propagation Enquiry Report"](#)
- [Section 2.15.2, "Contents of the Back Data Propagation Enquiry Report"](#)

2.15.1 Generating the Back Data Propagation Enquiry Report

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



The screenshot shows a window titled "Back Data Propagation Enquiry Report". The window contains the following fields and controls:

- Back Data Propagation** (Section Header)
- Propagation Reference Number***: A text input field with a search icon.
- Unit Holder ID**: A text input field.
- Propagation Date**: A text input field.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a search icon.
- Buttons**: "Ok" and "Exit" buttons at the bottom right.

Propagation Reference Number

Alphanumeric; 16 Characters; Mandatory

Specify propagation reference number. You can also select propagation reference number from the option list.

UnitHolder ID

Display

The system displays the unit holder ID for the selected propagation reference number.

Propagation Date

Display

The system displays the propagation date for the selected propagation reference number.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

2.15.2 Contents of the Back Data Propagation Enquiry Report

The system will accordingly generate a report which has the following details:

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

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

2.16 Periodic Commission as on Date Report

This section contains the following topic:

- [Section 2.16.1, "Generating the Periodic Commission as on Date Report"](#)

2.16.1 Generating the Periodic Commission as on Date Report

The Periodic Commission as on date report shows the details of mock accruals such as the last run date for a reference number of fund or group of funds.

You can generate this report by typing 'UTRPERCM' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Periodic Commission as on date Report

Fund/Product/Group Fund

Fund/Product/Group ID *

Description

Reference Number

Format PDF

Output View

Print At Client

Printer

Ok Cancel

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

Fund/Product/Group

Optional

Select one of the options from the drop-down list. The list displays the following values:

- Fund
- Product
- Group

Fund/Product/Group ID

Alphanumeric; 12 Characters; Mandatory

Specify the fund/ product/ group ID. Alternatively, you can select from the option list.

Description

Display

The system displays the description for the selected fund/ product/ group ID.

Reference Number

Alphanumeric; 16 Characters; Optional

Specify the reference number.

Format

Optional

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

- PDF
- HTML
- Excel

- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Header Section**Title**

Displays the name of the report.

Report Generation Date

Displays the application date.

Report From Date

Displays the from date of the report generation (last accrued min date will be the from date i.e. last accrual date+1.

Report To Date

Displays the To date of the report generation (last accrued max date will be the to date ie less than application date)

Generated By

Displays the maker ID.

Details Section**Reference number/Fund ID/Product ID/Group ID**

Displays Trailer Fee Reference ID

Policy Number

Displays Policy Number

Currency

Displays Currency Name

From Entity Type

Displays From Entity Type

To Entity Type

Displays To Entity Type details

From Entity

Displays From Entity details

To Entity

Displays To Entity details.

Holdings

Displays Holdings for the reference ID selected

AUM

Displays Asset under management for the Fund ID/Group ID/ Product ID

Accrued Amount

Displays Accrued Amount

2.17 Stop Codes Report

This section contains the following topic:

- [Section 2.17.1, "Generating the Stop Codes Report"](#)

2.17.1 Generating the Stop Codes Report

The Stop Code Reports will provide details of all the Stop Codes mapped to the Unit Holder.

You can generate this report by typing 'UTRSTREP' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Stop code" with a search bar at the top right containing "UTRSTREP". The main area contains several input fields and buttons:

- Unit Holder ID ***: A text input field with a "Find UH" button below it.
- Unit Holder Name**: A text input field.
- Stop Code**: A text input field with a search icon.
- Stop Code Description**: A text input field.
- Format**: A dropdown menu set to "PDF".
- Output**: A dropdown menu set to "View".
- Print At**: A dropdown menu set to "Client".
- Printer**: A text input field with a search icon.

At the bottom right, there are "Ok" and "Exit" buttons.

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

UnitHolder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

You can search for unit holder ID clicking 'Find UH' button.

UnitHolder Name

Display

The system displays the name of the selected unit holder ID.

Stop Account Code

Alphanumeric; 25 Characters; Mandatory

Specify the stop account code.

Stop Account Description

Display

The system displays the description for the selected stop account code.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Header Section**Title**

Displays the name of the report.

Report As On Date

Displays the date as on which date the report is generated.

Report Generation Date

Displays the application date.

Generated By

Displays the maker ID.

Details Section**UnitHolder ID**

Displays unit holder ID.

UnitHolder Name

Displays unit holder name.

Stop Code

Displays stop code.

Stop Code Description

Displays stop code description.

Stop Code Reason

Displays stop code reason.

Effective Date

Displays effective date.

Release Date

Displays release date.

2.18 Multi Switch Transaction Error Log Report

This section contains the following topic:

- [Section 2.18.1, "Generating Multi Switch Transaction Error Log Report"](#)

2.18.1 Generating Multi Switch Transaction Error Log Report

You can view multi switch transaction and with errors. The input parameters for the report will be Unit Holder ID, CIF Number, Wrapper Transaction Number, From Date and To Date. This report is a BI report available (in the kernel version).

You can invoke 'Multi Switch Transaction Error Log Report' screen by typing 'UTR00259' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Multi Switch Transaction Error Log Report

Unit Holder ID

CIF Number

Wrapper Transaction Number

From Date

To Date

Format

Output

Print At

Printer

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID for which the report has to be fetched.

You can search unit holder ID by clicking 'Find UH' button.

CIF Number

Alphanumeric; 12 Characters; Optional

Specify the CIF for which the report has to be fetched.

Wrapper Transaction Number

Alphanumeric; 50 Characters; Optional

Specify the wrapper transaction number for which the details have to be fetched

From Date

Date Format; Optional

Select from date to fetch the details.

To Date

Date Format; Optional

Select to date to fetch the details.

Format*Optional*

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output*Optional*

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

- View
- Print
- Spool

Print At*Optional*

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer*Alphanumeric; 15 Characters; Optional*

Specify the printer details from adjoining option list.

The error scenarios and system behaviour is as follows:

SI No	Error	Handling
1	If the out-leg transaction fails to save	System will display an error message
2	If any of the in –leg transactions generation fails.	System will log the reason for the failure.
3	If any of the in -leg transactions fails to get allotted	System will log the reason for the allocation failure. This case needs to be manually handled.
4	If any of the allocation fails – both out leg and in-leg cases	System will log the reason for the allocation failure. This case needs to be manually handled.
5	Reversing the out-leg transaction before allocation	Subsequent in-leg will not be generated
6	Reversing the out-leg transaction after allocation	System will reverse the in-leg transactions as well
7	Reversing of the generated in-leg transaction before allocation	Manually handled at the individual transactions

SI No	Error	Handling
8	Reversing of the generated in-leg transaction after allocation	Manually handled at the individual transactions

2.19 Bank Reconciliation Report

This section contains the following topic:

- [Section 2.19.1, "Generating Bank Reconciliation Report"](#)

2.19.1 Generating Bank Reconciliation Report

You can generate bank reconciliation report using 'Bank Recon' screen. You can invoke this screen by typing 'UTR00219' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Alphanumeric; 6 Characters; Optional

Specify the fund identification number.

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the trading history details.

Report Type

Optional

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

- Reconciled
- Un reconciled
- Partially Reconciled

Transaction Type

Optional

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

- IPO Subscription
- Subscription
- Redemption
- Switch From
- Creation
- Liquidation
- Switch To
- Trailing Commission Accrual
- Trailer Commission

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

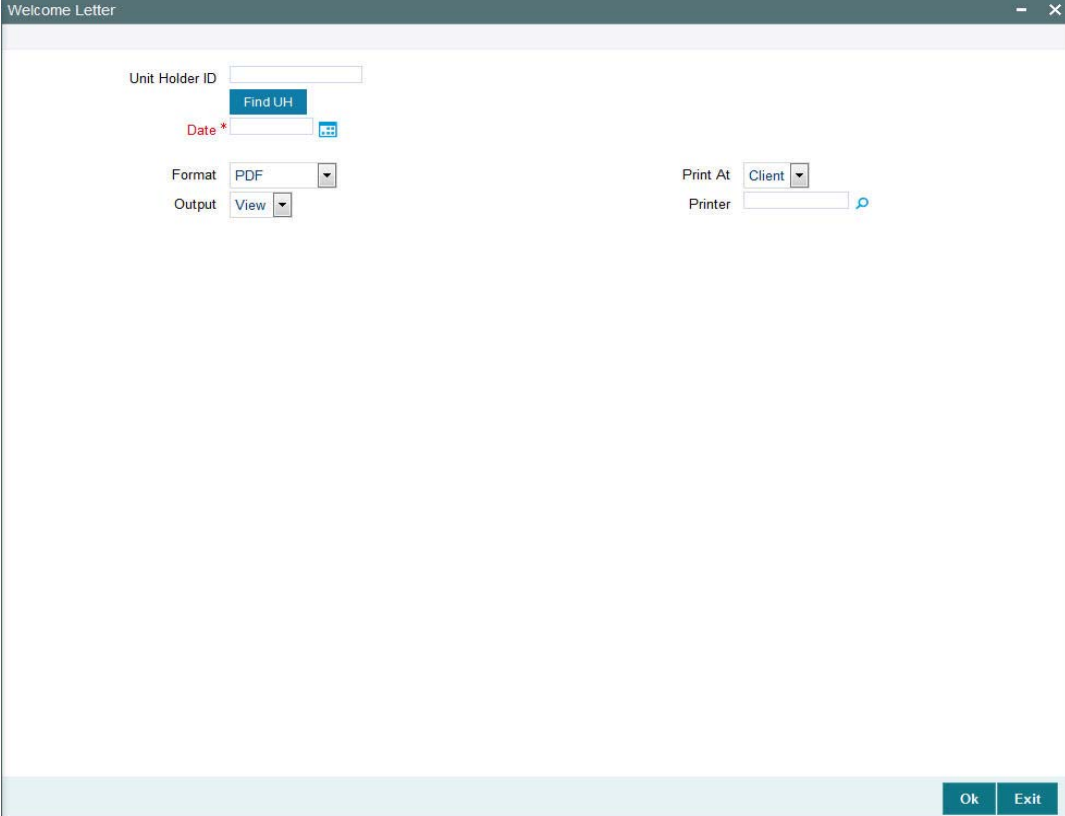
2.20 Welcome Letter

This section contains the following topic:

- [Section 2.20.1, "Generating Welcome Letter"](#)

2.20.1 Generating Welcome Letter

You can generate welcome letter using 'Welcome Letter' screen. You can invoke this screen by typing 'UTR00230' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a web-based application window titled "Welcome Letter". The interface includes the following elements:

- Unit Holder ID:** A text input field with a "Find UH" button below it.
- Date*:** A text input field with a calendar icon to its right.
- Format:** A dropdown menu currently showing "PDF".
- Output:** A dropdown menu currently showing "View".
- Print At:** A dropdown menu currently showing "Client".
- Printer:** A text input field with a magnifying glass icon to its right.
- Buttons:** "Ok" and "Exit" buttons are located at the bottom right of the window.

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

Date

Date Format; Mandatory

Select the date on when the welcome letter has to be generated from the adjoining calendar.

Format

Optional

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

- PDF
- HTML

- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

2.21 Retirement Report

This section contains the following topic:

- [Section 2.21.2, "Generating Member Record Card"](#)
- [Section 2.21.2, "Generating Member Record Card"](#)
- [Section 2.21.3, "Generating RF Welcome Letter"](#)

2.21.1 Generating Beneficiary Form Report

You can generating beneficiary form report using 'Beneficiary Form Report' screen. You can invoke this screen by typing 'UTR00258' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).

Fund Identification Number

Alphanumeric; 1000 Characters; Optional

The system displays the fund identification number. However, you can amend this value.

Unit Holder ID

Alphanumeric; 1000 Characters; Optional

Specify the unit holder ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

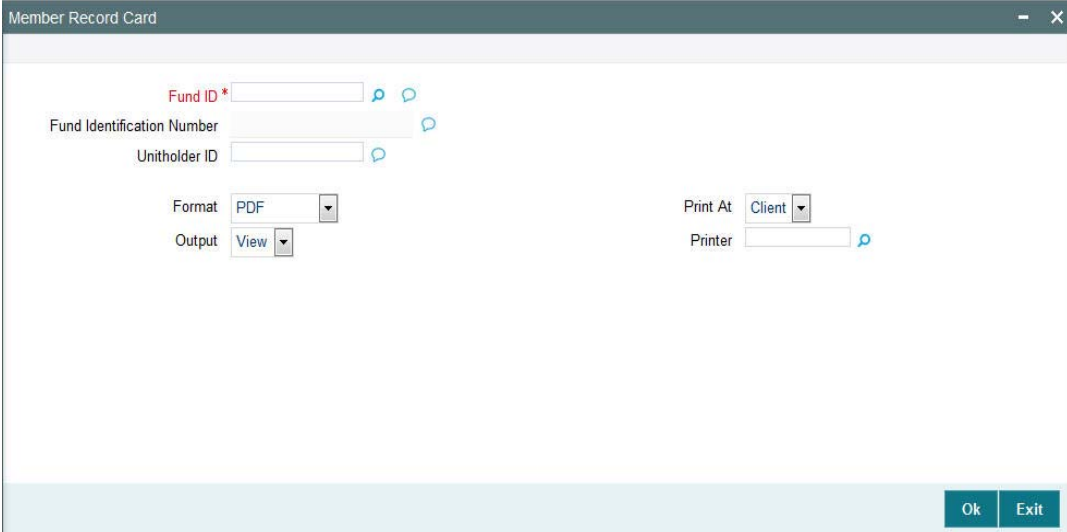
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

2.21.2 Generating Member Record Card

You can generating member record card using 'Member Record Card' screen. You can invoke this screen by typing 'UTR00256' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).

Fund Identification Number

Alphanumeric; 1000 Characters; Optional

The system displays the fund identification number. However, you can amend this value.

Unit Holder ID

Alphanumeric; 1000 Characters; Optional

Specify the unit holder ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View

- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

2.21.3 Generating RF Welcome Letter

You can generating RF Welcome Letter using 'RF Welcome Letter' screen. You can invoke this screen by typing 'UTR00250' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details.

From Date and To Date

Date Format; Mandatory

The dates that specify the period between which you want to view the broker details, in the From Date and To Date fields.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).

Fund Identification Number

Alphanumeric; 1000 Characters; Optional

The system displays the fund identification number. However, you can amend this value.

Unit Holder ID

Alphanumeric; 1000 Characters; Optional

Specify the unit holder ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

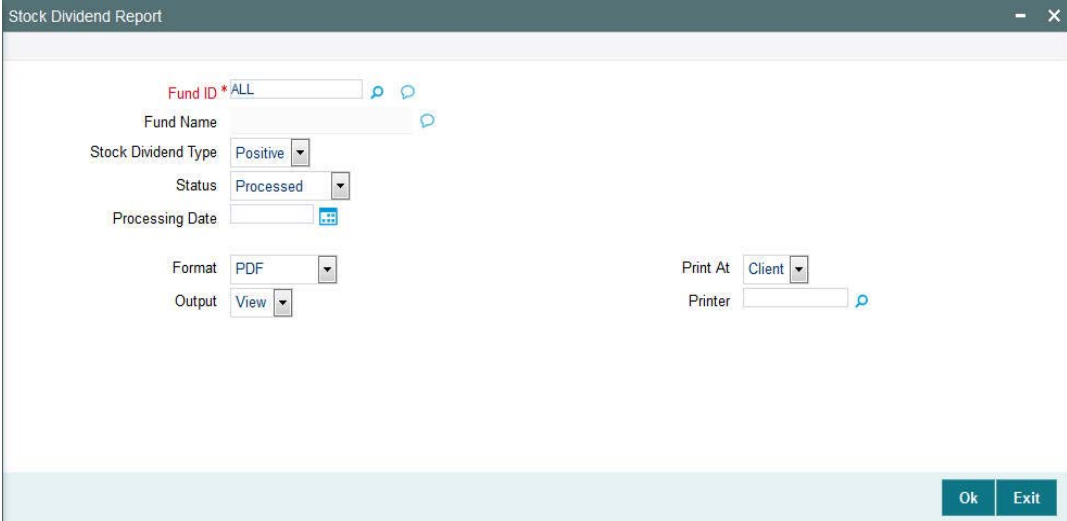
2.22 Dividend Report

This section contains the following topic:

- [Section 2.22.1, "Generating Stock Dividend Report"](#)

2.22.1 Generating Stock Dividend Report

You can generate stock dividend report using 'Stock Dividend Report' screen. You can invoke this screen by typing 'UTR00310' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).

Fund Identification Number

Display

The system displays the fund identification number.

Stock Dividend Type

Optional

Select the type of stock dividend from the drop-down list. The list displays the following details:

- Positive
- Negative

Status

Optional

Select the status from the drop-down list. The list displays the following details:

- Processed
- Not Processed
- ALL

Processing Date

Date Format; Optional

Select the processing date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

2.23 EFT Report

This section contains the following topic:

- [Section 2.23.1, "Generating EFT Report"](#)

2.23.1 Generating EFT Report

You can generate EFT report using 'EFT Report' screen. You can invoke this screen by typing 'UTR00321' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'EFT Report' application window. The window title is 'EFT Report'. The interface is divided into two main columns. The left column contains the following fields: 'Batch Number*' (with a search icon), 'Instruction Medium', 'Instruction Type', 'Effective Date', and 'Process Date'. Below these are 'Format' (set to PDF) and 'Output' (set to View). The right column contains the following fields: 'Batch Description', 'Instruction Medium Description', 'Instruction Type Description', 'Bank', and 'SubPayment Mode'. Below these are 'Print At' (set to Client) and 'Printer' (with a search icon). At the bottom right, there are 'Ok' and 'Exit' buttons.

You can specify the following details:

Batch Number

Alphanumeric; 20 Characters; Mandatory

Specify the batch number. Alternatively, you can select batch number from the option list.

The system displays the following values:

- Batch Description
- Instruction Medium
- Instruction Medium Description
- Instruction Type
- Instruction Type Description
- Effective Date
- Bank
- Process Date
- Sub Payment Mode

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3. Generating Reports

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

The reports are grouped into the following categories:

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

This chapter contains the following sections:

- [Section 3.1, "Activity Reports"](#)
- [Section 3.2, "Broker Reports"](#)
- [Section 3.3, "Confirmation Reports"](#)
- [Section 3.4, "Other Reports"](#)
- [Section 3.5, "Queries"](#)
- [Section 3.8, "SI Reports"](#)
- [Section 3.9, "Transaction Reports"](#)
- [Section 3.10, "UH Info Reports"](#)
- [Section 3.11, "Unit Holder Reports"](#)
- [Section 3.12, "Corporate Action Reports"](#)
- [Section 3.13, "Reinvestment Report"](#)
- [Section 3.14, "Certificate Printing"](#)
- [Section 3.15, "Threshold Balance Report"](#)
- [Section 3.16, "Transfer Register Report"](#)
- [Section 3.17, "Tax Statements Reports"](#)
- [Section 3.18, "Investment Simulator"](#)
- [Section 3.19, "Multi Transaction Error Log Report"](#)
- [Section 3.20, "Tax Credit Report"](#)
- [Section 3.21, "Redemption Confirmation Report"](#)

- Section 3.22, "Subscription Confirmation Report"
- Section 3.23, "Switch Confirmation Report"
- Section 3.24, "Account Balance Statement Report"
- Section 3.25, "Portfolio Holdings Report"
- Section 3.26, "Portfolio Statement Report"
- Section 3.27, "Portfolio Performance Report"
- Section 3.28, "Transaction Category Updation Report"
- Section 3.29, "LEP Reports"
- Section 3.30, "SMS Reports"
- Section 3.31, "AUT Report"
- Section 3.32, "Fund Reports"

3.1 Activity Reports

This section contains the following topics:

- Section 3.1.1, "Activity Report Details"
- Section 3.1.2, "Generating the Fund Activity Report"
- Section 3.1.3, "Generating Inactive Users Report"
- Section 3.1.4, "Generating the User Profile Info Report"
- Section 3.1.5, "Generating SMS Event Log Report"

3.1.1 Activity Report Details

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

3.1.2 Generating the Fund Activity Report

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

The screenshot shows the 'Fund Activity Detail' application window. The window title is 'Fund Activity Detail'. The interface includes the following elements:

- Umbrella Fund:** A dropdown menu with 'Select' as the current selection.
- Fund ID *:** A text input field with a search icon to its right.
- Fund Identification Number:** A text input field with a search icon to its right.
- Transaction Date *:** A text input field with a calendar icon to its right.
- Format:** A dropdown menu with 'PDF' as the current selection.
- Output:** A dropdown menu with 'View' as the current selection.
- Print At:** A dropdown menu with 'Client' as the current selection.
- Printer:** A text input field with a search icon to its right.
- Buttons:** 'Ok' and 'Exit' buttons are located at the bottom right of the window.

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

Umbrella Fund

Optional

Select if Umbrella fund should be selected or not from the drop-down list. The list displays the following values:

- Yes
- No

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID. Alternatively, you can select fund ID from the option list.

Fund Identification Number

Display

The system displays the fund identification number for the selected fund ID.

Transaction Date

Date Format; Mandatory

Select the transaction date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.1.2.1 Contents of the Fund Activity Report

Subscription

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

Switch To

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

Total Subscriptions

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

Redemption

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

Switch From

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

Dividends

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

Total Redemption

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

Net

This is the Total Subscriptions minus the Total Redemption made.

3.1.3 Generating Inactive Users Report

This report is generated to view the details of the inactive users. You can invoke the 'Inactive Users List' screen by typing 'UTR00193' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Inactive Users List". At the top, there is a search field labeled "Days *" with a red asterisk. Below this, there are two sets of dropdown menus: "Format" with "PDF" selected and "Output" with "View" selected. To the right, there are "Print At" and "Printer" dropdown menus, with "Client" selected in the "Print At" menu. At the bottom right corner, there are "Ok" and "Exit" buttons.

Days

Numeric; 22 Characters; Mandatory

Specify the number of days from the application date since when the user's status has been inactive.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

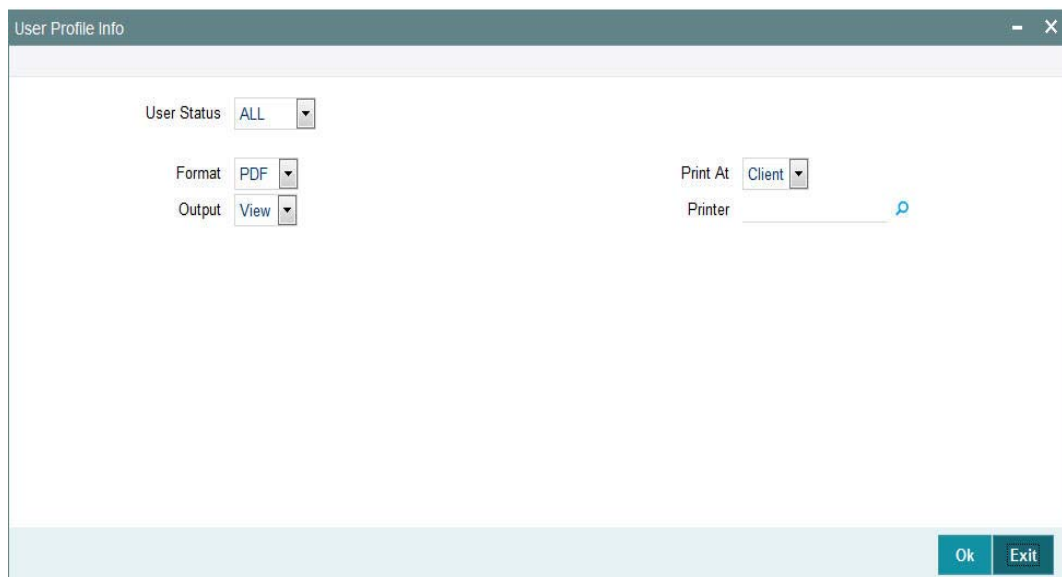
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.1.4 Generating the User Profile Info Report

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



The screenshot shows a window titled "User Profile Info" with a search bar at the top right. Below the search bar, there are several dropdown menus and a text field. The "User Status" dropdown is set to "ALL". The "Format" dropdown is set to "PDF". The "Output" dropdown is set to "View". The "Print At" dropdown is set to "Client". The "Printer" field is empty and has a search icon to its right. At the bottom right of the window, there are "Ok" and "Exit" buttons.

User Status

Optional

Select the user status from the drop-down list. The list displays the following values:

- ALL
- Enabled
- Hold
- Disabled
- Locked

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.1.4.1 Contents of the User Profile Info Report

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

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

3.1.5 Generating SMS Event Log Report

This report is generated to view the details of the events logged by the user. You can invoke the 'SMS event log report' screen by typing 'UTRPEVLG' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web-based application window titled "SMS event log report". The window contains the following fields and controls:

- User ID:** A text input field with a magnifying glass icon for search.
- From Date *:** A date selection field with a calendar icon.
- To Date *:** A date selection field with a calendar icon.
- Format:** A dropdown menu currently set to "PDF".
- Output:** A dropdown menu currently set to "View".
- Print At:** A dropdown menu currently set to "Client".
- Printer:** A text input field with a magnifying glass icon for search.
- Buttons:** "Ok" and "Exit" buttons are located at the bottom right of the window.

You can specify the following details:

User ID

Optional

Select the user ID from the list of values. The list consists of all user IDs maintained in the system.

From Date

Date Format; Mandatory

Select From date from the adjoining calendar.

To Date

Date Format; Mandatory

Select To date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.2 Broker Reports

This section contains the following topics:

- [Section 3.2.1, "Broker Reports Details"](#)
- [Section 3.2.2, "Broker Communique Report"](#)
- [Section 3.2.3, "Broker Details Report Description"](#)
- [Section 3.2.4, "Generating Reporting Structure for Brokers Report"](#)
- [Section 3.2.5, "Broker Commission Payment Report Description"](#)

3.2.1 Broker Reports Details

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

3.2.2 Broker Communique Report

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

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

The following details are displayed in the report:

3.2.2.1 Broker Details

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

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

The VAT Registration Number is also displayed.

3.2.2.2 Summary of Commission Details

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

- The Payment Dates of the Commissions

- The Opening Balance
- The Commission Accrued, Earned, Paid and Reinvested

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

3.2.2.3 Payment Details

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

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

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

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

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

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

3.2.2.4 Commission Details Grouped by Transaction and Fund

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

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

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

3.2.2.5 Unit holder Balances across Funds and CASA Account Balances

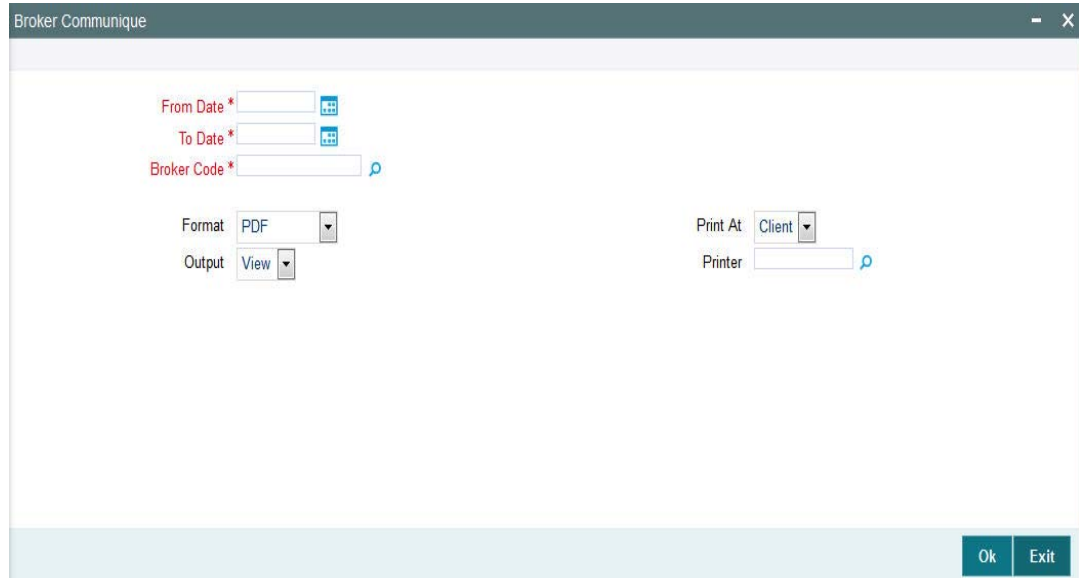
In the final section of this report, the fund-wise balances held by each unit holder whose introducer broker is the broker for whom the report is being printed, are displayed. For each unit holder, the following details are displayed fund-wise:

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

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

3.2.2.6 **Generating Broker Communique Report**

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



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

From Date and To Date

Date Format; Mandatory

The dates that specify the period between which you want to view the broker details, in the From Date and To Date fields.

Broker Code

Alphanumeric; 12 Characters; Mandatory

Specify the code of the broker for whom you want to view the details between the specified dates.

After making your specifications, click 'Ok' button.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.2.3 Broker Details Report Description

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

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

3.2.3.1 Broker Details

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

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

3.2.3.2 Contact Details

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

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

3.2.3.3 Commission Details

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

- The VAT details of the broker (i.e, whether the broker is a VAT Registered Broker or not, and if so, his VAT Registration Number)

- The hierarchical commission percentage that is payable to this Broker.
- The Commission Payment Frequency, with the Next Payment Date, Last Payment Date, Last Payment Number and Last Processed Date.
- The Commission that has been carried forward.

3.2.3.4 Bank Details

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

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

3.2.3.5 Income Distribution Set-up Details

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

- The Income Distribution Mode, the Payment Split Percentage and the Check or Transfer Payment Split Percentage.
- The Transfer Details such as the Account Type, Number, Bank Name and Branch Name.

3.2.3.6 Reinvestment Setup Details

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

3.2.3.7 Generating Broker Details Report

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

Broker Code* 🔍

Format ▾

Output ▾

Print At ▾

Printer 🔍

Ok Exit

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

You can specify the following details:

Broker Code

Alphanumeric; 12 Characters; Optional

Specify the broker code.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.2.4 Generating Reporting Structure for Brokers Report

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

- The Broker Code, Name and Address details, the Telephone, Cell Phone, Fax Numbers and the E-Mail Address.
- The Code of the Broker to whom the concerned Broker reports
- Commission Percentage payable by the broker to the immediate Parent Broker in the hierarchy
- The Commission Payment Frequency
- The Last Paid On and Next Payment On dates
- The carried forward Commission
- The VAT Registration Number

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

Broker Hierarchy

Broker Code *

Level Number

Format PDF

Output View

Print At Client

Printer

Ok Exit

3.2.4.1 Contents of the Broker Hierarchy Report

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

Broker Code

Alphanumeric; 1000 Characters; Mandatory

Specify the code of the broker whose hierarchy structure details.

Level Number

Alphanumeric; 1000 Characters; Optional

The level number of the selected broker in the hierarchy. Specify this in the level number field.

Note

None of these details are mandatory.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View

- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.2.5 Broker Commission Payment Report Description

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

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

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

3.2.5.1 Broker Details

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

3.2.5.2 Commission Details

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

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

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

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

3.2.5.3 Payment Details

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

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

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

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

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

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

3.2.5.4 Reinvestment Details

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

3.2.5.5 Broker Journal Details

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

3.2.5.6 Generating Broker Commission Payment Report

You can invoke the 'Commission Payment' screen by typing 'UTR00083' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Commission Payment". Inside, there is a section labeled "User Information". It contains several input fields and dropdown menus. The "From Date" and "To Date" fields have calendar icons next to them. The "Broker Code" field has a search icon. Below these are two rows of dropdown menus: "Format" is set to "PDF", "Output" is set to "View", "Print At" is set to "Client", and "Printer" has a search icon. At the bottom right of the window, there are "Ok" and "Exit" buttons.

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

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the commission payment details, in the From Date and To Date fields.

Broker Code

Alphanumeric; 12 Characters; Optional

Specify the code of the broker for whom you want to view the commission details between the specified dates.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.3 Confirmation Reports

This section contains the following topics:

- [Section 3.3.1, "Generating Confirmation Reports"](#)
- [Section 3.3.2, "Details in Confirmation Reports"](#)

3.3.1 Generating Confirmation Reports

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

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

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

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the ID of the fund, for which you want to view the confirmed transactions on a given business day (or range of dates).

Fund Identification Number

Display

The system displays the fund identification number.

From and To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify to reflect all allocated and confirmed transactions from a given transaction number to a given transaction number, between any two dates.

From and To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify to reflect all allocated and confirmed transactions requested by a range of unit holders, between any two dates.

You can also search From and To Unit Holder ID, click on 'Find' button respectively.

From and To Date

Date Format; Mandatory

Specify From and To date to reflect all allocated and confirmed transactions, for a range of unit holders or all unit holders, between a range of dates.

Header and Footer Display

Alphanumeric; 255 Characters; Optional

Specify the header and footer details to be displayed.

Duplicate Required

Optional

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

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Alphanumeric; 1 Character; Optional

Specify From batch details.

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.3.2 Details in Confirmation Reports

The following details are printed in the report:

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

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

3.4 Other Reports

This section contains the following topics:

- [Section 3.4.1, "Generating the Allocation Error Report"](#)
- [Section 3.4.2, "Generating the Derived Load Report"](#)
- [Section 3.4.3, "Generating the Entity Details Report"](#)
- [Section 3.4.4, "Generating the Exchange Override Report"](#)
- [Section 3.4.5, "Generating IDS Summary Report"](#)
- [Section 3.4.6, "Generating Income Advice Report"](#)
- [Section 3.4.7, "Generating LOI Non Fulfilment Report"](#)
- [Section 3.4.8, "Generating Load Override Report"](#)
- [Section 3.4.8.2, "Generating Trailing Commission Report"](#)
- [Section 3.4.10, "Generating Transaction Summary Report"](#)
- [Section 3.4.11, "Generating Fund Label Report"](#)

3.4.1 Generating the Allocation Error Report

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

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

The screenshot shows a web-based application window titled "Allocation Errors". The window contains the following elements:

- From Date ***: A text input field with a calendar icon.
- To Date ***: A text input field with a calendar icon.
- Format**: A dropdown menu currently showing "PDF".
- Output**: A dropdown menu currently showing "View".
- Print At**: A dropdown menu currently showing "Client".
- Printer**: A text input field with a search icon.
- Buttons**: "Ok" and "Exit" buttons located at the bottom right of the window.

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

From Date and To Date

Date Format; Mandatory

Specify the dates that enclose the period during which you want to view the corresponding allocation error data.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client

- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

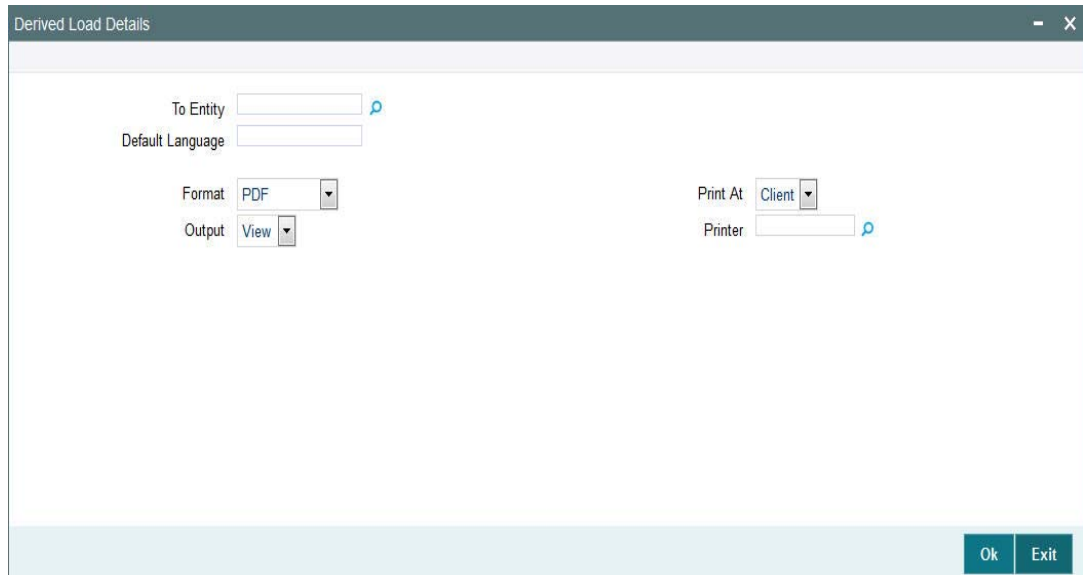
After making your specifications, click 'Ok' button. The report details are displayed.

3.4.2 Generating the Derived Load Report

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

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

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



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

To Entity

Alphanumeric; 20 Characters; Optional

Specify the entity that is the recipient for the proceeds of the derived load.

Default Language

Alphanumeric; 20 Characters; Optional

The language in which the report must appear, in the Report Language field.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

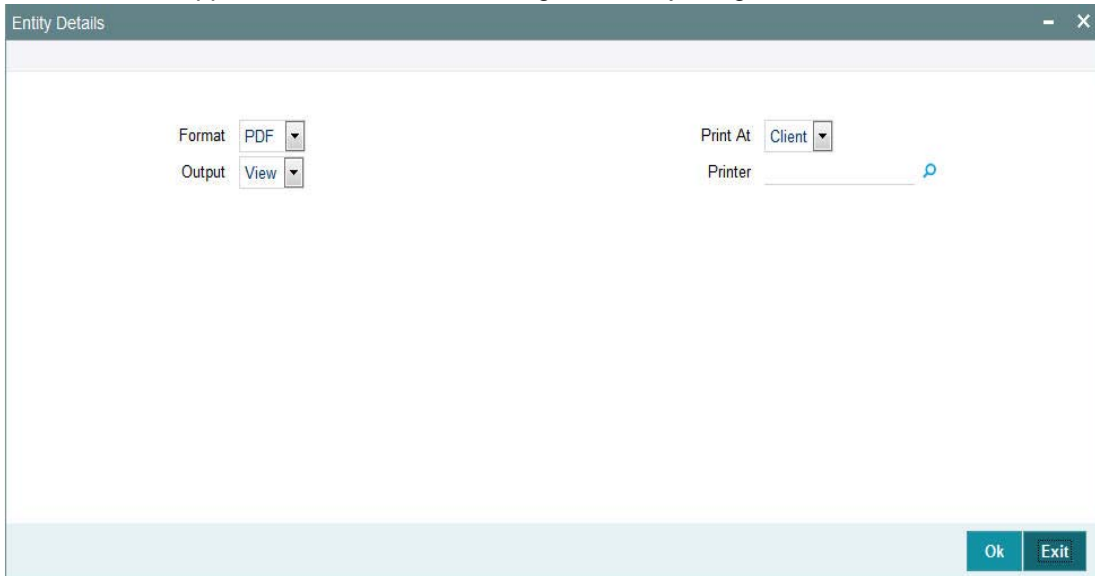
After making your specifications, click 'Ok' button. The report details are displayed.

3.4.3 Generating the Entity Details Report

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

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

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



Enter the following details:

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

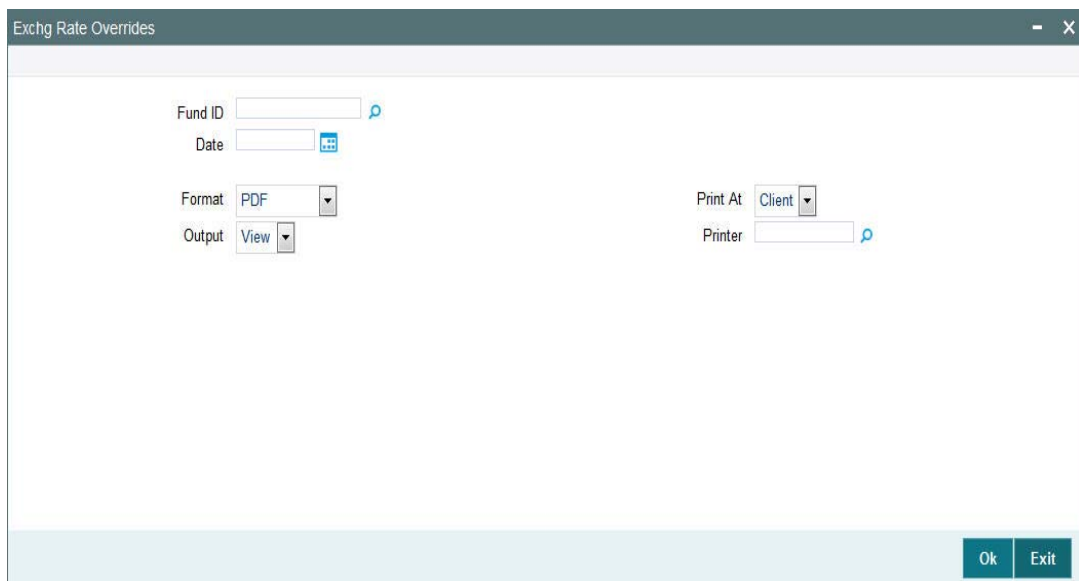
3.4.4 Generating the Exchange Override Report

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

The following details are displayed:

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

You can invoke the 'Exchange Rate Overrides' screen by typing 'UTR00065' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



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

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the ID of the fund, for which the exchange rate override was performed.

Date

Date Format; Optional

Specify the date on which the exchange rate was overridden.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)

- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.4.5 Generating IDS Summary Report

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

You can invoke the 'Income Distribution' screen by typing 'UTR00115' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Income Distribution' application window. The window title is 'Income Distribution'. The main area is titled 'User Information' and contains the following fields and controls:

- Fund ID***: A text input field with a search icon.
- Payment Number***: A text input field with a search icon.
- Format**: A dropdown menu currently set to 'PDF'.
- Output**: A dropdown menu currently set to 'View'.
- Print At**: A dropdown menu currently set to 'Client'.
- Printer**: A text input field with a search icon.

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

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID for which you want to view the price details.

Payment Number

Numeric; 22 Characters; Mandatory

Specify the number of the payment made as a result of the income distribution cycle.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.4.6 Generating Income Advice Report

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

The screenshot shows the 'Income Advice Detail' window with the following fields and options:

- Fund ID: [Text Field]
- Fund Identification Number: [Text Field]
- Payment Number: [Text Field]
- Unit Holder ID: [Text Field]
- Date: [Text Field]
- Payment Mode: [Dropdown Menu]
- Payment Date: [Text Field]
- Include Related Parties
- Format: PDF [Dropdown Menu]
- Output: View [Dropdown Menu]
- Print At: Client [Dropdown Menu]
- Printer: [Text Field]
- Buttons: Ok, Exit

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

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the ID of the fund for which the income payment was made.

Fund Identification Number

Display

The system displays the fund identification number.

Payment Number

Numeric; 22 Characters; Mandatory

Specify the number of the payment made as a result of the income distribution cycle.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the income payment was made. Alternatively, you can select unit holder ID from the option list.

Date

Date Format; Optional

Specify the date.

Payment Mode

Optional

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

- Reinvestment
- Cheque

- Transfer

Payment Date

Date Format; Optional

Select the payment date from the adjoining calendar.

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.4.7 Generating LOI Non Fulfilment Report

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

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

The screenshot shows a web application window titled "LOI Non Fulfillment". The window contains a form with the following elements:

- Unit Holder ID:** A text input field with a search icon and a "Find UH" button.
- CIF Number:** A text input field with a search icon.
- Date *:** A date picker field with a calendar icon.
- Status *:** A dropdown menu with the value "0" selected.
- Format:** A dropdown menu with the value "PDF" selected.
- Output:** A dropdown menu with the value "View" selected.
- Print At:** A dropdown menu with the value "Client" selected.
- Printer:** A text input field with a search icon.
- Buttons:** "Ok" and "Exit" buttons at the bottom right.

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

Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the ID of the unit holder that has not fulfilled the LOI indemnification amount.

You can search unit holder ID by clicking 'Find UH' button.

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

Date

Date Format; Mandatory

Specify the date.

Status

Mandatory

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

- 0
- 1

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.4.8 Generating Load Override Report

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

The screenshot shows a window titled "Load Override Detail" with a light blue header and a white main area. The window contains the following controls:

- From Date ***: A text input field with a calendar icon to its right.
- To Date ***: A text input field with a calendar icon to its right.
- Format**: A dropdown menu currently showing "PDF".
- Output**: A dropdown menu currently showing "View".
- Print At**: A dropdown menu currently showing "Client".
- Printer**: A text input field with a search icon to its right.
- Buttons**: "Ok" and "Exit" buttons are located at the bottom right of the window.

From Date and To Date

Date Format; Mandatory

Specify the dates that enclose the period during which you want to view the details of load overrides that have been performed for the generation of the report.

Format

Optional

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

- PDF

- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.4.8.1 Generating Transaction Load Override Report

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

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

Fields in Transaction Load Override Report screen

Transaction Number

Display Only

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

Transaction Date

Display Only

The dates of the concerned transactions are displayed here.

Unit Holder Number

Display Only

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

Unit Holder Name

Display Only

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

Fund ID

Display Only

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

Broker Code

Display Only

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

Load ID

Display Only

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

Transaction Mode

Display Only

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

Value Applied

Display Only

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

Original Load Percentage

Display Only

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

Override Load Percentage

Display Only

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

Original Load Amount

Display Only

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

Override Load Amount

Display Only

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

Date Allotted

Display Only

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

Units Allotted

Display Only

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

Maker ID

Display Only

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

Checker ID

Display Only

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

Agent Code

Display Only

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

Branch Code

Display Only

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

Override Module

Display Only

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

3.4.8.2 Generating Trailing Commission Report

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

The following details are displayed:

- The Transaction Number
- Last Processed on Date
- The From and to Branches
- The Basis Amount
- The equivalent basis amount in Euro Currency
- The Load Amount
- The equivalent load amount in Euro Currency
- The Referral Entity
- The Load ID
- The To Entity Type and To Entity ID
- The From Entity Type

You can invoke the 'Trailing Commission' screen by typing 'UTR00152' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Trailing Commission Broker". Inside, there's a section titled "Trailing Commission". It has two input fields: "Trail Commission Year *" and "Broker Code *". Below these are two sets of dropdown menus: "Format" (set to "PDF") and "Output" (set to "View"); and "Print At" (set to "Client") and "Printer". At the bottom right, there are "Ok" and "Exit" buttons.

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

Trail Commission Year

Alphanumeric; 5 Characters; Mandatory

Specify the trail commission year to view the details of trailing commission accruals.

Broker Code

Alphanumeric; 12 Characters; Mandatory

Specify the broker code.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.4.9 Generating Trailing Commissions Report

You can generate trailing commission report using 'Trailing Commissions Details' screen. You can invoke the 'Transaction Summary' screen by typing 'UTR00092' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

To Entity

Alphanumeric; 6 Characters; Mandatory

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

From Date and To Date

Date Format; Mandatory

Specify the dates that enclose the period during which you want to view the details of transactions that have been allotted.

Message

Alphanumeric; 10 Characters; Optional

Specify the message details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.4.10 Generating Transaction Summary Report

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

The screenshot shows a window titled "Transaction Summary" with a standard Windows-style title bar (minimize, maximize, close buttons). The window contains a form with the following fields and controls:

- Transaction Type:** A text input field with a magnifying glass icon.
- Date Basis:** A dropdown menu currently set to "Transaction Date".
- From Date:** A text input field with a red asterisk, a calendar icon, and a magnifying glass icon.
- To Date:** A text input field with a calendar icon and a magnifying glass icon.
- Fund ID:** A text input field with a magnifying glass icon.
- Format:** A dropdown menu currently set to "PDF".
- Output:** A dropdown menu currently set to "View".
- Print At:** A dropdown menu currently set to "Client".
- Printer:** A text input field with a magnifying glass icon.

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

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

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

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

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

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

Transaction Type

Alphanumeric; 2 Characters; Optional

Specify the transaction type. Alternatively, you can select from the option list.

Date Basis

Optional

Select the basis for the dates from the drop-down list that will form the period for which you want details of all allotted transactions. The list displays the following values:

- Transaction Date
- Allocation Date

From Date and To Date

Date Format; Mandatory

Specify the dates that enclose the period during which you want to view the details of transactions that have been allotted.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.4.10.1 Generating Transaction Summary Report

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

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

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

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

Transaction Summary Report Information

For each transaction type, the following details are displayed:

Unit Holder ID

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

Unit Holder Name

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

Agent Code

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

Branch Code

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

Broker

The code of the broker involved in the transaction.

Sub Broker

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

Amount or Units

Enter the mode of the transaction.

Transaction Value

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

Net Units Allotted

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

Total VAT %

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

Total Fee

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

Total Incentive

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

Gross Fee

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

Net Consideration

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

Total Amount

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

Remarks

Enter the Remarks for the transaction.

3.4.11 Generating Fund Label Report

You can view fund label details report using 'Fund Label Details' screen. You can invoke the 'SI Amendment Details' screen by typing 'UTR00122' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

From Serial Number

Numeric; 22 Characters; Mandatory

Specify the serial number from where the fund details need to be generated.

To Serial Number

Numeric; 22 Characters; Mandatory

Specify the serial number till where the fund details need to be generated.

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Payment Number

Numeric; 22 Characters; Mandatory

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'Ok' button after making your specifications.

3.5 Queries

This section contains the following topics:

- [Section 3.5.1, "Queries Reports Details"](#)

- [Section 3.5.2, "Generating Consolidated Inquiry"](#)
- [Section 3.5.3, "Invoking Transaction Summary Screen"](#)
- [Section 3.5.4, "Viewing Details of Investor Fund Balances"](#)
- [Section 3.5.5, "Viewing Other Details"](#)
- [Section 3.5.6, "View Jobs Scheduled"](#)

3.5.1 Queries Reports Details

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

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

3.5.2 Generating Consolidated Inquiry

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

You can invoke the 'Consolidated Enquiry Summary' screen by typing 'UTSCOINQ' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.:

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

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

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

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

- Investor Fund Balance
- Standing Instructions
- Income Distributions
- Transaction Summaries
- Entity Notepad Capture
- Entity Notepad View
- Certificates
- Help Desk
- Unit holder/ CIF information
- Income Distribution Setup
- Negotiated Deal Setup
- Special View
- Letter of Intent
- Limit Preferences
- Dividend Accrual

3.5.2.1 Viewing Investor Fund Balance

You can view investor fund balance by clicking 'Investor Fund Balance' button in 'Consolidated Enquiry Summary' screen. The 'Investor Fund Balance' screen is displayed.

Investor Fund Balance

Enter Query

Unit Holder ID * 000000402968

Find UH

Fund balances details

Fund ID *	Fund Name *	Fund Base Currency *	UH Currency of expression	Policy Number *	Product ID *
<input checked="" type="checkbox"/> CDS1	CDSC Fund1	TWD		UT	UT
<input type="checkbox"/> ERIC03	ERIC03	HKD		UT	UT

Total Blocked Amount or Holdings

Total Blocked Amount 0.000 Total Holdings in UH Currency 4,962.180

Unit Block Details | Category-wise Balance | Unit Holdings Classification

Exit

For more details, refer 'Viewing Details of Investor Fund Balances' section in this user manual.

3.5.2.2 Viewing Standing Instructions

You can view standing instructions by clicking 'Standing Instructions' button in 'Consolidated Enquiry Summary' screen. The 'FCIS Standing Instruction Summary' screen is displayed.

You can also invoke this screen by typing 'UTSFIN' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed

FCIS Standing Instructions Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status Record Status

SI Number Unit Holder ID 000000402968

Fund ID Transaction Type

Status Start Date

End Date Escalation Start Date

Escalation End Date

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Record Status	Status	SI Number	Unit Holder ID	Fund ID	Transaction Type	Status	Start Date	End Date
----------------------	---------------	--------	-----------	----------------	---------	------------------	--------	------------	----------

Find UH | Authorize | Delete | Cancel | Pause

Exit

For more details, refer 'Standing Instruction Summary' section in Transactions user manual.

3.5.2.3 Viewing Income Distributions

You can view income distributions by clicking 'Income Distributions' button in 'Consolidated Enquiry Summary' screen. The 'Income Distribution' screen is displayed.

The screenshot shows the 'Income Distributions' interface. At the top, there are input fields for 'Fund ID *', 'Payment Date *', and 'Corporate Action Type *'. To the right, there are 'From Date' and 'To Date' fields with calendar icons, and a 'Fetch' button. Below these is a 'Dividend Details' section with a table header: 'Declaration Date *', 'Units Held *', 'Earnings / Lot *', 'Total *', 'Tax *', and 'Net Amount *'. Below the table is a scrollable area. At the bottom is an 'NPI Details' section with a table header: 'Total NPI', 'NPI Tax', 'Net NPI', 'Net NPI to Trust', and 'Net NPI to Unit Holder'. An 'Exit' button is in the bottom right corner.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; mandatory

Specify the fund ID.

Payment Date

Date Format; Mandatory

Specify the payment date.

Corporate Action Type

Alphanumeric; 1 Character; Mandatory

Specify the corporate action type.

From Date and To Date

Date Format; Optional

Select From and To date of the report to be generated.

Click 'Fetch' button to view the following details:

- Dividend Details
 - Declaration Date
 - Units Held
 - Earnings / Lot
 - Total
 - Tax
 - Net Amount

- Equalization Income
 - Gross Income
- NPI Details
 - Total NPI
 - NPI Tax
 - Net NPI
 - Net NPI to Trust
 - Net NPI to Unit Holder
- Earning Details
 - Description
 - Earnings Per Unit
 - Total Earned
- Payment Details
 - Payment Mode Description
 - Bank Name
 - Branch Name
 - Amount
 - Payment Date
- Reinvestment Details - Cash Dividend
 - Unit Holder ID
 - Unit Holder Name
 - Fund Name
 - Amount
 - Unit Price
 - No Of Units
 - Reinvestment Date
- Reinvestment Details - Stock Dividend
 - Unit Holder ID
 - Unit Holder Name
 - Fund Name
 - No Of Units

3.5.2.4 Viewing Transaction Summary

You can view transaction summary by clicking 'Transaction Summary' button in 'Consolidated Enquiry Summary' screen. The 'Transaction Summary' screen is displayed.

The screenshot shows the 'Transaction Summary' application window. At the top, there are search filters: 'Unit Holder ID *' (with a 'Find UH' button), 'Allocation From Date' (MM/DD/YYYY), 'Fund ID' (with a 'Fetch' button), 'Allocation To Date' (MM/DD/YYYY), and 'Data' (set to 'Live'). Below these is a 'Details' section with a table header. The table has columns for Product ID, Policy Number, Product Name, Fund ID, Transaction Number, Transaction Date, and Transaction Description. The table is currently empty. At the bottom of the window, there are buttons for 'Fund', 'Transaction', 'CDSC Details', 'Ok', and 'Cancel'.

Product ID	Policy Number	Product Name	Fund ID	Transaction Number	Transaction Date	Transaction Description
------------	---------------	--------------	---------	--------------------	------------------	-------------------------

For more details, refer 'Invoking Transaction Summary Screen' section in this user manual.

3.5.2.5 Maintaining NotePad of Entities Detail

You can maintain Notepad of entities details by clicking 'Entity Notepad Capture' button in 'Consolidated Enquiry Summary' screen. The 'NotePad of Entities Details' screen is displayed.

Notepad Of Entities Detail

Save

Notepad

Note Number

From Entity Type D

From Entity ID HKGDISTE

About Entity Type* Select One

About Entity Id*

Notepad*

Input by DateTime Mod No Open

Authorized by DateTime Authorized

Cancel

For more details, refer 'NotePad of Entities Detail Screen' section in the Entity user manual.

3.5.2.6 Viewing NotePad of Entities Detail

You can view Notepad of entities details by clicking 'Entity Notepad View' button in 'Consolidated Enquiry Summary' screen. The 'Notepad of Entities Summary' screen is displayed.

Authorized	Open	Note Number	About Entity Id	About Entity Type	From Entity Type	From Entity ID	Notepad
------------	------	-------------	-----------------	-------------------	------------------	----------------	---------

For more details, refer 'Notepad of Entities Summary Screen' section in the Entity user manual.

3.5.2.7 Viewing Certificates

You can view certificates details by clicking 'Certificates' button in 'Consolidated Enquiry Summary' screen. The 'Certificates Summary' screen is displayed. You can also invoke this

screen by typing 'UTSENQCE' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed.

Certificates Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Unit Holder ID 000000402913

Records per page 15 1 of 1 Go Lock Columns 0

Unit Holder ID	Fund Name	Certificate Number	Allocation Date	Transaction Number	No. of Units	Status Change Date
----------------	-----------	--------------------	-----------------	--------------------	--------------	--------------------

Exit

You can search for the records for the specified Unit Holder ID in 'Unit Holder ID' field.

3.5.2.8 Viewing Help Desk Details

You can view Help desk details by clicking 'Help Desk' button in 'Consolidated Enquiry Summary' screen. The 'Help Desk Summary' screen is displayed.

Help Desk Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized Open

Helpdesk Reference No Reporting Entity ID

Reporting Entity Type

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Helpdesk Reference No	Query Type	Problem Description	Reporting Entity ID	Reporting Entity Type
------------	------	-----------------------	------------	---------------------	---------------------	-----------------------

Exit

For more details, refer 'Help Desk Summary' section in the Transactions user manual.

3.5.2.9 Viewing Unit Holder Maintenance Details

You can view Unit Holder Maintenance details by clicking 'Unit Holder Information' button in 'Consolidated Enquiry Summary' screen. The 'Unit Holder Maintenance Summary' screen is

displayed. You can also invoke this screen by typing 'UTSFH' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed

For more details, refer 'Unit Holder Maintenance Summary' section in the Entities user manual.

3.5.2.10 Viewing Income Distribution Setup Details

You can view Income Distribution setup details by clicking 'Income Distribution Setup' button in 'Consolidated Enquiry Summary' screen. The 'Income Distribution Setup Summary' screen is displayed.

You can also invoke this screen by typing 'UTSFHIDS' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed

Income Distribution Setup Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status Open

Unit Holder Entity Type

Product ID Policy Number

Fund ID Rule Effective Date

Latest Rule

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Open	Status	Unit Holder	Entity Type	Product ID	Policy Number	Fund ID	Payment Percentage	Reir
----------------------	------	--------	-------------	-------------	------------	---------------	---------	--------------------	------

Find UH | Authorize | Delete

Exit

For more details, refer 'Income Distribution Setup Summary' section in the Entities user manual.

3.5.2.11 Viewing Negotiated Deal Setup

You can view Negotiated Deal setup details by clicking 'Negotiated Deal Setup' button in 'Consolidated Enquiry Summary' screen. The 'Unitholder Deal Summary' screen is displayed.

Unitholder Deal Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorization Status [dropdown]
Unit Holder / CIF Number 000000401617
Apply Deal At Not Selected
Effective Start Date [calendar icon]

Open [dropdown]
Apply At CIF Level [dropdown]
Load ID [text field]
Effective End Date [calendar icon]

Records per page 15 1 of 1 Go Lock Columns 0

Authorization Status	Open	Status	Deal Transaction Number	Unit Holder / CIF Number	First Name	Apply At CIF Level	Apply Deal
----------------------	------	--------	-------------------------	--------------------------	------------	--------------------	------------

Authorize

Exit

For more details, refer 'UnitHolder Deal Summary' section in the Entities user manual.

3.5.2.12 Special View

You can view special view details by clicking 'Special View' button in 'Consolidated Enquiry Summary' screen. The 'Special View Summary' screen is displayed.

You can also invoke this screen by typing 'UTSSPEVW' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed.

Special View Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Unit Holder ID 000000402913

Records per page 15 1 of 1 Go Lock Columns 0

Fund ID	Unit Holder ID	Transaction Number	Transaction Date	Link Transaction Number	Units Allotted
---------	----------------	--------------------	------------------	-------------------------	----------------

Exit

You can search for the records for the specified Unit Holder ID in 'Unit Holder ID' field.

3.5.2.13 Viewing Unit Holder LOI Setup Details

You can view Unit Holder LOI details by clicking 'Letter of Intent' button in 'Consolidated Enquiry Summary' screen. The 'Unit Holder LOI Setup Summary' screen is displayed.

You can also invoke this screen by typing 'UTSUHLOA' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed.

Unit Holder LOI Setup Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized Open

UHD/CIF No. Apply At

LOI Start Date LOI End Date

LOI Currency Group ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	UHD/CIF No.	Apply At	LOI Start Date	LOI End Date	LOI Amount	LOI Currency	Group ID
------------	------	-------------	----------	----------------	--------------	------------	--------------	----------

Exit

For more details, refer 'Unit Holder LOI Setup Summary' section in the Entities user manual.

3.5.2.14 Viewing Unit Holder Non Tax Limits Summary

You can view Unit Holder non tax details by clicking 'Limit Preferences' button in 'Consolidated Enquiry Summary' screen. The 'UH Non Tax Limits summary' screen is displayed.

You can also invoke this screen by typing 'UTSURATX' in the field at the top right corner of the Application tool bar and click the adjoining arrow. The screen is displayed.

UH Non Tax Limits Summary

Search Advanced Search Reset Clear All

Search Is Case Sensitive

Authorized Open

Unit Holder ID

Records per page 15 1 of 1 Go Lock Columns 0

Authorized	Open	Unit Holder ID	Name	Allowed Limit	NonAcc Allowed Limit	NonAcc Utilized Limit	Acc Allowed Limit	Acc Uti
------------	------	----------------	------	---------------	----------------------	-----------------------	-------------------	---------

Find UH

Exit

For more details, refer 'UH Non Tax Limits Summary' section in the Entities user manual.

3.5.2.15 Viewing Dividend Accrual Details

You can view Dividend Accrual details by clicking 'Dividend Accrual' button in 'Consolidated Enquiry Summary' screen. The 'Dividend Accrual' screen is displayed.

Dividend Accrual

Unit Holder ID * 000000402913

Fund ID *

Dividend Number

Fund ID	Unit Holder ID	Dividend Number	Dividend Declare Date	Total Units	Acc
---------	----------------	-----------------	-----------------------	-------------	-----

Total Accrual Amount

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID.

Dividend Number

Numeric; 5 Characters; Optional

Specify the dividend number.

Click 'Fetch' button after specifying the necessary details. The system displays the following values:

- Fund ID
- Unit Holder ID
- Dividend Number
- Dividend Declare Date

- Total Units
- Accrued Amount
- Dividend From Date
- Dividend To Date
- Redemption Dividend Amount
- Total Accrual Amount

3.5.3 Invoking Transaction Summary Screen

You can view transaction details using 'Transaction Summary' screen. You can invoke this screen by typing 'UTDACCST' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

Search unit holder ID by clicking 'Find UH' button.

Allocation From Date

Date Format; Optional

Select allocation from date from the adjoining calendar.

Allocation To Date

Date Format; Optional

Select allocation To date from the adjoining calendar.

Fund ID

Alphanumeric; 6 Characters; Optional

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

Data

Optional

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

- Live
- History

After specifying the above details, clicking 'Fetch' button, the system will display the following details:

- Product ID
- Policy Number
- Product Name
- Fund ID
- Transaction Number
- Transaction Date
- Transaction Description
- Units
- Price Details
- Book Value
- Running Total (Units)
- Status
- Gross Amount in FBC
- Net Amount in FBC
- Total Fees
- HWM + Hurdle

3.5.3.1 Fund Button

Clicking 'Fund' button, the system will display the details related to fund.

3.5.3.2 Transaction Button

Clicking 'Transaction' button, the system will display the details related to transaction.

3.5.3.3 CSDC Details Button

Clicking 'CSDC Details' button, the system will display the following details:

- Fund ID

- ISIN Code
- Unit Holder ID
- CIF Number
- Unit Holder Name
- Transaction Number
- Transaction Date
- Fund Name

Inflow Transaction

- Transaction Number
- Transaction Type
- CDSC
- Entry Date
- Entry Shares
- Entry Cost
- CDSC Due
- Balance Units
- Unit Price
- Estimated CDSC Due

Outflow Transaction

- Transaction Number
- Lot Price
- Free Shares
- Entry Shares
- Age in Months
- CDSC Rate
- CDSC Amount

3.5.4 Viewing Details of Investor Fund Balances

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

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

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

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

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. Alternatively, you can select unit holder ID from the option list.

You can also search for unit holder ID by clicking 'Find UH' button.

Click 'Execute Query' button to view the following fund balance details:

- Fund ID

- Fund Name
- Fund Base Currency
- UH Currency of Expression
- Policy Number
- Product ID
- Unit Balance
- Total Blocked Units
- FBC redeemable
- FBC Holding
- UHBC Redeemable
- Average Cost
- Provisional Units
- UHBC Holding
- Balance in Currency of Expression
- UH Preferred Currency
- Balance in UH Preferred Currency
- G1 Units
- G2 Units

The system also displays the Total Blocked Amount or Total Holdings in UH Currency.

3.5.4.1 **Unit Block Details Button**

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

The screenshot shows the 'Total Blocked Units' application window. At the top, there is a 'Unit Holder ID' input field. Below it is the 'Financier Details' section, which contains a table with the following columns: 'Financer', 'Fund ID', 'Fund Name Short', and 'Units'. The table is currently empty. Below the table, there is a 'Total Blocked Units' summary section with a label 'Total Units Blocked' and a value of '0'. An 'Exit' button is located in the bottom right corner of the window.

The system displays the following values:

- Unit Holder ID
- Financier Details
 - Financer
 - Fund ID
 - Fund Name Short
 - Units
- Total Blocked Units

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

Note

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

3.5.4.2 Category-wise Balance Button

You can also view transaction category and unit holder details in the 'CAT BAL' screen. You can invoke this screen by clicking the 'Category-wise Balance' button in the 'Investor Fund Balance Summary' screen.

Transaction Category	Confirmed Units	Provisional Units	Blocked Units
Legacy	716.380481	0	0

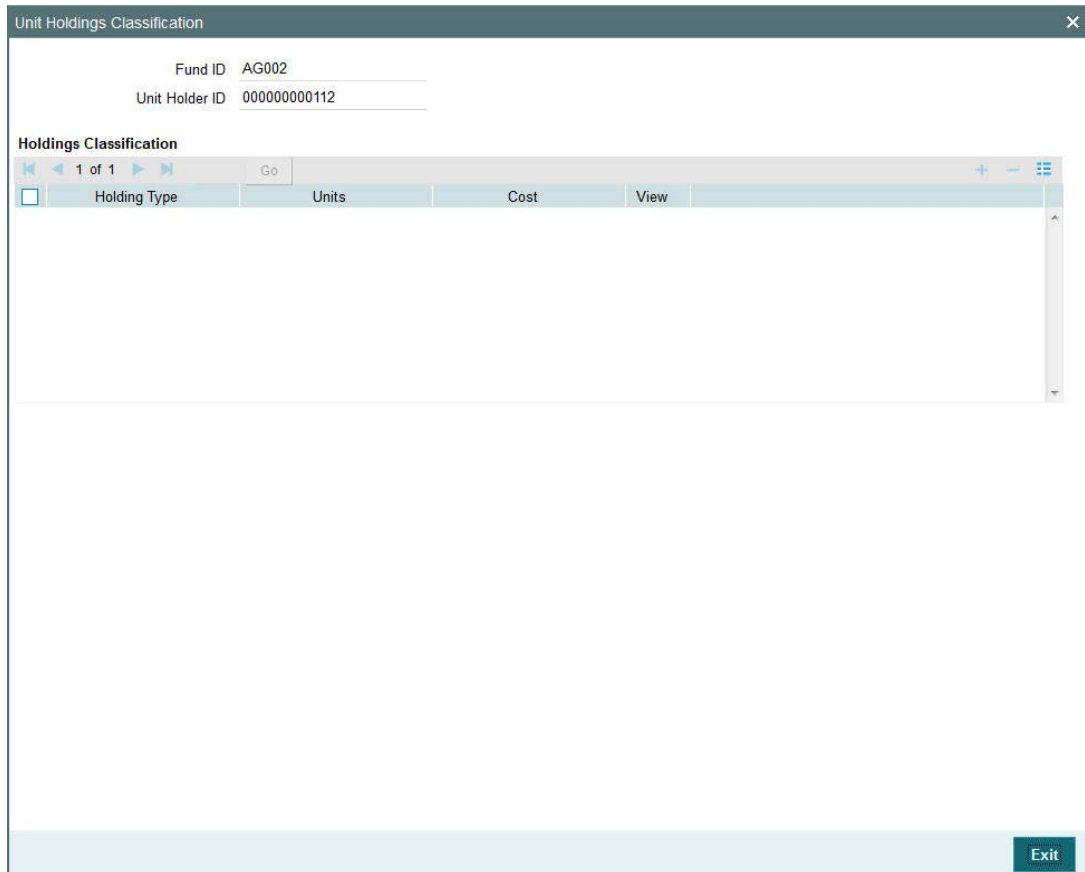
The system displays the following values:

- Unit Holder ID
- Fund ID
- Product ID
- Policy Number
- Transaction Category

- Confirmed Units
- Provisional Units
- Blocked Units

3.5.4.3 Unit Holdings Classification Button

You can view unit holder holdings classification details in 'Unit Holder Holdings Classification' screen. You can invoke this screen by clicking the 'Unit Holdings Classification' button in the 'Investor Fund Balance Summary' screen.



Unit Holder ID

Display

The system displays the unit holder ID for which holding details will be displayed based on the value selected in 'Consolidate Enquiry Screen' (UTSCOINQ).

Fund ID

Display

The system defaults the fund ID for which holding details will be displayed based on the fund that is selected in the 'Investor Fund Balance Details' grid.

You need to select only one fund from the Fund Balance Detail grid.

Holding Classification

Display

The system displays the unit classification based on the fund selected.

Total Units

Display

The system displays the total sum of units for the corresponding classification.

Cost

Display

The system displays the total cost of the unit holdings for the classification.

The detail section will be populated with corresponding details as the case of on-shore or off-shore fund

For on-shore fund, the system displays the FEL/ CDSC holdings summary.

For off-shore fund holdings will be grouped into 2 different categories based on the Transaction Currency.

- All transaction with Transaction currency as Installed Entity Base Currency (TWD) (refers to AMC base currency)
- All transaction with Transaction currency other than Installed Entity Base Currency.

Click 'View' button to view the details of the selected unit classification. On click of 'View' button Holding Details screen will be launched.

The system displays the units holding and the cost for following classifications:

- Holding Type: CDSC, FEL, TWD etc.
- Transaction Type: Subscription, RSP
- Certificate option: Certificate or non-Certificate
- Redeemable: Redeemable or Blocked
- Units: Current units balance for the said classification
- Cost: Cost of the current unit holdings

Clicking 'Purchase' button, 'FCIS Subscription Transaction Detail' screen is displayed. After specifying the necessary details, save the transaction to purchase the same.

Clicking 'Redeem' button, 'FCIS Redemption Transaction Detail' screen is displayed. After specifying the necessary details, save the transaction to redeem the same.

Clicking 'Switch' button, 'FCIS Transaction Switch Detail' screen is displayed. After specifying the necessary details, save the transaction to switch the same.

Clicking 'New SI' button, 'FCIS Standing Instructions Detail' screen is displayed. After specifying the necessary details, save the standing instruction.

3.5.5 Viewing Other Details

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

- To retrieve transaction information for the unit holder, check the Transactions radio button in the Information section.
- To retrieve information related to the account profile of the unit holder, check the Static radio button in the Information section
- To view a history of the data, which will show the details of changes made since the account was opened, check the History radio button in the Data section.

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

3.5.6 View Jobs Scheduled

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

The screenshot shows the 'View Jobs Scheduled' application window. At the top, there is a 'View Scheduler' section with a 'Scheduler Execution' dropdown menu set to 'Select'. Below this are two date input fields labeled 'All Runs between Date Range From (dd/MM/yyyy)' and 'To', with an 'OK' button. The 'View Scheduler Details' section shows a table with columns: Job ID, Next Run Start Time, Frequency Basis, Event Code, Job Submission Time, and Effective Start Time. The table currently displays '1 of 1' records. A 'Cancel' button is located at the bottom right of the window.

View Scheduler

Scheduler Execution

Mandatory

Select the scheduler execution from the drop-down list. The list displays the following values:

- All Jobs
- Recurring Jobs
- One Time Jobs
- On Demand Jobs
- All Runs
- All Cancelled Runs

All Runs between Date Range From (dd/MM/yyyy) and To

Date Format; Optional

Specify the date range for which you want to view details of the scheduler activity, in the All Runs between Date Range Between fields.

Click 'Ok' button to trigger the query.

Click 'Execute Query' button. The details of all the scheduled jobs as on the application date are displayed in the screen as follows:

- Job ID
- Next Run Start Time
- Frequency Basis
- Event Code
- Job Submission Time
- Effective Start Time
- Effective End Date
- Effective Start Time
- Effective Stop Time
- Schedule Type
- Interval Unit
- Interval Value
- Job Mandatory
- Status
- Last Run Start time
- Last Run End time
- Last Run Status
- Count Of Runs

3.6 Usage Metrics Summary

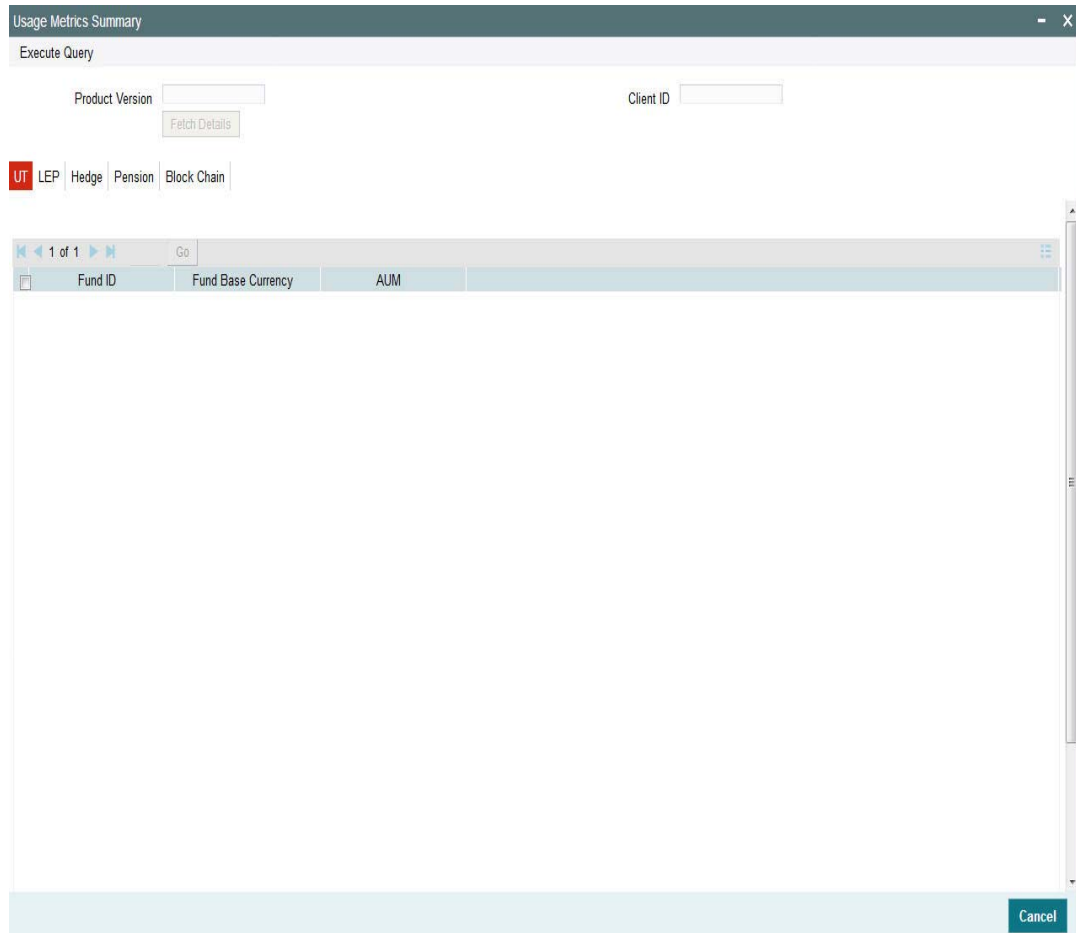
This section contains the following topics:

- [Section 3.6.1, "Invoking Usage Metrics Summary Screen"](#)
- [Section 3.6.2, "UT Tab"](#)
- [Section 3.6.3, "LEP Tab"](#)
- [Section 3.6.4, "Hedge Tab"](#)

- [Section 3.6.5, "Pension Tab"](#)
- [Section 3.6.6, "Blockchain Tab"](#)

3.6.1 Invoking Usage Metrics Summary Screen

You can maintain usage metrics for transactions, LEP, Hedge, Pension, Blockchain using 'Usage Metrics Summary' screen. You can invoke this screen by typing 'UTDLMS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details after clicking 'Enter Query' button.

Product Version

Alphanumeric; 20 Characters; Optional

Specify the product version. You can also fetch the details by clicking 'Fetch Details' button.

Client ID

Alphanumeric; 20 Characters; Optional

Specify the product version.

Click 'Execute Query' button to fetch the transaction, LEP, Hedge, Pension, or Blockchain details.

3.6.2 UT Tab

Click 'UT' tab in 'Usage Metrics Summary' screen to view the following details:

The screenshot shows a web application window titled "Usage Metrics Summary". At the top, there is a "Execute Query" section with input fields for "Product Version" and "Client ID", and a "Fetch Details" button. Below this, a navigation bar contains several tabs: "UT" (highlighted in red), "LEP", "Hedge", "Pension", and "Block Chain". The main content area displays a table with the following columns: "Fund ID", "Fund Base Currency", and "AUM". The table is currently empty. At the bottom right of the window, there is a "Cancel" button.

The system displays the following details:

- Fund ID
- Fund Base Currency
- AUM

3.6.3 LEP Tab

Click 'LEP' tab in 'Usage Metrics Summary' screen to view the following details:

Usage Metrics Summary

Execute Query

Product Version Client ID

Fetch Details

UT **LEP** Hedge Pension Block Chain

1 of 1 Go

Fund ID	Fund Base Currency	AUM
---------	--------------------	-----

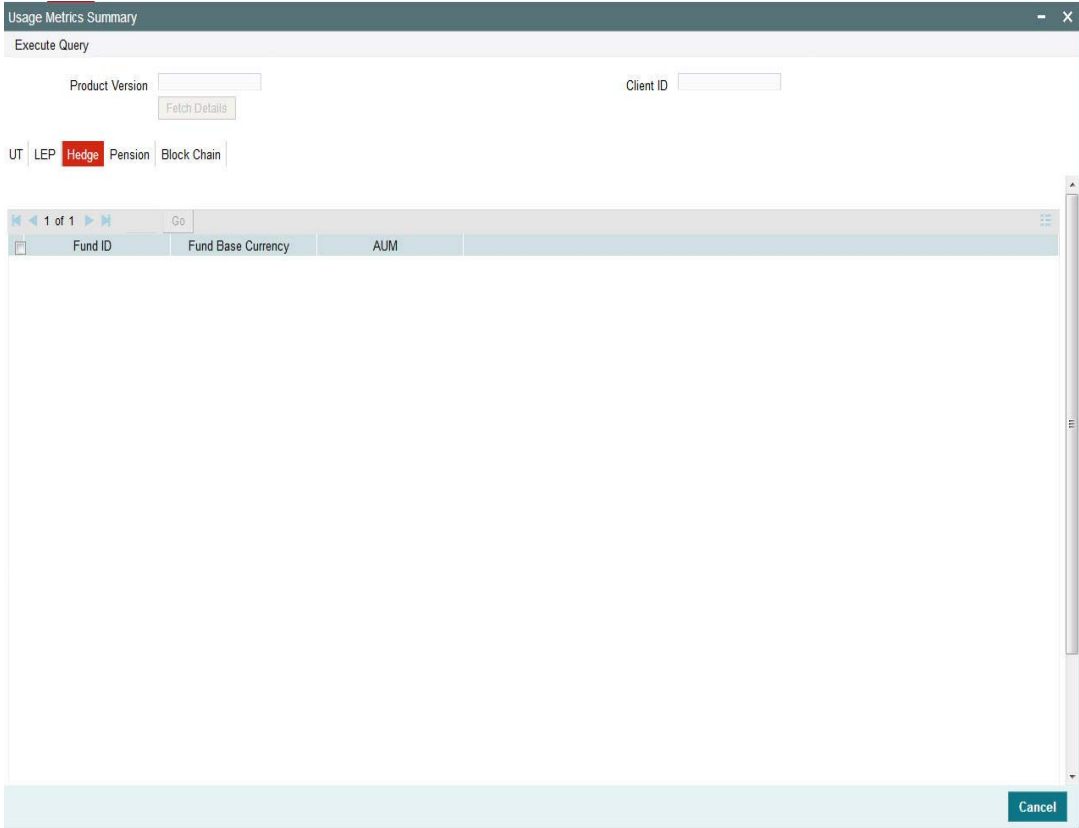
Cancel

You can view the following details:

- Fund ID
- Fund Base Currency
- AUM

3.6.4 Hedge Tab

Click 'Hedge' tab in 'Usage Metrics Summary' screen to view the following details:



You can view the following details:

- Fund ID
- Fund Base Currency
- AUM

3.6.5 Pension Tab

Click 'Pension' tab in 'Usage Metrics Summary' screen to view the following details:

The screenshot shows a web application window titled "Usage Metrics Summary". At the top, there is a header bar with the title and window controls. Below the header, there is a section labeled "Execute Query" containing two input fields: "Product Version" and "Client ID", with a "Fetch Details" button between them. Below this, there is a navigation bar with tabs: "UT", "LEP", "Hedge", "Pension" (which is highlighted in red), and "Block Chain". Underneath the tabs, there is a text input field labeled "Total active accounts". Below the input fields, there is a table with a header row containing "Month", "New accounts created", and "Accounts closed". The table body is currently empty. At the bottom right of the window, there is a "Cancel" button.

You can view the following details:

- Total active accounts
- Month
- New accounts created
- Accounts closed

3.6.6 Blockchain Tab

Click 'Blockchain' tab in 'Usage Metrics Summary' screen to view the following details:

Usage Metrics Summary

Execute Query

Product Version Client ID

Fetch Details

UT | LEP | Hedge | Pension | **Block Chain**

No of transactions exchanged

Cancel

You can view the following details:

- No of transactions exchanged

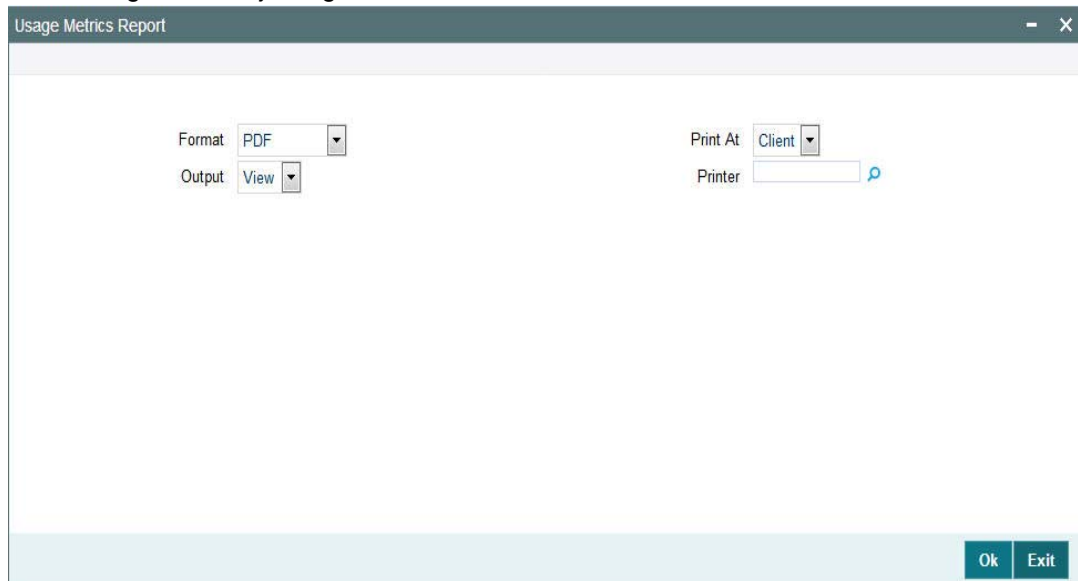
3.7 Usage Metric Report

This section contains the following topic:

- [Section 3.7.1, "Generating Usage Metric Report"](#)

3.7.1 Generating Usage Metric Report

You can generate usage metric report using 'Usage Metric Report' screen. You can invoke this screen by typing 'UTRLMS' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The screenshot shows a dialog box titled "Usage Metrics Report". It features four dropdown menus: "Format" (set to PDF), "Output" (set to View), "Print At" (set to Client), and "Printer" (empty). At the bottom right, there are "Ok" and "Exit" buttons.

You can specify the following details:

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.8 SI Reports

This section contains the following topics:

- [Section 3.8.1, "SI Reports Details"](#)
- [Section 3.8.2, "Generating Standing Instructions Amendments"](#)
- [Section 3.8.3, "Generating Standing Instructions Escalations"](#)
- [Section 3.8.4, "Generating Standing Instructions Reminders"](#)
- [Section 3.8.5, "Generating Standing Instructions Transaction Details Report"](#)

3.8.1 SI Reports Details

These reports display details of standing instructions maintained for investors.

3.8.2 Generating Standing Instructions Amendments

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

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

SI Amendment Details

From Date *

To Date *

Format PDF

Output View

Print At Client

Printer

Ok Exit

From Date and To Date

Date Format; Mandatory

Specify the dates that enclose the period during which the amendments were made any standing instructions maintained for any investor.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'Ok' button after making your specifications.

3.8.3 Generating Standing Instructions Escalations

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

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

The screenshot shows the 'SI Escalation Detail' application window. The window title is 'SI Escalation Detail'. The interface includes the following elements:

- From Date:** A text input field with a calendar icon to its right.
- To Date:** A text input field with a calendar icon to its right.
- Unit Holder ID:** A text input field with a search icon to its right and a blue 'Find UH' button below it.
- FundID:** A text input field with a search icon to its right.
- Format:** A dropdown menu currently showing 'PDF'.
- Output:** A dropdown menu currently showing 'View'.
- Print At:** A dropdown menu currently showing 'Client'.
- Printer:** A text input field with a search icon to its right.
- Buttons:** 'Ok' and 'Exit' buttons are located at the bottom right of the window.

From Date and To Date

Date Format; Optional

Select the From and To date from the adjoining calendar.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also search unit holder ID by clicking 'Find UH' button.

Fund ID

Alphanumeric; 6 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

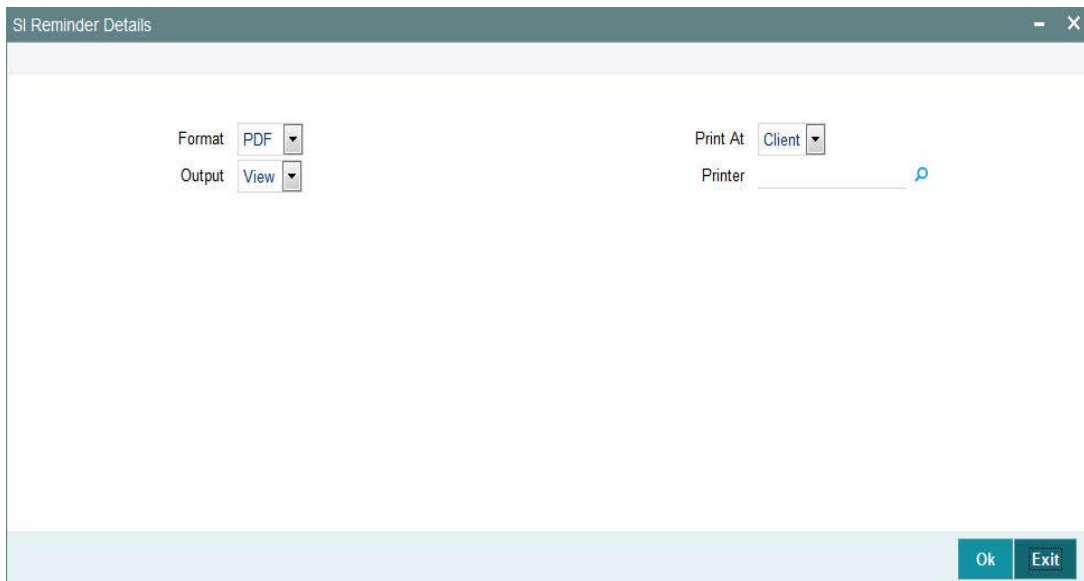
Specify the printer details from adjoining option list.

Click 'Ok' button to generate the report.

3.8.4 Generating Standing Instructions Reminders

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

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



The screenshot shows a window titled "SI Reminder Details". Inside the window, there are four main input areas: "Format" with a dropdown menu currently set to "PDF"; "Output" with a dropdown menu currently set to "View"; "Print At" with a dropdown menu currently set to "Client"; and "Printer" with a text input field and a blue arrow button. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.8.5 Generating Standing Instructions Transaction Details Report

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

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

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

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

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

The screenshot shows a software window titled "SI Details". Inside the window, there are several input fields and buttons. At the top, there are two text input fields labeled "Fund ID" and "Unit Holder ID", each with a magnifying glass icon to its right. Below these is a blue button labeled "Find UH". Further down, there are two rows of dropdown menus: "Format" with "PDF" selected, and "Output" with "View" selected. To the right of these, there is a "Print At" dropdown menu with "Client" selected, and a "Printer" text input field with a magnifying glass icon. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID for any unit holder. Alternatively, you can select fund ID from the option list.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also search for unit holder by clicking 'Find UH' button.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.9 Transaction Reports

This section contains the following topics:

- [Section 3.9.1, "Generating Transaction Reports"](#)
- [Section 3.9.2, "Generating Transaction Enquiry Report"](#)
- [Section 3.9.3, "Generating IPO Transactions - By Fund"](#)
- [Section 3.9.4, "Generating IPO Transactions - By Payment Mode"](#)
- [Section 3.9.5, "Generating Subscription By Fund Report"](#)
- [Section 3.9.6, "Generating Subscription - By Payment Mode Report"](#)
- [Section 3.9.7, "Generating Subscription Pay-In Slip Report"](#)

- Section 3.9.8, "Generating Redemption - By Fund Report"
- Section 3.9.9, "Generating Redemption-By Payment Mode Report"
- Section 3.9.10, "Generating Reissue Details Report"
- Section 3.9.11, "Generating Split Details Report"
- Section 3.9.12, "Generating Daily Switch Transactions"
- Section 3.9.13, "Generating Daily Transfer Transactions"
- Section 3.9.14, "Generating Daily Block Transactions"
- Section 3.9.15, "Generating Daily Unblock Transactions"
- Section 3.9.16, "Generating Daily Split Transactions"
- Section 3.9.17, "Generating Daily Consolidation Transactions"
- Section 3.9.18, "Generating Daily Reissue Transactions"
- Section 3.9.19, "Generating Fee Incentive Details Report"
- Section 3.9.20, "Generating Fee Incentive Cheque Report"
- Section 3.9.21, "Generating Fee Incentive DDs Report"
- Section 3.9.22, "Generating Fee Incentive Others Report"
- Section 3.9.23, "Generating Block Details Report"
- Section 3.9.24, "Generating Un-Block Details Report"
- Section 3.9.25, "Generating Clearing Status Report"
- Section 3.9.26, "Generating Consolidation Detail Report"
- Section 3.9.27, "Generating Delivery Confirmation Report"
- Section 3.9.28, "Generating Print Certificate"
- Section 3.9.29, "Generating Redemption Cheques Report"
- Section 3.9.30, "Generating Redemption DDs Report"
- Section 3.9.31, "Generating Redemption Payout Report"
- Section 3.9.32, "Generating Transaction Category Mismatch Report"
- Section 3.9.33, "Generating Transfer Details Report"
- Section 3.9.34, "Generating Transfer Confirmation Report"
- Section 3.9.35, "Generating Transaction and Status Report"

3.9.1 Generating Transaction Reports

The Transaction reports displays information about transactions of any type received from investors on any given business day. The output will be Market value in currency of expression and price in currency of expression.

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

The screenshot shows the 'IPO Confirmation' application window. It features a search bar at the top right with the text 'UTR00103'. The main area contains several input fields and controls: 'Fund ID' (text field with search icon), 'Fund Identification Number' (text field), 'From Transaction Number' (text field), 'To Transaction Number' (text field), 'From Unit Holder ID' (text field), 'To Unit Holder ID' (text field with search icon), 'From Date*' (date picker), 'To Date*' (date picker), 'Header Display' (text field with search icon), 'Footer Display' (text field with search icon), 'Duplicate Required' (Yes/No dropdown), 'Communication Mode' (text field with search icon), 'From Batch' (text field), 'Include Related Parties' (checkbox), 'Format' (PDF dropdown), 'Output' (View dropdown), 'Print At' (Client dropdown), and 'Printer' (text field with search icon). At the bottom right are 'Ok' and 'Exit' buttons.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can search From and To unit holder ID by clicking 'Find' button.

From Date

Date Format; Optional

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

To Date

Date Format; Optional

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

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

Duplicate Required

Optional

Select if duplication of record is required or not from the drop-down list. The list displays the following values:

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Alphanumeric; 1 Character; Optional

Specify the batch details.

Include Related Parties

Optional

Check this box if related parties details are to be included.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.2 Generating Transaction Enquiry Report

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

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

Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the unit holder ID. You can also select unit holder ID by clicking 'Find UH' button.

Transaction Type

Alphanumeric; 2 Characters; Optional

Specify the transaction type. Alternatively, you can select transaction type from the option list.

Transaction Currency

Alphanumeric; 3 Characters; Optional

Specify the transaction currency.

From Maker Date

Date Format; Optional

Select From Maker date from the adjoining calendar.

To Maker Date

Date Format; Optional

Select To Maker date from the adjoining calendar.

From Transaction Date

Date Format; Optional

Select From Transaction date from the adjoining calendar.

To Transaction Date

Date Format; Optional

Select To Transaction date from the adjoining calendar.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID from the option list.

AMC Code

Alphanumeric; 12 Characters; Optional

Specify the AMC code. Alternatively, you can select AMC code from the option list.

Agent Code

Alphanumeric; 12 Characters; Optional

Specify the agent code. Alternatively, you can select agent code from the option list.

Allocation From Date

Date Format; Optional

Select Allocation From date from the adjoining calendar.

Allocation To Date

Date Format; Optional

Select the allocation To date from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

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

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

3.9.2.1 Fields in Transaction Enquiry Report Screen

Unit Holder ID

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

From Maker Date, To Maker Date

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

From Transaction Date, To Transaction Date

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

From Allocation Date, To Allocation Date

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

AMC

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

Distributor

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

Fund ID

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

Transaction Type

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

Currency

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

3.9.3 Generating IPO Transactions - By Fund

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

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

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

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

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

You can invoke the 'IPO By Fund' screen by typing 'UTR00060' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows the 'IPO - By Fund' application window. The window title is 'IPO - By Fund'. The interface includes the following elements:

- From Date ***: A text input field with a calendar icon.
- To Date ***: A text input field with a calendar icon.
- Authorized/Unauthorized ?**: A dropdown menu currently set to 'Authorised'.
- Unit Holder ID**: A text input field with a search icon.
- Find UH**: A blue button located below the 'Unit Holder ID' field.
- Default Language**: A text input field with a search icon.
- Format**: A dropdown menu currently set to 'PDF'.
- Output**: A dropdown menu currently set to 'View'.
- Print At**: A dropdown menu currently set to 'Client'.
- Printer**: A text input field with a search icon.
- Ok** and **Exit**: Two buttons located at the bottom right of the window.

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

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Default Language

Alphanumeric; 14 Characters; Optional

Specify the default language.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.4 Generating IPO Transactions - By Payment Mode

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

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

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

You can invoke the 'IPO - By Payment Mode' screen by typing 'UTR00061' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows the 'IPO-By Payment Mode' application window. The window title is 'IPO-By Payment Mode'. The interface includes the following elements:

- From Date:** A text input field with a calendar icon.
- To Date:** A text input field with a calendar icon.
- Unit Holder ID*:** A text input field with a search icon and a 'Find UH' button.
- Authorized/Unauthorized?:** A dropdown menu with 'Authorised' selected.
- Format:** A dropdown menu with 'PDF' selected.
- Output:** A dropdown menu with 'View' selected.
- Print At:** A dropdown menu with 'Client' selected.
- Printer:** A text input field with a search icon.
- Buttons:** 'Ok' and 'Exit' buttons at the bottom right.

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

From Date and To Date

Date Format; Optional

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.5 Generating Subscription By Fund Report

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

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

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

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

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

You can invoke the 'Subscription - By Fund' screen by typing 'UTR00053' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows the 'Subscription-By Fund' application window. The window title is 'Subscription-By Fund'. The interface includes the following elements:

- Authorized/Unauthorized?:** A dropdown menu with 'Authorized' selected.
- From Date *:** A date picker field.
- To Date *:** A date picker field.
- Unit Holder ID:** A text input field with a 'Find UH' button below it.
- Default Language:** A text input field with a search icon to its right.
- Format:** A dropdown menu with 'PDF' selected.
- Output:** A dropdown menu with 'View' selected.
- Print At:** A dropdown menu with 'Client' selected.
- Printer:** A text input field with a search icon to its right.
- Buttons:** 'Ok' and 'Exit' buttons are located at the bottom right of the window.

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

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Default Language

Alphanumeric; 14 Characters; Optional

Specify the default language.

Format

Optional

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

- PDF
- HTML
- Excel

- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.6 Generating Subscription - By Payment Mode Report

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

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

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

You can invoke the 'Subscription - By Payment Mode' screen by typing 'UTR00054' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

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

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Language

Alphanumeric; 14 Characters; Optional

Specify the default language.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.7 **Generating Subscription Pay-In Slip Report**

The report displays the pay in slip for all the funds and transaction that has processed. This pay in slip is used to deposit the checks to the bank to remit the money in the respective fund account.

You can generate pay in slip using 'Pay-In Slip' screen. You can invoke this screen by typing 'UTR00157' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

The screenshot shows a software window titled "Sub. Pay-In Slip". Inside the window, there is a header "Subscription Pay-In Slip". Below the header, there is a text input field labeled "Printer Id*" with a search icon to its right. Underneath, there are two columns of controls. The left column contains a "Format" dropdown menu currently set to "PDF" and an "Output" dropdown menu currently set to "View". The right column contains a "Print At" dropdown menu currently set to "Client" and a "Printer" text input field with a search icon to its right. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

Subscription Pay-In Slip

Printer Id

Alphanumeric; 15 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.8 Generating Redemption - By Fund Report

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

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

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

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

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

You can invoke the 'Redemption - By Fund' screen by typing 'UTR00057' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

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

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Default Language

Alphanumeric; 14 Characters; Optional

Specify the default language.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.9 Generating Redemption-By Payment Mode Report

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

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

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

You can invoke the 'Redemption - By Payment Mode' screen by typing 'UTR00058' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

Redemption-By Payment Mode

Redemption by Payment Mode

Unit Holder ID Find UH

From Date *

To Date *

Authorized/Unauthorized ?

Default Language

Format

Output

Print At

Printer

Ok Exit

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

Redemption by Payment Mode

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the Amount received in the fund.

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Default Language

Alphanumeric; 14 Characters; Optional

Specify the default language.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

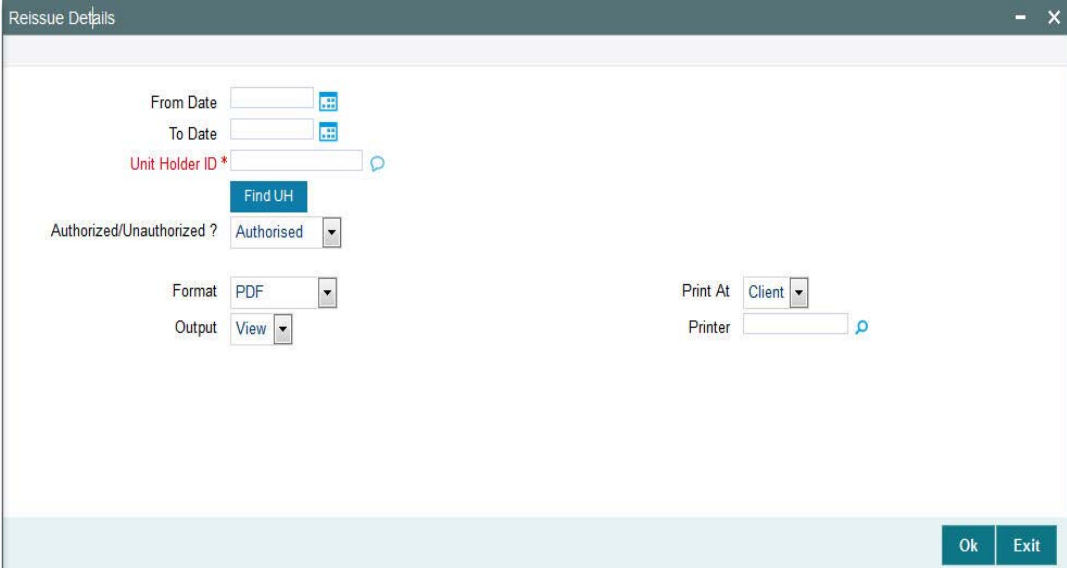
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.10 Generating Reissue Details Report

You can generate 'Reissue Details' report using 'Reissue Details' screen. You can invoke this screen by typing 'UTR00056' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



From Date and To Date

Date Format; Optional

Specify the dates that specify the period between which you want to view the reissue details.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Authorized/Unauthorized?

Optional

Select the status of the reissue details, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.11 Generating Split Details Report

You can generate 'Split Details' report using 'Split Details' screen. You can invoke this screen by typing 'UTR00055' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Split Details' application window. The window title is 'Split Details'. The interface includes the following elements:

- From Date:** A text input field with a calendar icon.
- To Date:** A text input field with a calendar icon.
- Authorized/Unauthorized?:** A dropdown menu currently set to 'Authorised'.
- Unit Holder ID*:** A text input field with a search icon.
- Find UH:** A blue button located below the 'Unit Holder ID*' field.
- Format:** A dropdown menu currently set to 'PDF'.
- Output:** A dropdown menu currently set to 'View'.
- Print At:** A dropdown menu currently set to 'Client'.
- Printer:** A text input field with a search icon.
- Buttons:** 'Ok' and 'Exit' buttons are located at the bottom right of the window.

You can specify the following details:

From Date and To Date

Date Format; Optional

Specify the dates that specify the period between which you want to view the split details.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Authorized/Unauthorized?

Optional

Select the status of the split details, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.12 Generating Daily Switch Transactions

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

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

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

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

You can generate Switches Details report using 'Switches Details' screen. You can invoke this screen by typing 'UTR00047' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Switches Details" with the following elements:

- Unit Holder ID: Find UH
- From Date*: (calendar icon)
- To Date*: (calendar icon)
- Authorized/Unauthorized?: (dropdown arrow)
- Format: (dropdown arrow)
- Output: (dropdown arrow)
- Print At: (dropdown arrow)
- Printer: (magnifying glass icon)
- Buttons: Ok, Exit

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Specify the dates that specify the period between which you want to view the split details.

Authorized/Unauthorized?

Optional

Select the status of the split details, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.13 Generating Daily Transfer Transactions

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

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

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

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

3.9.14 Generating Daily Block Transactions

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

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

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

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

3.9.15 Generating Daily Unblock Transactions

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

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

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

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

3.9.16 Generating Daily Split Transactions

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

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

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

3.9.17 Generating Daily Consolidation Transactions

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

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

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

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

3.9.18 Generating Daily Reissue Transactions

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

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

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

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

3.9.19 Generating Fee Incentive Details Report

You can generate fee incentive details using 'Fee Incentive Detail' screen. You can invoke this screen by typing 'UTR00036' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Fee Incentive Detail' application window. The window title is 'Fee Incentive Detail'. The main area is titled 'User Information' and contains several input fields and dropdown menus. The fields are: 'From Date' (date picker), 'To Date' (date picker), 'Fund ID' (text field with a search icon), 'From Entity Type' (text field with a search icon), 'From Entity' (text field), 'To Entity Type' (text field with a search icon), 'To Entity' (text field), and 'Load ID' (text field with a search icon). Below these is a 'Free Transaction' dropdown menu set to 'Yes'. At the bottom, there are 'Format' (PDF) and 'Output' (View) dropdowns on the left, and 'Print At' (Client) and 'Printer' (text field with a search icon) on the right. 'Ok' and 'Exit' buttons are at the bottom right.

You can specify the following details:

User Information

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the fee incentive details.

Fund ID

Alphanumeric; 6 Characters; Optional

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

From Entity Type

Alphanumeric; 1 Character; Optional

Specify the From entity type. Alternatively, you can select From Entity Type from the option list. The list displays all valid From Entity Type maintained in the system.

From Entity

Display

The system displays the From entity details for the selected From Entity Type.

To Entity Type

Alphanumeric; 1 Character; Optional

Specify the To entity type. Alternatively, you can select To Entity Type from the option list. The list displays all valid To Entity Type maintained in the system.

To Entity

Display

The system displays the To entity details for the selected To Entity Type.

Load ID

Numeric; 5 Characters; Optional

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

Free Transaction

Optional

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

- Yes
- No

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.20 Generating Fee Incentive Cheque Report

You can generate fee incentive cheque details using 'Fee Incentive Cheque' screen. You can invoke this screen by typing 'UTR00156' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Fee Incentive Cheque" with the following fields and controls:

- Registrar ID: Text input field
- ID: Text input field
- Cheque Printing Sort Order: Dropdown menu (selected: Broker Name)
- Format: Dropdown menu (selected: PDF)
- Output: Dropdown menu (selected: View)
- Print At: Dropdown menu (selected: Client)
- Printer: Text input field
- Buttons: Ok, Exit

You can specify the following details:

Registrar ID

Alphanumeric; 1000 Characters; Optional

Specify the registrar ID.

ID

Numeric; 22 Characters; Optional

Specify the fee incentive ID details.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The list displays the following values:

- Zip Code
- Broker Name

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.21 Generating Fee Incentive DDs Report

You can generate fee incentive DD details using 'Fee Incentive DDs' screen. You can invoke this screen by typing 'UTR00161' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a software window titled "Fee Incentive DDs". Inside, there is a section labeled "Fee Incentive Details". This section contains several input fields and dropdown menus: "Registrar ID" (text input), "ID" (text input), "Cheque Printing Sort Order" (dropdown menu), "Zip Code" (dropdown menu), "Format" (dropdown menu set to "PDF"), "Output" (dropdown menu set to "View"), "Print At" (dropdown menu set to "Client"), and "Printer" (text input). At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

Fee Incentive Details

Registrar ID

Alphanumeric; 1000 Characters; Optional

Specify the registrar ID.

ID

Numeric; 22 Characters; Optional

Specify the fee incentive ID details.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The list displays the following values:

- Zip Code
- Broker Name

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.22 Generating Fee Incentive Others Report

You can generate fee incentive other details using 'Fee Incentive Others' screen. You can invoke this screen by typing 'UTR00163' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Fee Incentive Others" with the following fields and controls:

- Registrar ID: Text input field with a search icon.
- ID: Text input field.
- Cheque Printing Sort Order: Dropdown menu with "Zip Code" selected.
- Format: Dropdown menu with "PDF" selected.
- Output: Dropdown menu with "View" selected.
- Print At: Dropdown menu with "Client" selected.
- Printer: Text input field with a search icon.
- Buttons: "Ok" and "Exit" buttons at the bottom right.

You can specify the following details:

Registrar ID

Alphanumeric; 1000 Characters; Optional

Specify the registrar ID.

ID

Numeric; 22 Characters; Optional

Specify the fee incentive ID details.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The list displays the following values:

- Zip Code
- Broker Name

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.23 Generating Block Details Report

You can generate block details report using 'Block Details' screen. You can invoke this screen by typing 'UTR00042' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Authorized/Unauthorized?

Optional

Select if the block details are authorized or unauthorized from the drop-down list.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the block details.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.24 Generating Un-Block Details Report

You can generate un-block details report using 'Un-Block Details' screen. You can invoke this screen by typing 'UTR00064' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Un-Block Details

Unblock

Unit Holder ID

Find UH

From Date *

To Date *

Authorization Status

Format

Output

Print At

Printer

Ok Exit

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the un-block details.

Authorization Status?

Optional

Select if the un-block details are authorized or unauthorized from the drop-down list.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

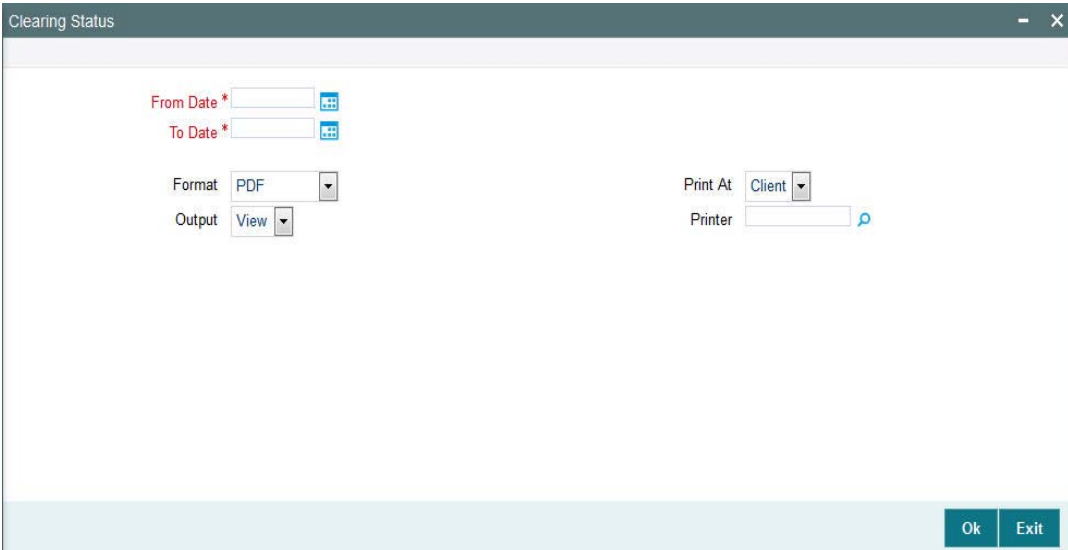
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.25 Generating Clearing Status Report

You can generate clearing status report using 'Clearing Status' screen. You can invoke this screen by typing 'UTR00043' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the clearing status details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client

- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.26 Generating Consolidation Detail Report

You can generate consolidated report using 'Consolidation Status' screen. You can invoke this screen by typing 'UTR00059' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view the consolidation details.

Authorized/Unauthorized?

Optional

Select if the consolidation details are authorized or unauthorized from the drop-down list.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

Format

Optional

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

- PDF
- HTML
- Excel

- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.27 Generating Delivery Confirmation Report

You can generate delivery confirmation report using 'Delivery Confirmation' screen. You can invoke this screen by typing 'UTR00172' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify From transaction number.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify To transaction number.

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify From unit holder ID. You can also query for unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify To unit holder ID. You can also query for unit holder ID by clicking 'Find' button.

Header Display

Alphanumeric; 1000 Characters; Optional

Specify the header details to be displayed in the report.

Footer Display

Alphanumeric; 1000 Characters; Optional

Specify the footer details to be displayed in the report.

Duplicate Required

Optional

Select 'Yes' from drop-down list if duplicate report is required. Else select 'No'.

From Batch

Alphanumeric; 1000 Characters; Optional

Specify From Batch details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.28 Generating Print Certificate

You can print certificate using 'Print Certificate' screen. You can invoke this screen by typing 'UTR00133' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

User Information

Fund ID

Alphanumeric; 6 Characters; Optional

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

Certificate Number

Numeric; 22 Characters; Optional

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

Issue Id

Alphanumeric; 20 Characters; Optional

Specify the issue ID.

Supervisor Id

Alphanumeric; 20 Characters; Optional

Specify the supervisor ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

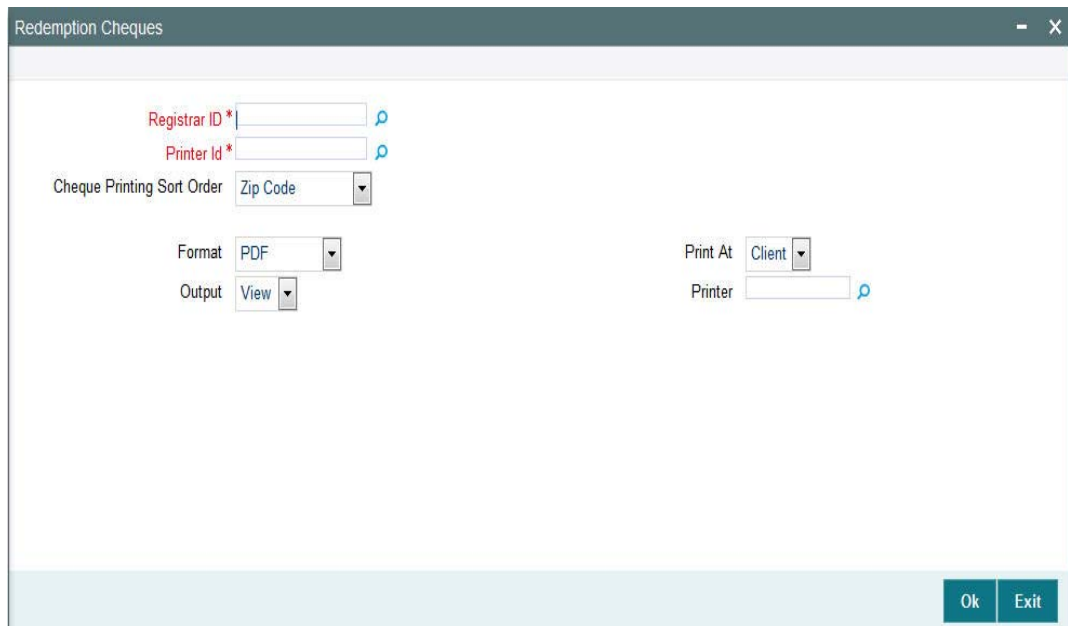
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.29 Generating Redemption Cheques Report

You can generate redemption cheques report using 'Redemption Cheques' screen. You can invoke this screen by typing 'UTR00155' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Registrar ID

Alphanumeric; 16 Characters; Optional

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

Printer Id

Alphanumeric; 15 Characters; Optional

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

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The list displays the following values:

- Zip Code
- Unit Holder Name

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)

- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.30 Generating Redemption DDs Report

The redemption DD are printed once the allocation of redemption units is made for the unit holder in the respective fund where investor has opted for redemption payout and payment option as DD/ Cheque.

You can generate redemption DDs details report using 'Redemption DDs' screen. You can invoke this screen by typing 'UTR00160' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Registrar ID

Alphanumeric; 16 Characters; Optional

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

ID

Alphanumeric; 15 Characters; Optional

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

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The list displays the following values:

- Zip Code
- Unit Holder Name

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.31 Generating Redemption Payout Report

You can generate redemption Payout report using 'Redemption Payout' screen. You can invoke this screen by typing 'UTR00189' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Redemption Payout" with the following fields and controls:

- From Unit Holder ID:
- To Unit Holder ID:
- From Date: (with a calendar icon)
- To Date: (with a calendar icon)
- AMC Code:
- Fund Category:
- Fund ID: (with a search icon)
- Format: (dropdown)
- Output: (dropdown)
- Print At: (dropdown)
- Printer: (with a search icon)
- Buttons: Ok, Exit

You can specify the following details:

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify From unit holder ID.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify To unit holder ID.

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view the redemption payout details.

AMC Code

Alphanumeric; 12 Characters; Optional

Specify the AMC code.

Fund Category

Alphanumeric; 2 Characters; Optional

Specify the fund category.

Fund ID

Alphanumeric; 6 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.32 Generating Transaction Category Mismatch Report

You can generate the transaction category mis-match record using 'Transaction Category Mismatch' report. You can invoke this screen by typing 'UTRTXCTR' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Transaction Category Mismatch" with the following fields and controls:

- From Date ***: A date input field with a calendar icon.
- To Date ***: A date input field with a calendar icon.
- Current Transaction Category**: A text input field with a search icon.
- Description**: A text input field with a search icon.
- Original Transaction Category**: A text input field with a search icon.
- Description**: A text input field with a search icon.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a search icon.

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

You can specify the following details:

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the Transaction category mismatch details.

Current Transaction Category

Alphanumeric; 25 Characters; Optional

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

Description

Display

The system displays the description for the selected current transaction category.

Original Transaction Category

Alphanumeric; 25 Characters; Optional

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

Description

Display

The system displays the description for the selected original transaction category.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

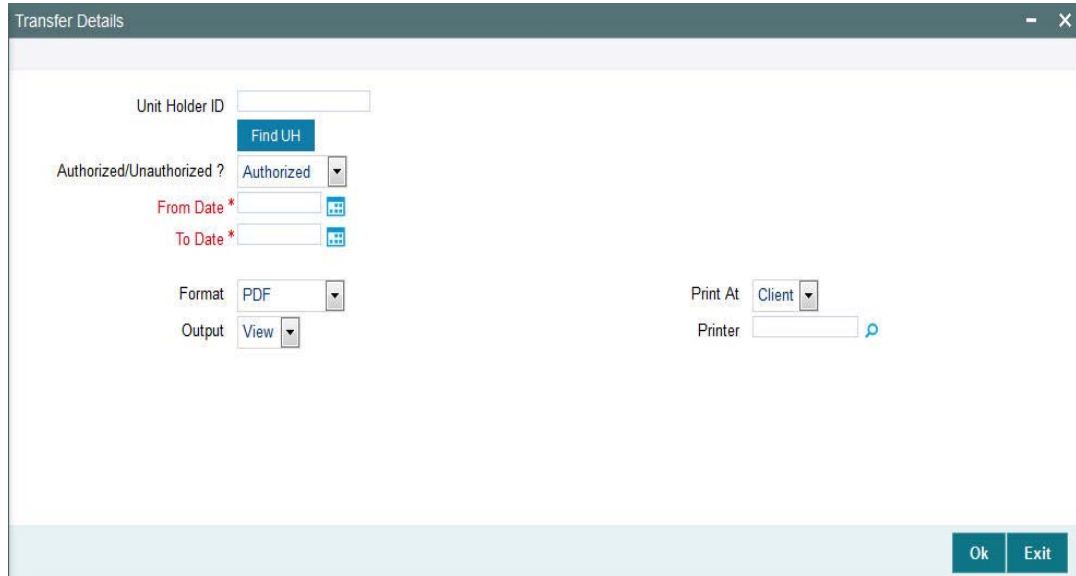
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.33 Generating Transfer Details Report

You can generate transfer details report using 'Transfer Details' screen. You can invoke this screen by typing 'UTR00102' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

Authorized/Unauthorized?

Optional

Select if the consolidation details are authorized or unauthorized from the drop-down list.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the transfer details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.9.34 Generating Transfer Confirmation Report

You can view the transfer confirmation report using 'Transfer Confirmation' screen. The output will be Market value in currency of expression and price in currency of expression. You can invoke 'Transfer Confirmation' screen by typing 'UTR00100' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows the 'TransferConfirmation' application window. It contains the following fields and controls:

- Fund ID: Text input field with a search icon.
- Fund Identification Number: Text input field.
- From Transaction Number: Text input field.
- To Transaction Number: Text input field.
- From Unit Holder ID: Text input field with a 'Find' button below it.
- To Unit Holder ID: Text input field with a 'Find' button below it.
- From Date: Text input field with a calendar icon.
- To Date: Text input field with a calendar icon.
- Header Display: Text input field with a search icon.
- Footer Display: Text input field with a search icon.
- Duplicate Required: Dropdown menu with 'No' selected.
- Communication Mode: Text input field with a search icon.
- From Batch: Dropdown menu with 'Yes' selected.
- Include Related Parties: Checkable checkbox.
- Format: Dropdown menu with 'PDF' selected.
- Output: Dropdown menu with 'View' selected.
- Print At: Dropdown menu with 'Client' selected.
- Printer: Text input field with a search icon.

At the bottom right, there are 'Ok' and 'Exit' buttons.

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

From Date

Date Format; Optional

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

To Date

Date Format; Optional

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

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

Duplicate Required

Optional

Select if duplication of record is required or not from the drop-down list. The list displays the following values:

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Optional

Select 'Yes' from drop-down list if From batch has to be selected.

Include Related Parties

Optional

Check this box if related parties details are to be included.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.9.35 Generating Transaction and Status Report

You can generate transaction and status report using 'Txn. and Status' screen. You can invoke this screen by typing 'UTR00187' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

You can specify the following details:

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find UH' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find UH' button.

From Date

Date Format; Mandatory

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

To Date

Date Format; Mandatory

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

AMC Code

Alphanumeric; 12 Characters; Optional

Specify the AMC code. Alternatively, you can select AMC code from the option list.

Fund Type

Alphanumeric; 38 Characters; Optional

Specify the type of fund.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID from the option list.

Transaction Type

Alphanumeric; 2 Characters; Optional

Specify the type of transaction. Alternatively, you can select transaction type from the option list.

Transaction Status

Optional

Select the transaction status from the drop-down list. The list displays the following values:

- Order Placed

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.10 UH Info Reports

This section contains the following topics:

- [Section 3.10.1, "UH Info Reports Details"](#)
- [Section 3.10.2, "Generating Unit Holder Acknowledgment"](#)
- [Section 3.10.3, "Generating Unit Holder Dividend Details Report"](#)
- [Section 3.10.4, "Generating Unit Holder Zero Balance Report"](#)

3.10.1 UH Info Reports Details

These reports display information regarding unit holder / CIF accounts.

3.10.2 Generating Unit Holder Acknowledgment

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

You can invoke the 'Acknowledgement' screen by typing 'UTR00095' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Acknowledgement' application window. It features a search interface with the following elements:

- Authorized/Unauthorized ?**: A dropdown menu currently showing 'Authorized'.
- Unit Holder ID**: A text input field with a 'Find UH' button below it.
- A/C Opening Date**: A text input field with a calendar icon to its right.
- Header Display** and **Footer Display**: Text input fields with help icons to their right.
- Include Related Parties**: A checkbox.
- Format**: A dropdown menu set to 'PDF'.
- Output**: A dropdown menu set to 'View'.
- Print At**: A dropdown menu set to 'Client'.
- Printer**: A text input field with a help icon to its right.

At the bottom right of the window, there are 'Ok' and 'Exit' buttons.

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

Authorized/Unauthorized?

Optional

Select the status of the transaction, whether authorized or unauthorized from the drop-down list. The list displays the following values:

- Authorized
- Unauthorized

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder whose specific account you want to generate. You can also search unit holder ID by clicking 'Find UH' button.

Account Opening Date

Date Format; Optional

Select the date on which you want to view all the unit holder accounts opened from the adjoining calendar.

Header Display

Alphanumeric; 255 Characters; Mandatory

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Mandatory

Specify the footer details to be displayed.

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.10.3 Generating Unit Holder Dividend Details Report

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

- The name, address and ID of the unit holder whose dividend payment details are being displayed in this report.
- The name of the fund for which the dividend declaration and payment was made.
- The payment date for the payment cycle that is being viewed.
- The total dividend paid to the unit holder, the tax deducted and the net dividend paid out for the particular payment cycle. (This represents the dividend distributed for the payment cycle under view)
- The payment details as under the following:
 - Total payment amount (i.e., the pay out component of the dividend)
 - Amounts paid out by check and amounts paid out by transfer.
 - The check details (Bank and branch of issue, date of issue and check number)
 - The transfer details (Bank and branch name, account type and account number)
- The reinvestment details as under the following:
 - The Reinvestment Unit Holder ID and Name
 - The Reinvestment Fund ID and Name
 - The amount reinvested in each Unit Holder ID/Fund combination
 - The reinvestment transaction numbers
- The earnings by components as under:
 - The ID and description of the component which the unit holder has derived a portion of his income from.
 - The breakup of the earnings of the unit holder by component. Each figure in the breakup represents the summation of the product of the component value and the Freeze Holding Units for each declaration in the Payment Cycle.

You can invoke the 'Dividend Details' screen by typing 'UTR00070' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund for which the dividend was declared, that resulted in dividend payment to unit holders.

Fund Identification Number

Display

The system displays the fund identification number.

Payment Number

Numeric; 22 Characters; Mandatory

Specify the number of the dividend payment.

Corporate Action

Alphanumeric; 1 Character; Mandatory

Specify the corporate action.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.10.4 Generating Unit Holder Zero Balance Report

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

You can invoke the 'Zero Balance Details' screen by typing 'UTR00044' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a web-based application window titled "Zero Balance Details". The window contains the following elements:

- Zero Balance Date ***: A text input field with a calendar icon to its right.
- Fund ID ***: A text input field with a magnifying glass icon to its right.
- Fund Identification Number**: A text input field.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a magnifying glass icon to its right.
- Buttons**: "Ok" and "Exit" buttons located at the bottom right of the window.

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

Zero Balance Date

Date Format; Mandatory

Select the zero balance date from the adjoining calendar.

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID.

Fund Identification Number

Display

The system displays the fund identification number.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

3.11 Unit Holder Reports

This section contains the following topics:

- [Section 3.11.1, "Printing Account Statements"](#)
- [Section 3.11.2, "Generating Auto Investment Reminder Report"](#)
- [Section 3.11.3, "Generating Unit Holder Holdings Summary Report"](#)
- [Section 3.11.4, "Generating Unit Holder Withholding Tax Report"](#)
- [Section 3.11.5, "Generating Covering Letter"](#)
- [Section 3.11.6, "Generating Debit Credit Statement"](#)
- [Section 3.11.7, "Generating Print Dividend DD Report"](#)
- [Section 3.11.8, "Generating Other Print Dividend Report"](#)
- [Section 3.11.9, "Generating Print Dividend Cheques"](#)
- [Section 3.11.10, "Generating IT3B Report"](#)
- [Section 3.11.11, "Generating Transaction Statement Report"](#)
- [Section 3.11.12, "Generating Dividend Received Report"](#)
- [Section 3.11.13, "Generating Portfolio and Tax Report"](#)

3.11.1 Printing Account Statements

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

In case the fund is a currency of expression fund, the output to show the UH currency of expression, total value in UH currency of expression, NAV in currency of expression; else this will be shown as blank.

You must specify the Fund ID, unit holder ID range, date range and report language as mandatory information to generate the report. Also, indicate whether the market value of the investor's holdings is 'Latest' or as of the report's 'To date'.

In case the fund is a currency of expression fund, the output will be the UH currency of expression, total value in UH currency of expression, NAV in currency of expression; else this will be shown as blank.

You can invoke the 'Account. Statement' screen by typing 'UTR00137' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Account Statement' application window. It features a search bar for 'Fund ID' with a magnifying glass icon. Below it is a disabled 'Fund Identification Number' field. There are two 'From Unit Holder ID *' and 'To Unit Holder ID *' fields, each with a blue 'Find' button. Date selection is handled by 'From Date *' and 'To Date *' fields with calendar icons. A 'Market Value' dropdown is set to 'Latest', and an 'Include Related Parties' checkbox is present. At the bottom, there are 'Format' (PDF) and 'Output' (View) dropdowns, a 'Print At' dropdown (Client), and a 'Printer' field with a search icon. 'Ok' and 'Exit' buttons are located in the bottom right corner.

3.11.1.1 Fields in Account Statement screens

Fund ID

Alphanumeric, 6 Characters; Optional

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

Fund Identification Number

Display

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

From Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify From unit holder ID for whom the Account Statement is to be printed.

You can also search From unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify To unit holder ID for whom the Account Statement is to be printed.

You can also search To unit holder ID by clicking 'Find' button.

From Date and To Date

Date Format; Mandatory

Select From Date and To date from the adjoining calendar.

Market Value

Optional

Select the market value from the drop-down list. The list displays the following values:

- Latest
- To Date

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.2 Generating Auto Investment Reminder Report

This report will print the details of redemption transaction for which payment is held back due to the unit holder being FICA non-compliant. The report also displays the Auto Investment date i.e. the date on which the redemption will be automatically invested back in the fund. You

can invoke the 'Auto Invest Reminder' screen by typing 'UTR00212' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Auto Invest Reminder". Inside the window, there are two text input fields: "Fund ID" and "Unit Holder ID". Below the "Unit Holder ID" field is a blue button labeled "Find UH". To the left of the "Format" and "Output" labels are two dropdown menus; "Format" is currently set to "PDF" and "Output" is set to "View". To the right, there is a "Print At" dropdown menu set to "Client" and a "Printer" text input field. At the bottom right corner of the window, there are two buttons: "Ok" and "Exit".

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also search for unit holder ID by clicking 'Find UH' button

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'OK' button to generate the report.

3.11.3 Generating Unit Holder Holdings Summary Report

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

This report will have two parts:

- Distribution By Nationality
- Distribution By Holdings

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

The screenshot shows a window titled "Holdings Details" with a search bar for "Fund ID*" and several dropdown menus for "Format" (PDF), "Output" (View), "Print At" (Client), and "Printer". There are "Ok" and "Exit" buttons at the bottom right.

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.3.1 Fields in Unit Holder Holdings Summary Report Screen

The screenshot shows a PDF report titled "Unit Holder Holdings Report" for OMSTA, dated 11/1/2008. The report is displayed in Adobe Reader. The report content includes the following tables:

Unit Holder Holdings Report as of 11/1/2008

Corporate Fund ID: NFUND20
Fund ID: NF100000020

No. of Unitholders	No. of Units	% of Units	No. of Unitholders	No. of Units	% of Units	No. of Unitholders	No. of Units	% of Units
Distribution By Nationality								
All								
Local	13.00	270,580.09	100.00	0.00	0.00	0.00	13.00	270,580.09
Foreign	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total	13.00	270,580.09	100.00	0.00	0.00	13.00	270,580.09	100.00

Fund Details

Standard List Equals	0.00	Par value	10.00
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Printed on: 11/14/2007 4:54:55PM Omnia Registrar Page 1 of 1

Fund ID

6 Character Maximum, Alphanumeric, Display

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

Fund Name

20 Character Maximum, Alphanumeric, Display

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

Part A (Main)**Distribution by Nationality**

Type

1 Character Maximum, Alphanumeric, Display

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

Number

Numeric, Display

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

Units

Numeric, Display

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

Percentage of Units

Numeric, Display

This shows the percentage based on Units.

Part A (Sub)**Distribution by Investor type**

Type

1 Character Maximum, Alphanumeric, Display

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

Number

Numeric, Display

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

Units

Numeric, Display

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

Percentage of Units

Numeric, Display

This displays the percentage based on Units.

Part B (Main)**Distribution by Holdings**

Type

1 Character Maximum, Alphanumeric, Display

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

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

- Holdings not over one board lot

Number

Numeric, Display

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

Units

Numeric, Display

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

Percentage of Units

Numeric, Display

This is the percentage based on Units.

Part B (Sub)**Distribution by Investor type**

Type

1 Character Maximum, Alphanumeric, Display

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

Number

Numeric, Display

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

Units

Numeric, Display

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

Percentage of Units

Numeric, Display

This is the percentage based on Units.

3.11.4 Generating Unit Holder Withholding Tax Report

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

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

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

The screenshot shows a software window titled "Withholding Tax". Inside, there is a section labeled "User Information" containing several input fields and controls. The fields are: "Fund ID *" (text input), "Fund Identification Number" (text input), "Payment Number *" (text input), "Investor Category" (text input), "Investor Category Name" (text input), "Investor Status" (a dropdown menu currently showing "Resident"), and an "Include Related Parties" checkbox. Below these fields, there are two pairs of dropdown menus: "Format" (set to "PDF") and "Output" (set to "View") on the left; and "Print At" (set to "Client") and "Printer" (empty) on the right. At the bottom right corner of the window, there are two buttons labeled "Ok" and "Exit".

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

Fund ID

Alphanumeric; 6 Characters; Input

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

Fund Identification Number

Display

The system displays the Name of the fund for which the Unit Holder Withholdings tax form is printed.

Payment Number

Numeric; 22 Characters; Mandatory

Specify the payment number.

Investor Category

Alphanumeric; 6 Characters; Optional

Specify the investor category.

Investor Category Name

Alphanumeric; 255 Characters; Optional

Specify the investor category name.

Investor Status

Optional

Select the investor status from the option list. The list displays the following values:

- Resident
- Foreign

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

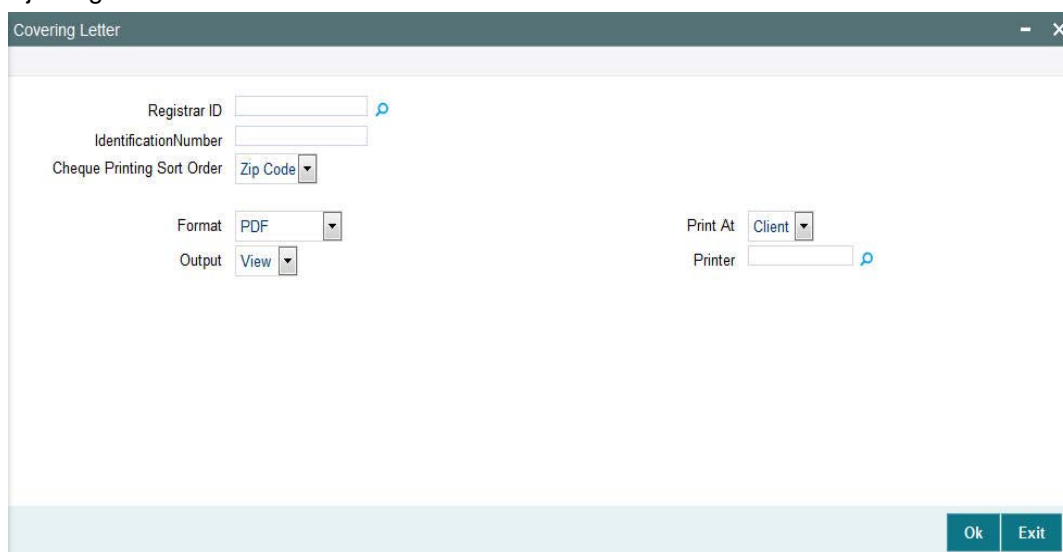
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.5 Generating Covering Letter

You can generate the covering letter for corporate action benefits given to unit holder using 'Covering Letter' screen. Based on the Registrar ID, identification number, and cheque printing sort order the covering letters are to be printed. You can invoke this screen by typing

'UTR00154' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Registrar ID

Alphanumeric; 12 Characters; Optional

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

Identification Number

Alphanumeric; 12 Characters; Optional

Specify the identification number.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The system displays the following values:

- Zip Code

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.6 Generating Debit Credit Statement

You can generate debit and credit statement using 'DR CR Statement' screen. You can invoke this screen by typing 'UTR00169' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

From Date

Date Format; Optional

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

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Fund Identification Number

Display

The system displays the fund identification number.

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

To Date

Date Format; Optional

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

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

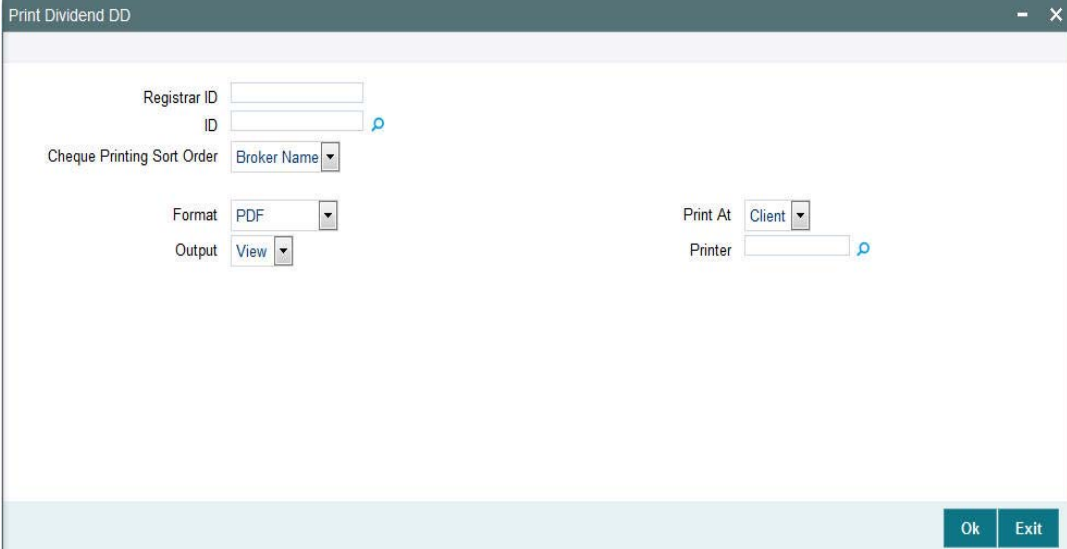
Specify the printer details from adjoining option list.

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

3.11.7 Generating Print Dividend DD Report

The dividend DD are printed once the allocation of dividend units is made for the unit holder in the respective fund where investor has opted for dividend payout and payment option as DD/Cheque.

You can generate print dividend report using 'Print Dividend Cheque'. You can invoke this screen by typing 'UTR00158' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Registrar ID

Alphanumeric; 12 Characters; Optional

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

Identification Number

Alphanumeric; 12 Characters; Optional

Specify the identification number.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The system displays the following values:

- Broker Name
- Zip Code

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)

- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.8 Generating Other Print Dividend Report

You can invoke 'Print Div Others' screen by typing 'UTR00159' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

Registrar ID

Alphanumeric; 12 Characters; Optional

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

Identification Number

Alphanumeric; 12 Characters; Optional

Specify the identification number.

Cheque Printing Sort Order

Optional

Select the cheque printing sort order from the drop-down list. The system displays the following values:

- Broker Name
- Zip Code

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.9 Generating Print Dividend Cheques

You can print the dividend cheques using 'Print Div Cheques' screen. You can invoke this screen by typing 'UTR00123' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Print Div Cheques' application window. The window title is 'Print Div Cheques'. The interface includes the following elements:

- Dividend Cheque Type:** A dropdown menu with '1' selected.
- Registrar ID*:** A text input field with a search icon.
- Fund ID*:** A text input field with a search icon.
- Fund Identification Number:** A text input field.
- Check Number:** A text input field.
- Payment Number*:** A text input field with a search icon.
- From Serial Number:** A text input field.
- To Serial Number:** A text input field.
- Format:** A dropdown menu with 'PDF' selected.
- Output:** A dropdown menu with 'View' selected.
- Print At:** A dropdown menu with 'Client' selected.
- Printer:** A text input field with a search icon.
- Buttons:** 'Ok' and 'Exit' buttons at the bottom right.

You can specify the following details:

Dividend Cheque Type

Optional

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

- 1
- 2
- 3
- 4

Registrar ID

Alphanumeric; 12 Characters; Mandatory

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Fund Identification Number

Display

The system displays the fund identification number for the selected fund ID.

Check Number

Alphanumeric; 16 Characters; Optional

Specify the cheque number.

Payment Number

Alphanumeric; 5 Characters; Mandatory

Specify the payment number.

From Serial Number

Alphanumeric; 25 Characters; Optional

Specify the serial number from where the dividend cheque needs to be printed.

To Serial Number

Alphanumeric; 25 Characters; Optional

Specify the serial number till where the dividend cheque needs to be printed.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

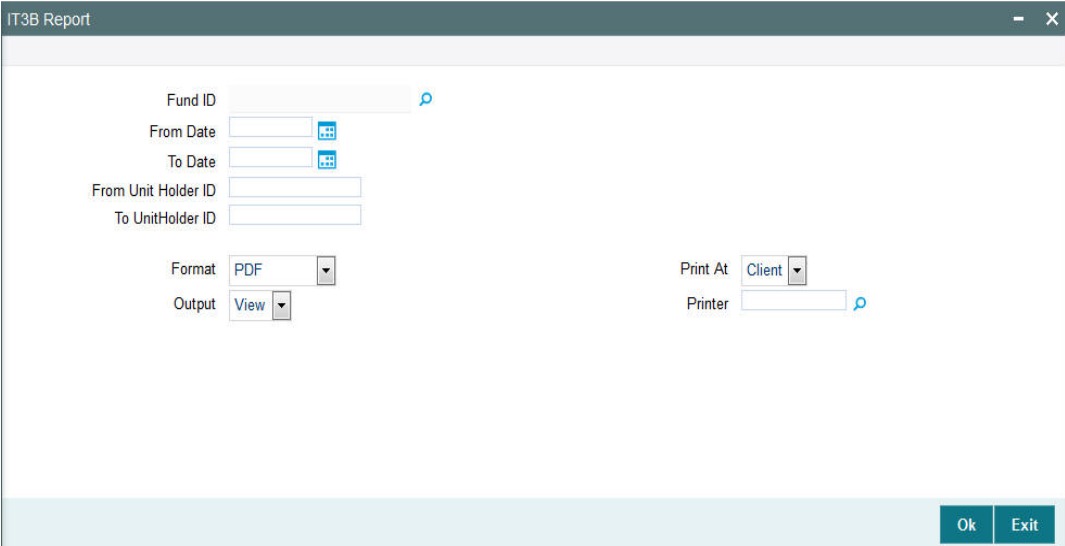
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.10 Generating IT3B Report

You can generate IT3B report using 'IT3B Report' screen. You can invoke this screen by typing 'UTR00164' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view IT3B details.

From Unit Holder ID and To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the From and To unit holder ID for whom IT3B statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

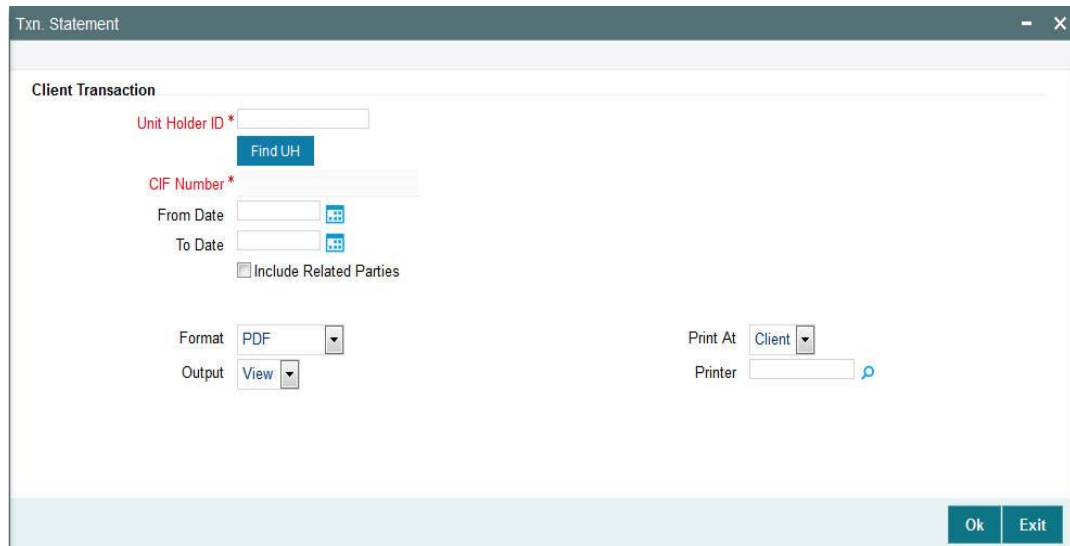
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.11 Generating Transaction Statement Report

You can generate transaction statement report using 'Txn. Statement' screen. You can invoke this screen by typing 'UTR00185' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Client Transaction

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also select unit holder ID by selecting 'Find UH' button.

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view transaction statement details.

Include Related Parties

Optional

Check this box to include related parties.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

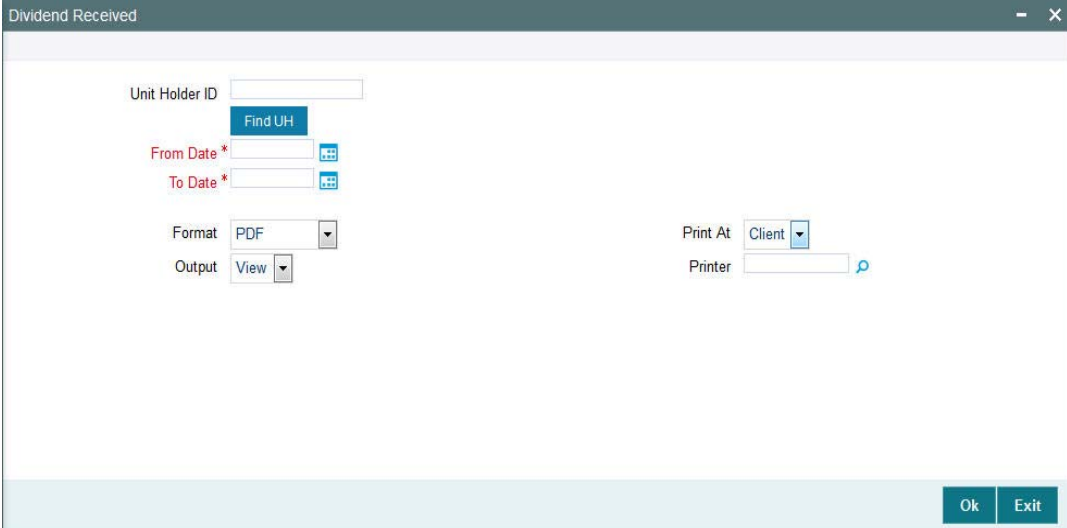
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.12 Generating Dividend Received Report

You can generate dividend received report using 'Dividend Received' screen. You can invoke this screen by typing 'UTR00186' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view Dividend Received details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.11.13 Generating Portfolio and Tax Report

You can generate portfolio and tax report using 'Portfolio and Tax' screen. You can invoke this screen by typing 'UTR00196' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Portfolio and Tax' application window. It features a search interface with the following elements:

- From Date *** and **To Date ***: Date selection fields with calendar icons.
- Unit Holder ID ***: A text input field for identifying the unit holder.
- Find UH**: A button to search for the unit holder ID.
- CIF Number**: A text input field for the CIF number.
- Format**: A dropdown menu currently set to 'PDF'.
- Output**: A dropdown menu currently set to 'View'.
- Print At**: A dropdown menu currently set to 'Client'.
- Printer**: A text input field for specifying the printer name.
- Ok** and **Exit**: Action buttons at the bottom right of the window.

You can specify the following details:

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view Dividend Received details.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID. You can also select unit holder ID by selecting 'Find UH' button.

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

Format

Optional

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

- PDF

- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

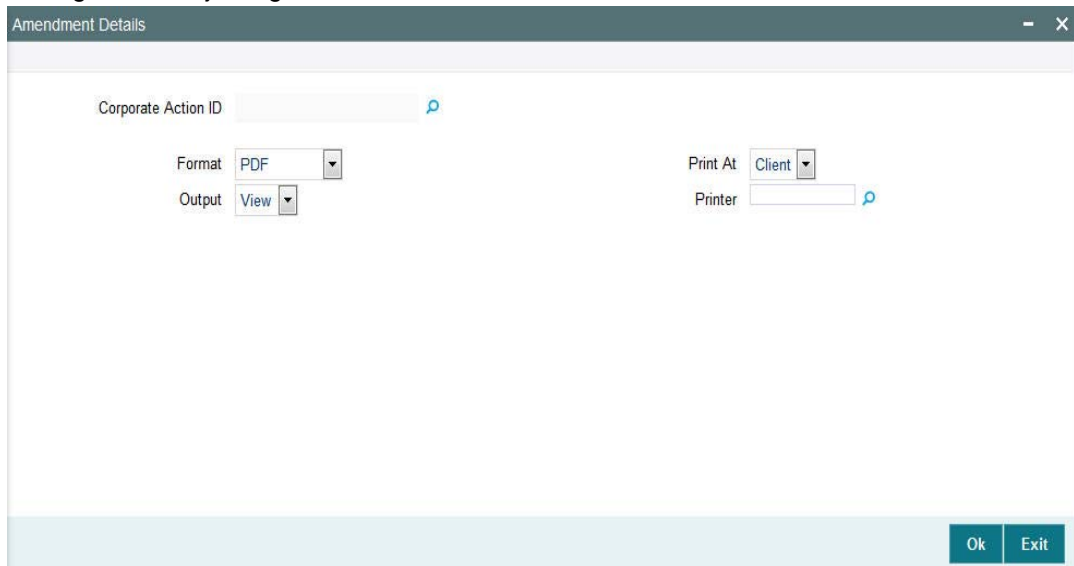
3.12 Corporate Action Reports

This section contains the following topics:

- [Section 3.12.1, "Generating Amendment Details"](#)
- [Section 3.12.2, "Generating Announcement Conf Reports"](#)
- [Section 3.12.3, "Generating Corporate Action Checks Report"](#)
- [Section 3.12.4, "Generating Modified Dividend Extract Report"](#)
- [Section 3.12.5, "Generating Modified Dividend Report"](#)
- [Section 3.12.6, "Generating Payout Details Report"](#)
- [Section 3.12.7, "Generating Payment Details Report"](#)

3.12.1 Generating Amendment Details

You can generate amendment details using 'Amendment Details' screen. You can invoke this screen by typing 'UTR00176' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Corporate Action ID

Numeric; 22 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client

- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.2 Generating Announcement Conf Reports

You can generate announcement conf report using 'Announcement Conf' screen. You can invoke this screen by typing 'UTR00182' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

You can specify the following details:

User Information

Report Type

Optional

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

- Announce
- Confirm

From Batch

Optional

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

- Yes
- No

Action Type

Alphanumeric; 1 Character; Optional

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

Serial Number

Numeric; 22 Characters; Optional

Specify the serial number.

Lag Type

Optional

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

- Daily

Lag

Numeric; 22 Characters; Optional

Specify the lag details.

Holiday Rule

Optional

Select the holiday rule to be applied. The list displays the following values:

- Prior
- After

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

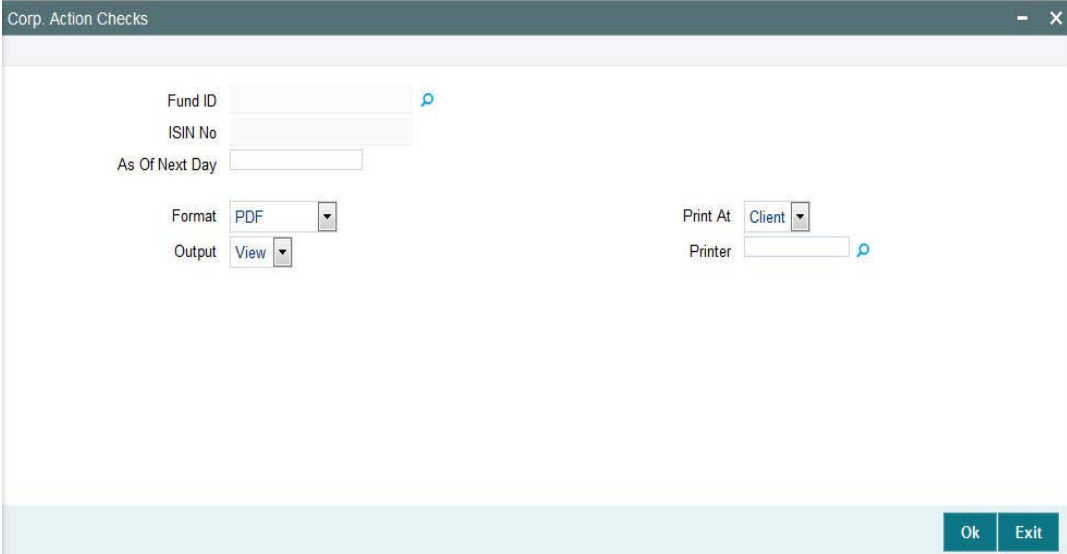
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.3 Generating Corporate Action Checks Report

You can generate corporate action check report using 'Corp Action Checks' screen. You can invoke this screen by typing 'UTR00173' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

ISIN Code

Display

The system displays the ISIN code for the selected fund ID.

As Of Next Day

Numeric; 22 Characters; Optional

Specify the as of next day details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View

- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

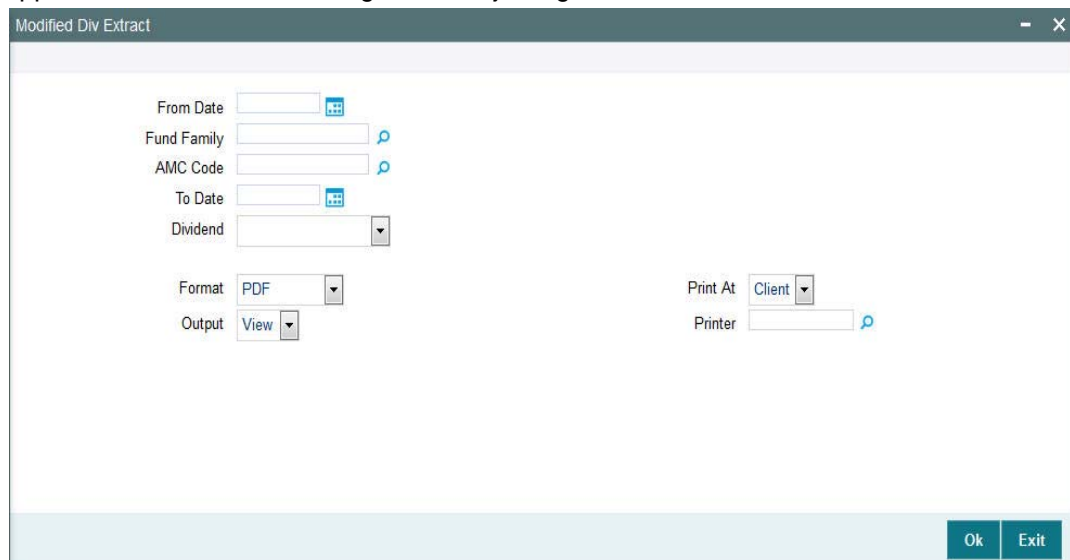
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.4 Generating Modified Dividend Extract Report

You can generate the modified dividend extract report using 'Modified Div Extract' screen. You can invoke this screen by typing 'UTR00191' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view the modified dividend extract details.

Fund Family

Alphanumeric; 6 Characters; Optional

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

AMC Code

Alphanumeric; 12 Characters; Optional

Specify the AMC code. Alternatively, you can select AMC code from the option list.

Dividend

Optional

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

- Payout-A/c Transfer
- Payout-Cheque
- Full Reinvestment

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

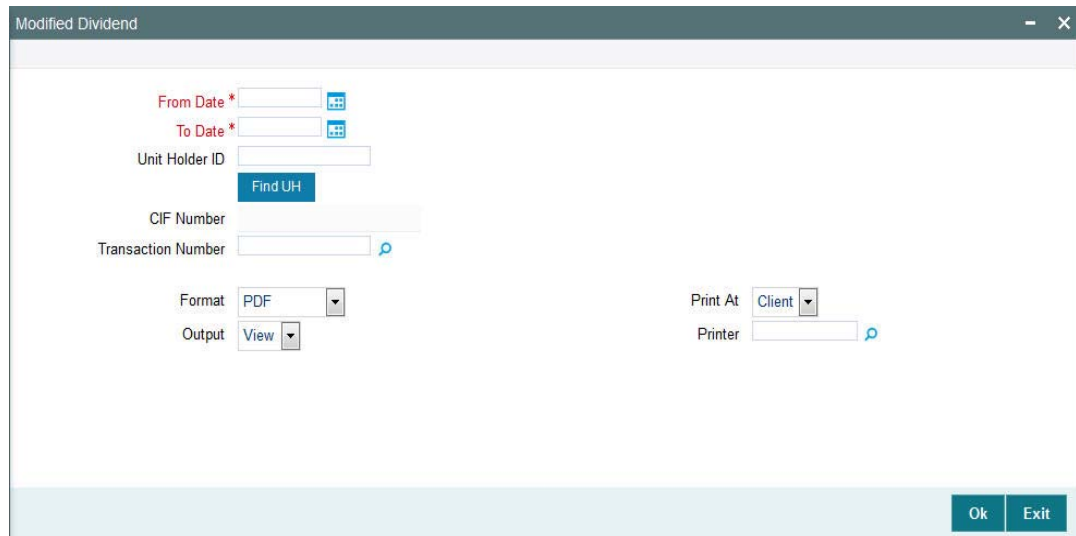
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.5 Generating Modified Dividend Report

You can generate modified dividend report using 'Modified Dividend' screen. You can invoke this screen by typing 'UTR00190' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the modified dividend extract details.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

CIF Number

Display

The system displays the CIF number for the selected unit holder ID.

Transaction Number

Alphanumeric; 22 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.6 Generating Payout Details Report

You can generate payout details report using 'Payout Details' screen. You can invoke this screen by typing 'UTR00188' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Payout Details' application window. It features a search area with 'From Unit Holder ID' and 'To Unit Holder ID' fields, each accompanied by a 'Find UH' button. Below these are 'From Date *' and 'To Date *' fields with calendar icons. Further down are 'AMC ID', 'Fund Type', and 'Fund ID' fields, each with a magnifying glass icon. At the bottom left, there are 'Format' (set to PDF) and 'Output' (set to View) dropdown menus. On the right side, there are 'Print At' (set to Client) and 'Printer' dropdown menus. At the bottom right, there are 'Ok' and 'Exit' buttons.

You can specify the following details:

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find UH' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the payout details.

AMC ID

Alphanumeric; 12 Characters; Optional

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

Fund Type

Alphanumeric; 28 Characters; Optional

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

Fund ID

Alphanumeric; 6 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

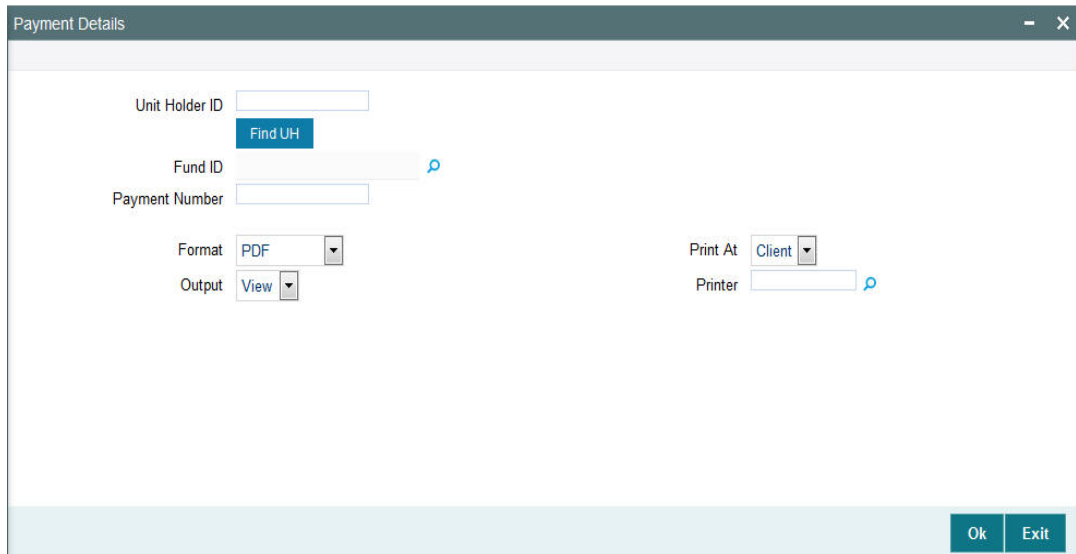
Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.12.7 Generating Payment Details Report

You can generate payment details report using 'Payment Details' screen. You can invoke this screen by typing 'UTR00183' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID. You can also query for unit holder ID by clicking 'Find UH' button.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID maintained in the system. The system displays all valid fund ID maintained in the system.

Payment Number

Numeric; 22 Characters; Optional

Specify the payment number.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View

- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.13 Reinvestment Report

This section contains the following topics:

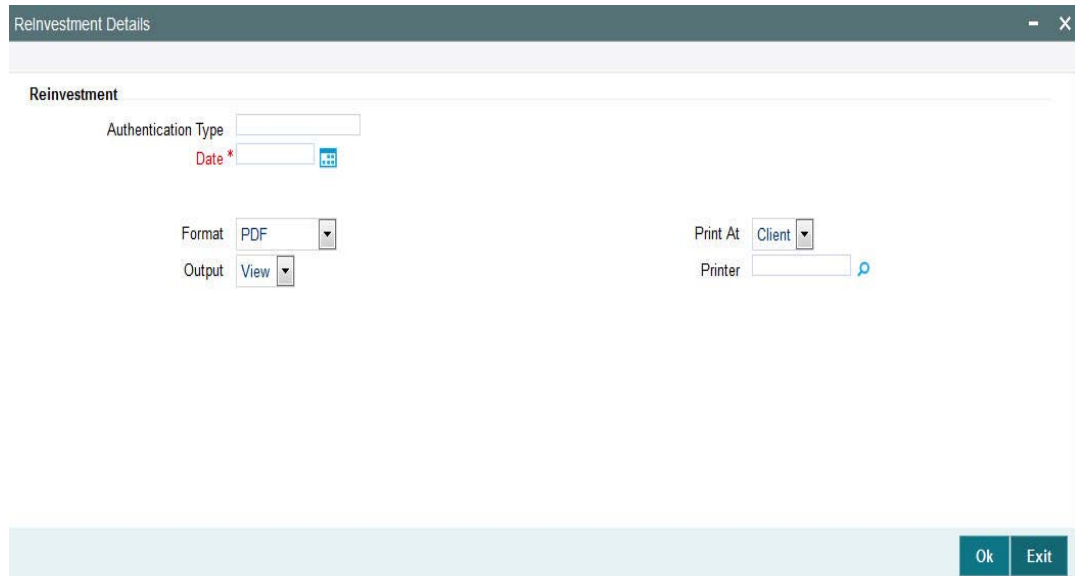
- [Section 3.13.1, "Generating Reinvestment Report"](#)
- [Section 3.13.2, "Contents of the Reinvestment Report screen"](#)

3.13.1 Generating Reinvestment Report

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

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

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



Authentication Type

Alphanumeric; 1 Character; Optional

Specify the authentication type.

Date

Date Format; Mandatory

Select date on which the reinvestment transaction was authorized from the adjoining calendar.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'Ok' button to generate the report.

3.13.2 Contents of the Reinvestment Report screen

Reinvestment**Unit Holder ID**

12 Character Maximum, Alphanumeric, Display

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

Unit Holder Name

85 Character Maximum, Alphanumeric, Display

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

Fund ID

12 Character Maximum, Alphanumeric, Display

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

3.14 Certificate Printing

This section contains the following topics:

- [Section 3.14.1, "Printing New Certificates"](#)
- [Section 3.14.2, "Printing Duplicate Certificates"](#)
- [Section 3.14.3, "Reprinting Certificates"](#)

3.14.1 Printing New Certificates

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

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

The screenshot shows the 'New Certificate' application window. It features a search bar at the top right with the text 'UTR00129' and a search icon. The main area contains several input fields: 'Fund ID *', 'Unit Holder ID *', 'Allocation From Date', 'Allocation To Date', 'From Certificate number', 'To Certificate number', and 'User Input'. A 'Find UH' button is located below the 'Unit Holder ID *' field. Below the input fields are 'Format' (set to PDF) and 'Output' (set to View) dropdown menus. On the right side, there are 'Print At' (set to Client) and 'Printer' dropdown menus. At the bottom right, there are 'Ok' and 'Exit' buttons.

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

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

3.14.1.1 Fields in Printing New Certificates screen

Fund ID

Alphanumeric; 6 Characters Mandatory

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

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

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

You can also select unit holder ID by clicking 'Find UH' button.

Allocation From Date

Date, Optional

Enter the start date for the Allocation.

Allocation To Date

Date, Optional

Enter the end date for the Allocation.

From Certificate Number

Alphanumeric; 10 Characters; Optional

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

To Certificate Number

Alphanumeric; 10 Characters; Optional

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

User Input

Alphanumeric, 1000 Characters; Optional

Enter any characteristic or remark relating to the certificate.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.14.2 Printing Duplicate Certificates

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

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

The screenshot shows a software window titled "Dup. Certificate". It features a series of input fields for data entry: "Fund ID", "From Certificate number", "To Certificate number", "Allocation From Date", "Allocation To Date", "Unitholder ID", and "User Input". A blue "Find UH" button is positioned below the "Unitholder ID" field. On the right side, there are two more dropdown menus: "Print At" (set to "Client") and "Printer". At the bottom right, there are "Ok" and "Exit" buttons.

3.14.2.1 Fields in Dup. Certificate Screen

Fund ID

Alphanumeric; 6 Characters; Optional

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

From Certificate Number

Alphanumeric; 1000 Characters; Optional

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

To Certificate Number

Alphanumeric; 1000 Characters; Optional

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

Allocation From Date

Date Format; Optional

Enter the start date for the Allocation.

Allocation To Date

Date Format; Optional

Enter the end date for the Allocation.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

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

You can also select unit holder ID by selecting 'Find UH' button.

User Input

Alphanumeric; 1000 Characters; Optional

Enter any characteristic or remark relating to the duplicate certificate.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.14.3 Reprinting Certificates

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

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

The screenshot shows the 'Re-Print Certificate' application window. The window title is 'Re-Print Certificate'. The interface includes the following elements:

- Fund ID***: A text input field with a search icon.
- From Certificate number***: A text input field with a search icon.
- To Certificate number***: A text input field with a search icon.
- Allocation From Date**: A date input field with a calendar icon.
- Allocation To Date**: A date input field with a calendar icon.
- Unit Holder ID**: A text input field with a search icon.
- Find UH**: A blue button to search for a unit holder.
- User Input**: A text input field with a search icon.
- Format**: A dropdown menu currently set to 'PDF'.
- Output**: A dropdown menu currently set to 'View'.
- Print At**: A dropdown menu currently set to 'Client'.
- Printer**: A text input field with a search icon.
- Ok** and **Exit**: Buttons at the bottom right of the window.

Fund ID

Alphanumeric; 6 Characters Mandatory

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

From Certificate Number

Alphanumeric; 10 Characters; Mandatory

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

To Certificate Number

Alphanumeric; 10 Characters; Mandatory

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

Allocation From Date

Date, Optional

Enter the start date for the Allocation.

Allocation To Date

Date, Optional

Enter the end date for the Allocation.

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

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

You can also select unit holder ID by clicking 'Find UH' button.

User Input

Alphanumeric, 1000 Characters; Optional

Enter any characteristic or remark relating to the certificate.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.15 Threshold Balance Report

This section contains the following topics:

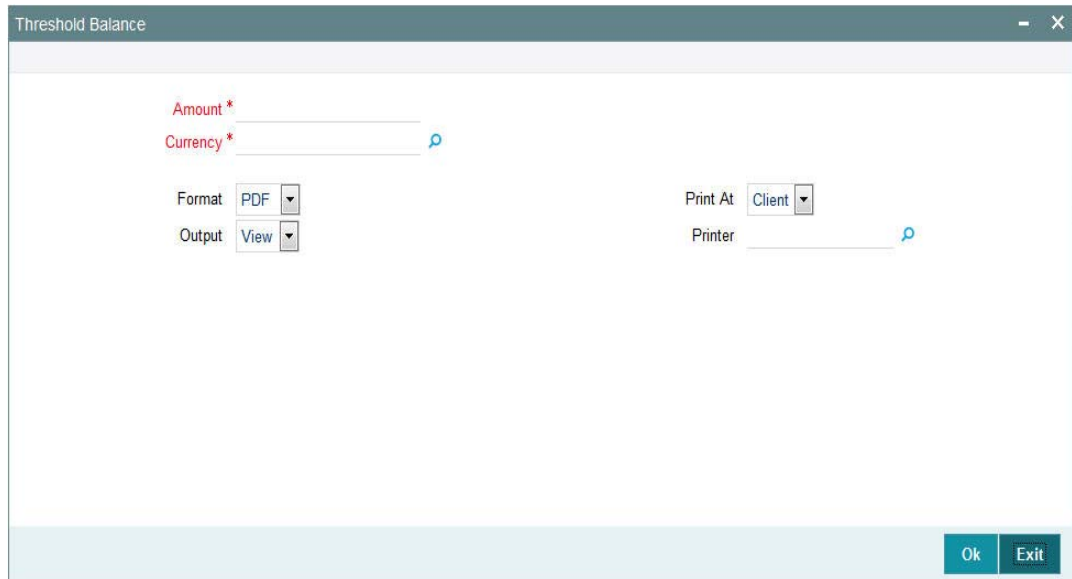
- [Section 3.15.1, "Threshold Balance Report Details"](#)
- [Section 3.15.2, "By Amount"](#)
- [Section 3.15.3, "By Units"](#)
- [Section 3.15.4, "Fields in Threshold Balance Report screen"](#)

3.15.1 Threshold Balance Report Details

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

3.15.2 **By Amount**

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



Amount

Numeric; 22 Characters; Mandatory

Specify the threshold amount

Currency

Alphanumeric; 3 Characters; Mandatory

Specify the threshold currency code.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.15.3 By Units

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

Threshold Unit Bal

Number Of Units *

Format PDF

Output View

Print At Client

Printer

Ok Exit

Number of Units

Numeric; 22 Characters; Mandatory

Specify the number of threshold units.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.15.4 Fields in Threshold Balance Report screen**Calculation Mode**

1 Character Maximum, Alphanumeric, Mandatory

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

Value

Numeric, Mandatory

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

Number of Units

Numeric, Display

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

Total Dividend

Numeric, Display

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

Dividend Date

Date, Display

This is the Date of Dividend Payment.

Net Paid

Numeric, Display

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

Tax Withheld

Numeric, Display

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

Authorized Signatory

20 Character Maximum, Alphanumeric, Display

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

Date

Date, Display

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

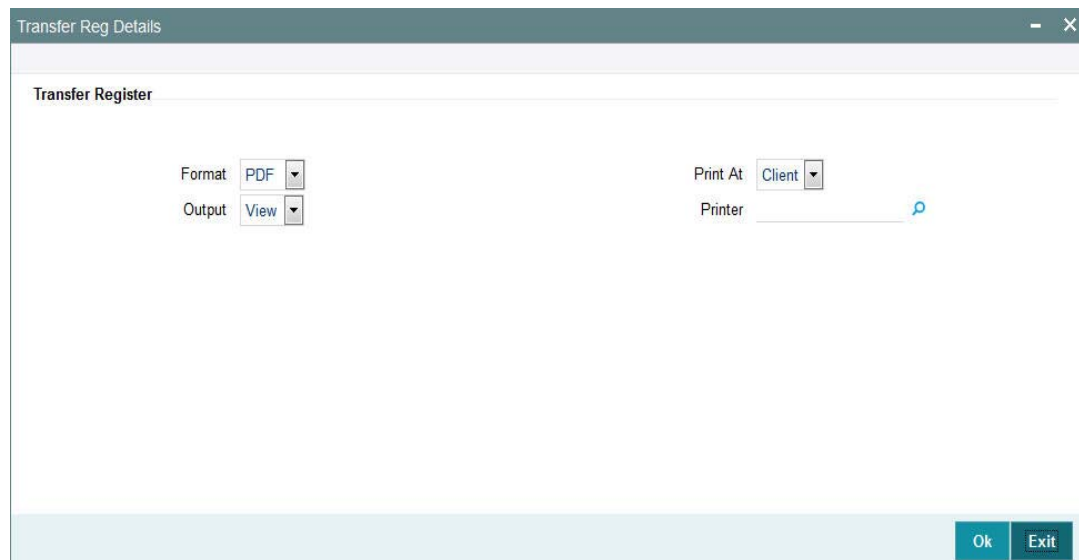
3.16 Transfer Register Report

This section contains the following topics:

- [Section 3.16.1, "Generating Transfer Register Report"](#)
- [Section 3.16.2, "Fields in Transfer Register Report screen"](#)

3.16.1 Generating Transfer Register Report

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



Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'Ok' button to generate the report.

3.16.2 Fields in Transfer Register Report screen

Transfer Register Report**Unit Holder ID**

12 Character Maximum, Alphanumeric, Display

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

Transaction Date

Date, Display

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

Transfer Deed Number

12 Character Maximum, Alphanumeric, Display

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

Transaction Number

12 Character Maximum, Alphanumeric, Display

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

Transfer Number

12 Character Maximum, Alphanumeric, Display

This is the Transfer Number provided by the Registrar.

Transfer Date

Date, Display

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

Units Transferred

Numeric, Display

This is the Number of Units transferred.

3.17 Tax Statements Reports

This section contains the following topics:

- [Section 3.17.1, "Employee Tax IT 3\(a\) Report"](#)

- [Section 3.17.2, "Employee Tax IRP5 Report"](#)
- [Section 3.17.3, "Tax Deduction Directive A&D Report"](#)
- [Section 3.17.4, "Tax Deduction Directive B Report"](#)
- [Section 3.17.5, "Tax Deduction Directive Report"](#)

3.17.1 **Employee Tax IT 3(a) Report**

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

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

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

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the tax statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the tax statement details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.17.1.1 Details in Employee Tax IT3(a) Reports

The following details are printed in the report:

- The fund in which the unit holder has requested the transaction.
- A unique Eight digit IT3(a) code generated by FC-IS
- The PAYE reference number captured for each fund
- The tax assessment end date
- The address details of the unitholder's employer.
- The following employee details
 - First, Middle and Last name of the unit holder
 - Identification Type and Number
 - Passport Number
 - Date of Birth
 - Residential address details
 - Income tax number
 - Unit Holder Account Number

- Date of employment
- Employment period
- The details of the income sources and the redemption settlement amount in terms of the fund base currency
- The gross remuneration details
- Tax deduction details

3.17.2 Employee Tax IRP5 Report

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

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

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

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

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the tax statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the tax statement details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.17.2.1 Details in Employee Tax IRP 5 Reports

The following details are printed in the report:

- The fund in which the unit holder has requested the transaction.
- A unique Eight digit IRP 5 code generated by FC-IS
- The PAYE reference number captured for each fund
- The tax assessment end date
- The address details of the unitholder's employer.
- The following employee details
 - First, Middle and Last name of the unit holder
 - Identification Type and Number
 - Passport Number
 - Date of Birth
 - Residential address details
 - Income tax number
 - Unit Holder Account Number

- Date of employment
- Employment period
- The details of the income sources and the redemption settlement amount in terms of the fund base currency
- The gross remuneration details
- Tax deduction details

3.17.3 Tax Deduction Directive A&D Report

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

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

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

Report ID

Alphanumeric; 6 Characters; Mandatory

Specify the report ID.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the tax statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the tax statement details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.17.3.1 Details in Tax Deduction Directive A&D Reports

The following details are printed in the report:

- The tax assessment end date
- Unit holder Tax ID
- The following member details
 - First and Last name of the unit holder
 - Identification Type and Number
 - Annual Income
 - Date of Birth
 - Residential address details

- The details of the fund in which the unit holder has requested the transaction. This includes:
 - Contact details, name and type of the fund
 - Fund PAYE reference number
- The details of the gross lump sum due to the unit holder. This includes:
 - Reason for the directive
 - Allocation date of the redemption transaction
 - Gross lump sum amount
 - The dates that specify the period between the unit holder invested into the fund
- The details of the salary earned by the unit holder.
- The contact address details of the unitholder's employer.

3.17.4 Tax Deduction Directive B Report

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

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

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

Report ID

Optional

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

- Tax Deduction Directive Rptb

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the tax statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the tax statement details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.17.4.1 Details in Tax Deduction Directive B Reports

The following details are printed in the report:

- The tax assessment end date
- Unit holder Tax ID

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

3.17.5 Tax Deduction Directive Report

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

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

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

Report ID

Alphanumeric; 6 Characters; Mandatory

Select the report ID.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID.

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the tax statement is to be printed.

You can also select unit holder ID by selecting 'Find UH' button.

From Date and To Date

Date Format; Mandatory

Select the dates that specify the period between which you want to view the tax statement details.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.17.5.1 Details in Tax Deduction Directive C Reports

The following details are printed in the report:

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

3.18 Investment Simulator

This section contains the following topics:

- [Section 3.18.1, "Investment Simulator Reports"](#)
- [Section 3.18.2, "For Non Pension Funds"](#)
- [Section 3.18.3, "For Pension Funds"](#)

3.18.1 Investment Simulator Reports

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

3.18.2 For Non Pension Funds

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

Note

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

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

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

Simulator Options

From Date

Date Format; Mandatory

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

To Date

Date Format; Mandatory

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

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

Simulator Details

Fund ID

Alphanumeric; 6 Characters; Mandatory

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

Note

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

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

Fund ISIN

Alphanumeric; 12 Characters; Mandatory

Select the ISIN Code of the selected fund.

Investment Amount

Numeric, 22 Characters; Mandatory

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

From Date NAV

Display

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

To Date NAV

Display

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

Gross Profit

Display

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

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

Gross Balance

Display

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

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

3.18.3 For Pension Funds

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

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

Note

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

The following are the fields in this screen.:

Annual Gross Income

Numeric; 30 Characters; Mandatory

Specify the gross annual income of the investor.

Pension fund contribution in the Year

Numeric; 30 Characters; Mandatory

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

INSS Paid in the Year

Numeric; 30 Characters; Mandatory

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

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

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

On simulation the following details are displayed.

INSS paid in the year

Display

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

Deduction amount

Display

The deduction amount is displayed here.

IR Calculation Basis

Display

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

I.R. Aliquot

Display

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

Installment to Deduct

Display

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

IR Due

Display

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

Annual Earnings

Display

The system displays the annual earnings.

3.19 Multi Transaction Error Log Report

This section contains the following topics:

- [Section 3.19.1, "Generating Multi Transaction Error Log Report"](#)
- [Section 3.19.2, "Contents of the Multi Transaction Error Log Report"](#)

3.19.1 Generating Multi Transaction Error Log Report

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

The screenshot shows a web application window titled "Multi Transaction Error Log Report". The window contains several input fields and controls:

- Unit Holder ID:** A text input field with a "Find UH" button to its right.
- CIF Number:** A text input field.
- Wrapper Transaction Number:** A text input field.
- From Date:** A date selection field with a calendar icon.
- To Date:** A date selection field with a calendar icon.
- Format:** A dropdown menu currently set to "PDF".
- Output:** A dropdown menu currently set to "View".
- Print At:** A dropdown menu currently set to "Client".
- Printer:** A text input field with a printer icon to its right.

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

3.19.2 Contents of the Multi Transaction Error Log Report

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Optional

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

You can also search unit holder details by clicking 'Find UH' button.

CIF Number

Alphanumeric; 12 Characters; Optional

Specify the customer information number of the unit holder.

Wrapper Transaction Number

Alphanumeric; 50 Characters; Optional

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

You need to mention one of the values, Unit holder, CIF number or Wrapper transaction number. Else the system displays an error message.

From Date

Date Format; Optional

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

To Date

Date Format; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.20 Tax Credit Report

This section contains the following topics:

- [Section 3.20.1, "Generating Tax Credit Report"](#)
- [Section 3.20.2, "Contents of Tax Credit Report"](#)

3.20.1 Generating Tax Credit Report

You can view the tax credit report to view all unit holder and dividend details for which tax credit /reversal has been successful/unsuccessful. You can invoke this screen by typing

'UTRTAXCR' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a window titled 'Tax Credit' with a standard Windows-style title bar. The main area contains several input fields and buttons. On the left side, there are four rows of fields, each with a red asterisk indicating a mandatory field: 'From Date*', 'To Date*', 'FundID*', and 'ProcessingMode*'. The 'ProcessingMode*' field has a dropdown menu with 'ALL' selected. Below these are two more rows: 'Format' with a dropdown menu showing 'PDF', and 'Output' with a dropdown menu showing 'View'. On the right side, there are two rows: 'Print At' with a dropdown menu showing 'Client', and 'Printer' with a text input field. At the bottom right corner, there are two buttons: 'Ok' and 'Exit'.

3.20.2 Contents of Tax Credit Report

You can specify the following details:

From Date

Date Format; Mandatory

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

To Date

Date Format; Mandatory

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

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Processing Mode

Mandatory

Select the processing mode of the record from the drop-down list. Following are the options available:

- All
- Processed
- Reversed

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

3.21 Redemption Confirmation Report

This section contains the following topics:

- [Section 3.21.1, "Generating Red Confirmation Report"](#)
- [Section 3.21.2, "Contents of Red Confirmation Report"](#)

3.21.1 Generating Red Confirmation Report

You can view the redemption confirmation report. The output will be Market value in currency of expression and price in currency of expression.

You can invoke this screen by typing 'UTR00099' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a window titled "Red Confirmation" with a "Redemption Confirmation" section. The fields include: Fund ID (with a search icon), Fund Identification Number, From Date (with a calendar icon), To Date (with a calendar icon), From Transaction Number, To Transaction Number, From Unit Holder ID (with a "Find" button), To Unit Holder ID (with a "Find" button), Header Display (with a search icon), Footer Display (with a search icon), Duplicate Required (Yes/No dropdown), Communication Mode (with a search icon), From Batch (Yes/No dropdown), and an "Include Related Parties" checkbox. At the bottom, there are "Format" (PDF dropdown), "Output" (View dropdown), "Print At" (Client dropdown), and "Printer" (with a search icon). "Ok" and "Exit" buttons are at the bottom right.

3.21.2 Contents of Red Confirmation Report

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

From Date

Date Format; Optional

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

To Date

Date Format; Optional

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

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

Duplicate Required

Optional

Select if duplication of record is required or not from the drop-down list. The list displays the following values:

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Optional

Specify the batch details.

Include Related Parties

Optional

Check this box if related parties details are to be included.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.22 Subscription Confirmation Report

This section contains the following topics:

- [Section 3.22.1, "Generating Sub Confirmation Report"](#)
- [Section 3.22.2, "Contents of Sub Confirmation Report"](#)

3.22.1 Generating Sub Confirmation Report

You can view the subscription confirmation report. The output will be Market value in currency of expression and price in currency of expression.

You can invoke this screen by typing 'UTR00098' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

3.22.2 Contents of Sub Confirmation Report

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

From Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

From Date

Date Format; Optional

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

To Date

Date Format; Optional

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

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

Duplicate Required

Optional

Select if duplication of record is required or not from the drop-down list. The list displays the following values:

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Optional

Specify the batch details.

Include Related Parties

Optional

Check this box if related parties details are to be included.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.23 Switch Confirmation Report

This section contains the following topics:

- [Section 3.23.1, "Generating Switch Report"](#)
- [Section 3.23.2, "Contents of Switch Report"](#)

3.23.1 Generating Switch Report

You can view the switch report. The output will be Market value in currency of expression and price in currency of expression.

You can invoke this screen by typing 'UTR00101' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a 'Switch Confirmation' dialog box with the following fields and controls:

- Fund ID: Text input field with a search icon.
- Fund Identification Number: Text input field.
- From Transaction Number: Text input field.
- To Transaction Number: Text input field.
- From Unit Holder ID: Text input field with a 'Find' button below it.
- To Unit Holder ID: Text input field with a 'Find' button below it.
- From Date: Date picker field.
- To Date: Date picker field.
- Header Display: Text input field with a search icon.
- Footer Display: Text input field with a search icon.
- Duplicate Required: Dropdown menu with 'Yes' selected.
- Communication Mode: Text input field with a search icon.
- From Batch: Dropdown menu with 'Yes' selected.
- Include Related Parties: Unchecked checkbox.
- Format: Dropdown menu with 'PDF' selected.
- Output: Dropdown menu with 'View' selected.
- Print At: Dropdown menu with 'Client' selected.
- Printer: Text input field with a search icon.

At the bottom right of the dialog are 'Ok' and 'Exit' buttons.

3.23.2 Contents of Switch Report

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

From Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

To Transaction Number

Alphanumeric; 16 Characters; Optional

Specify the transaction number details.

From Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

To Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the unit holder ID details.

You can also select unit holder ID by clicking 'Find' button.

From Date

Date Format; Mandatory

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

To Date

Date Format; Mandatory

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

Header Display

Alphanumeric; 255 Characters; Optional

Specify the header details to be displayed.

Footer Display

Alphanumeric; 255 Characters; Optional

Specify the footer details to be displayed.

Duplicate Required

Optional

Select if duplication of record is required or not from the drop-down list. The list displays the following values:

- Yes
- No

Communication Mode

Alphanumeric; 2 Characters; Optional

Specify the communication mode.

From Batch

Optional

Specify the batch details.

Include Related Parties

Optional

Check this box if related parties details are to be included.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.24 Account Balance Statement Report

This section contains the following topics:

- [Section 3.24.1, "Generating Account Balance Statement Report"](#)
- [Section 3.24.2, "Contents of Account Balance Statement Report"](#)

3.24.1 Generating Account Balance Statement Report

You can view the account balance statement report. In case the fund is a currency of expression fund, the output will be the UH currency of expression, total value in UH currency of expression, else this will be shown as blank (report output to show the currency of expression, latest available NAV in price currency and Total balance in UHCOE).

You can invoke this screen by typing 'UTR00168' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

Ac.Balance Statement

User Information

Fund ID

Fund Identification Number

Unit Holder ID

Find UH

Date *

Format PDF

Output View

Print At Client

Printer

Ok Exit

3.24.2 Contents of Account Balance Statement Report

You can specify the following details:

Fund ID

Alphanumeric; 6 Characters; Optional

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

Fund Identification Number

Display

The system displays the fund identification number.

Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the unit holder ID.

You can also select unit holder ID by clicking 'Find UH' button.

Date

Date Format; Mandatory

Specify the date range to generate the account balance statement.

Format

Optional

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

- PDF
- HTML
- Excel

- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.25 Portfolio Holdings Report

This section contains the following topics:

- [Section 3.25.1, "Generating Portfolio Holdings Report"](#)
- [Section 3.25.2, "Contents of Portfolio Holdings Report"](#)

3.25.1 Generating Portfolio Holdings Report

You can view the Portfolio Holdings report. In case the fund is a currency of expression fund, the output will be the UH currency of expression, NAV in currency of expression, total value in UH currency of expression and Present value (in unit holder currency of expression), else this will be shown as blank.

You can invoke this screen by typing 'UTR00184' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a software window titled "Portfolio Holdings". Inside the window, there is a form with the following elements: a text input field for "Unit Holder ID" with a blue "Find UH" button to its right; a text input field for "CIF Number"; a "Format" dropdown menu currently set to "PDF"; an "Output" dropdown menu currently set to "View"; a "Print At" dropdown menu currently set to "Client"; and a "Printer" field with a printer icon. At the bottom right of the window, there are "Ok" and "Exit" buttons.

3.25.2 Contents of Portfolio Holdings Report

You can specify the following details:

Unit Holder ID

Alphanumeric; 16 Characters; Optional

Specify the unit holder ID. You can also select unit holder ID by clicking 'Find UH' button.

CIF Number

Display

The system displays the CIF Number.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.26 Portfolio Statement Report

This section contains the following topics:

- [Section 3.26.1, "Generating Portfolio Statement Report"](#)
- [Section 3.26.2, "Contents of Portfolio Statement Report"](#)

3.26.1 Generating Portfolio Statement Report

You can view the Portfolio Statement report. The output will be Present value (in unit holder currency of expression), NAV in currency of expression.

You can invoke this screen by typing 'UTR00194' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a software window titled "Portfolio Statement". Inside the window, there are several input fields and buttons. On the left side, there is a "Unit Holder ID *" field with a "Find UH" button below it. Below that is a "CIF Number" field. To the right of the "CIF Number" field is a "To Date" field with a calendar icon. Below the "CIF Number" field is a "Format" dropdown menu set to "PDF". Below the "Format" dropdown is an "Output" dropdown menu set to "View". On the right side of the window, there is a "Print At" dropdown menu set to "Client" and a "Printer" field with a search icon. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

3.26.2 Contents of Portfolio Statement Report

You can specify the following details:

Unit Holder ID

Alphanumeric; 16 Characters; Mandatory

Specify the unit holder ID.

Click 'Find UH' button to query unit holder ID.

CIF Number

Display

The system displays the CIF Number.

To Date

Date Format; Optional

Specify the date till which you wish to generate the portfolio statement report.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.27 Portfolio Performance Report

This section contains the following topics:

- [Section 3.27.1, "Generating Portfolio Performance Report"](#)
- [Section 3.27.2, "Contents of Portfolio Performance Report"](#)

3.27.1 Generating Portfolio Performance Report

You can view the Portfolio performance report.

Performance report will display UH currency of expression also in case the fund is a currency of expression fund and Present value (in unit holder currency of expression)

You can invoke this screen by typing 'UTR00195' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a web-based application window titled "Portfolio Performance". The interface includes the following elements:

- Unit Holder ID ***: A text input field with a "Find UH" button below it.
- CIF Number**: A text input field.
- To Date**: A text input field with a calendar icon to its right.
- Format**: A dropdown menu currently showing "PDF".
- Output**: A dropdown menu currently showing "View".
- Print At**: A dropdown menu currently showing "Client".
- Printer**: A text input field with a search icon to its right.
- Buttons**: "Ok" and "Exit" buttons are located at the bottom right of the window.

3.27.2 Contents of Portfolio Performance Report

You can specify the following details:

Unit Holder ID

Alphanumeric; 12 Characters; Mandatory

Specify the unit holder ID.

You can query unit holder ID by clicking 'Find UH' button.

CIF Number

Display

The system displays the CIF Number.

To Date

Date Format; Optional

Specify the date till which you wish to generate the portfolio performance report.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.28 Transaction Category Updation Report

This section contains the following topic:

- [Section 3.28.1, "Generating Transaction Category Updation Report"](#)
- [Section 3.28.2, "Contents of Portfolio Performance Report"](#)

3.28.1 Generating Transaction Category Updation Report

You can view the Transaction Category Updation report. All transactions for which the transaction category has been changed will be available as in transaction category updation report.

You can invoke this screen by typing 'UTR00308' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a web-based application window titled "Transaction Category Updation". The interface includes the following elements:

- Entity Type:** A dropdown menu set to "Broker".
- Entity ID / Broker Code:** A text input field with a search icon.
- Unit Holder ID:** A text input field with a search icon.
- Find UH:** A blue button.
- From Transaction Category:** A text input field with a search icon.
- Transaction From Date *:** A date picker field.
- Transaction Number:** A text input field with a search icon.
- Transaction Option:** A dropdown menu set to "UT".
- Entity / Broker Name:** A text input field with a search icon.
- Unit Holder Name:** A text input field with a search icon.
- To Transaction Category:** A text input field with a search icon.
- Transaction To Date *:** A date picker field.
- Format:** A dropdown menu set to "PDF".
- Output:** A dropdown menu set to "View".
- Print At:** A dropdown menu set to "Client".
- Printer:** A text input field with a search icon.

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

3.28.2 Contents of Portfolio Performance Report

You can specify the following details:

Entity Type

Optional

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

- Agent
- Branch Code
- IFA
- Account Officer
- Broker

Transaction Option

Optional

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

- UT
- LEP

Entity ID / Broker Code

Alphanumeric; 20 Characters; Optional

Specify the entity ID or the broker code. Alternatively, you can select entity ID or broker code from the option list. The list displays all valid entity ID or broker code maintained in the system.

Entity / Broker Name

Display

The system displays the entity or the broker name for the selected entity ID or broker code.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the unit holder ID.

You can search for unit holder ID by clicking 'Find UH' button in the screen.

Unit Holder Name

Display

The system displays the unit holder name for the selected unit holder ID.

From Transaction Category

Alphanumeric; 10 Characters; Optional

Specify the From transaction category. Alternatively, you can select From Transaction Category from the option list. The list displays all valid from transaction category maintained in the system.

To Transaction Category

Alphanumeric; 10 Characters; Optional

Specify the To transaction category. Alternatively, you can select To Transaction Category from the option list. The list displays all valid To transaction category maintained in the system.

Transaction From Date

Date Format; Mandatory

Select the transaction from date from the adjoining calendar.

Transaction To Date

Date Format; Mandatory

Select the transaction To date from the adjoining calendar.

Transaction Number

Alphanumeric; 16 Characters; Optional

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

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Click 'Ok' button to print.

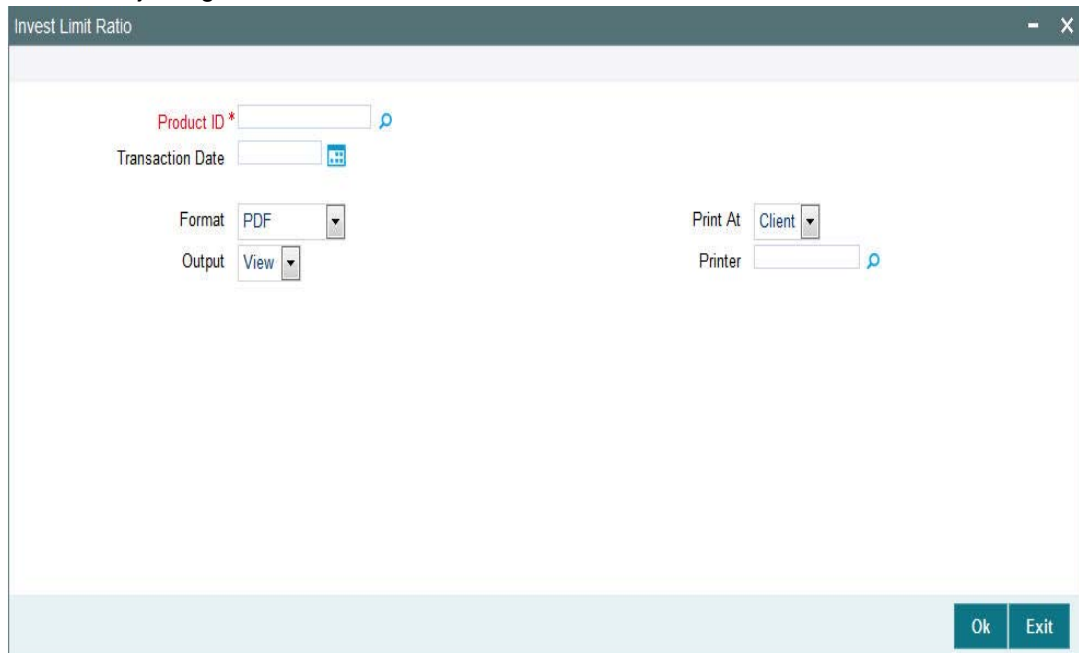
3.29 LEP Reports

This section contains the following topic:

- [Section 3.29.1, "Generating Invest Limit Ratio Report"](#)
- [Section 3.29.2, "Generating Policy Transaction Error Log Report"](#)
- [Section 3.29.3, "Generating Annual Balance Check Report"](#)
- [Section 3.29.4, "Generating 5-20 Validations Report"](#)
- [Section 3.29.5, "Generating Suspense AC Position Report"](#)

3.29.1 Generating Invest Limit Ratio Report

You can view the invest limit ratio report using 'Invest Limit Ratio' screen. You can invoke this screen by typing 'LER00074' in the field at the top right corner of the Application tool bar and click the adjoining arrow.



You can specify the following details:

Product ID

Alphanumeric; 16 Characters; Mandatory

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

Transaction Date

Date Format; Optional

Specify the transaction date range to generate the invest limit ratio report.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

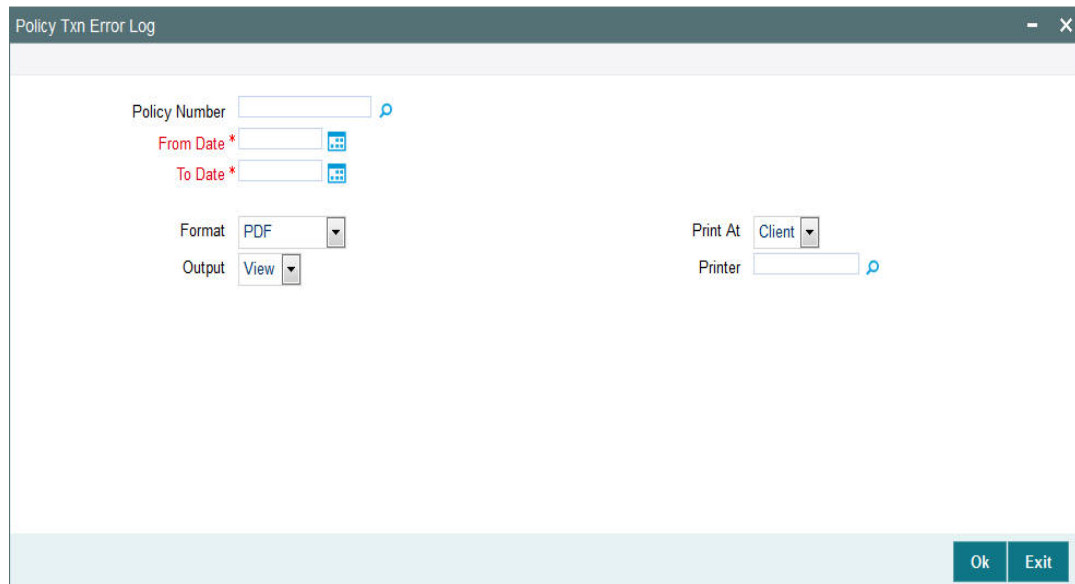
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.29.2 Generating Policy Transaction Error Log Report

You can view the policy transaction error log report using 'Policy Txn Error Log' screen. You can invoke this screen by typing 'LER00075' in the field at the top right corner of the Application tool bar and click the adjoining arrow.



You can specify the following details:

Policy Number

Alphanumeric; 16 Characters; Optional

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

From Date and To Date

Date Format; Mandatory

The dates that specify the period between which you want to view the policy transaction error log details, in the From Date and To Date fields.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.29.3 Generating Annual Balance Check Report

You can view the annual balance check for a policy using 'Annual Balance Checks' screen. You can invoke this screen by typing 'LER00076' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a window titled "Ann. Balance Checks" with the following fields and controls:

- Policy Number ***: A text input field with a search icon.
- No of days**: A text input field.
- Margin**: A text input field.
- Format**: A dropdown menu currently set to "PDF".
- Output**: A dropdown menu currently set to "View".
- Print At**: A dropdown menu currently set to "Client".
- Printer**: A text input field with a search icon.
- Buttons**: "Ok" and "Exit" buttons at the bottom right.

You can specify the following details:

Policy Number

Alphanumeric; 16 Characters; Mandatory

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

No of days

Numeric; 10 Characters; Optional

Specify the number of days counted for the annual balance check for a policy.

Margin

Numeric; 10 Characters; Optional

Specify the margin limit for annual balance check for a policy.

Format

Optional

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

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

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

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

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

3.29.4 Generating 5-20 Validations Report

You can view 5-20 validations report using '5-20 Validations' screen. You can invoke this screen by typing 'LER00077' in the field at the top right corner of the Application tool bar and click the adjoining arrow.

The screenshot shows a window titled "5-20 Validations" with a "Main" section. It contains the following controls:

- From Date: (with a calendar icon)
- To Date: (with a calendar icon)
- Format: (dropdown)
- Output: (dropdown)
- Print At: (dropdown)
- Printer:

Buttons at the bottom right: **Ok** and **Exit**.

You can specify the following details:

From Date and To Date

Date Format; Optional

The dates that specify the period between which you want to view the broker details, in the From Date and To Date fields.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Enter the printing options and Click 'Ok' button to print.

3.29.5 Generating Suspense AC Position Report

You can view Suspense AC Position report using 'Suspense AC Position' screen. You can invoke this screen by typing 'LER00088' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

You can specify the following details:

Product ID

Alphanumeric; 10 Characters; Optional

Specify the product ID. Alternatively, you can select product ID from the option list. The list displays all valid product ID maintained in the system.

Transaction Type

Alphanumeric; 2 Characters; Optional

Specify the transaction type. Alternatively, you can select transaction type from the option list. The list displays all valid LEP transaction types maintained in the system.

From Date and To Date

Date Format; Optional

The dates that specify the period between which you want to view the account position details, in the From Date and To Date fields.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Enter the printing options and Click 'Ok' button to print.

3.30 SMS Reports

This section contains the following topic:

- [Section 3.30.1, "Generating Violation Activity Report"](#)

3.30.1 Generating Violation Activity Report

You can view violation activity report using 'Violation Activity' screen. You can invoke this screen by typing 'UTR00082' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.

The screenshot shows a web-based application window titled "Violation Activity". The window contains several form fields for configuring a report. On the left side, there are two date pickers labeled "From Date*" and "To Date*", each with a calendar icon. Below these are two dropdown menus: "Format" is set to "PDF" and "Output" is set to "View". On the right side, there is a "Print At" dropdown menu set to "Client" and a "Printer" text input field with a search icon. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

From Date and To Date

Date Format; Optional

The dates that specify the period between which you want to view the violation activity details, in the From Date and To Date fields.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Enter the printing options and Click 'Ok' button to print.

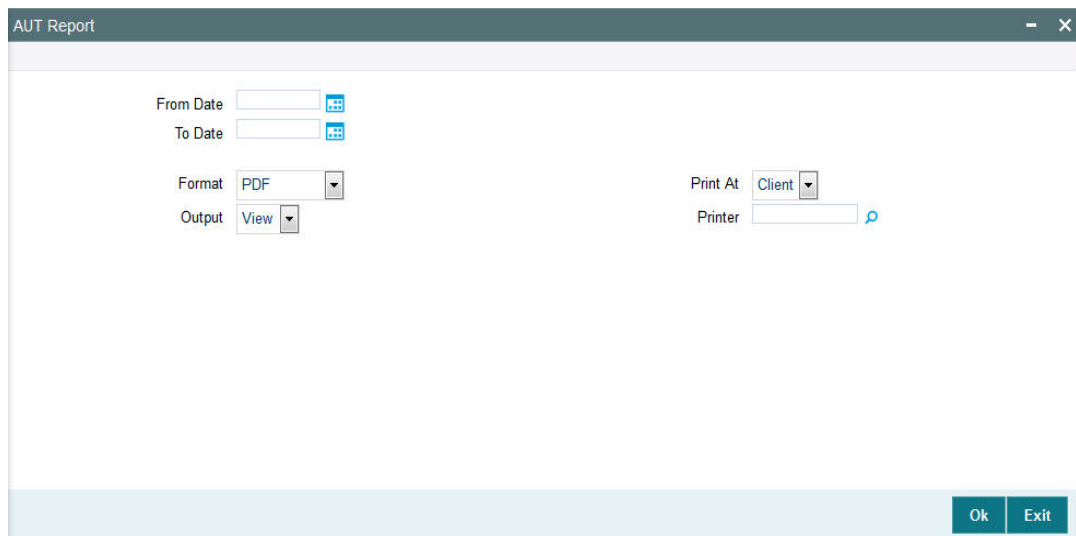
3.31 AUT Report

This section contains the following topic:

- [Section 3.31.1, "Generating AUT Report"](#)

3.31.1 Generating AUT Report

You can view AUT report using 'AUT Report' screen. You can invoke this screen by typing 'UTR00139' in the field at the top right corner of the Application tool bar and click the adjoining arrow button.



The screenshot shows a window titled "AUT Report" with a standard Windows-style title bar (minimize, maximize, close). The main area contains several input fields and dropdown menus:

- From Date:** A text input field with a calendar icon to its right.
- To Date:** A text input field with a calendar icon to its right.
- Format:** A dropdown menu currently set to "PDF".
- Output:** A dropdown menu currently set to "View".
- Print At:** A dropdown menu currently set to "Client".
- Printer:** A text input field with a search icon to its right.

At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

From Date and To Date

Date Format; Optional

The dates that specify the period between which you want to view the AUT report, in the From Date and To Date fields.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Enter the printing options and Click 'Ok' button to print.

3.32 Fund Reports

This section contains the following topic:

- [Section 3.32.1, "Generating Fund Price Report"](#)
- [Section 3.32.2, "Generating Series Fund NNAV Details Report"](#)

3.32.1 Generating Fund Price Report

This report will contain all the data with respect to the Fund Price maintenance. It will contain details of the Real NAV per unit, Declared NAV for fund base currency, and fund price currencies in case of COE Funds, Total assets, Outstanding Units, Total Foreign Investors Outstanding Units, Total number of Unit Holders. It also has details of the base prices of the all the transactions that are operational with the fund as of that particular date.

The output will include all the FPC for currency of expression fund. You can invoke the 'Fund Price Details' screen by typing 'UTR00040' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Fund Price Details

Fund ID *

Fund Identification Number

Date * MMDDYYYY

Format PDF

Output View

Print At Client

Printer

Ok Exit

In this screen, you must specify the following as mandatory sorting parameters for the generation of the report:

Fund ID

Alphanumeric; 6 Characters; Mandatory

Specify the ID of the fund, for which you want to view the price details.

Fund Identification Number

Display

The system displays the fund identification number for the selected fund ID.

Date

Date Format; Mandatory

Select the date on which you want to view the price details.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print

- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

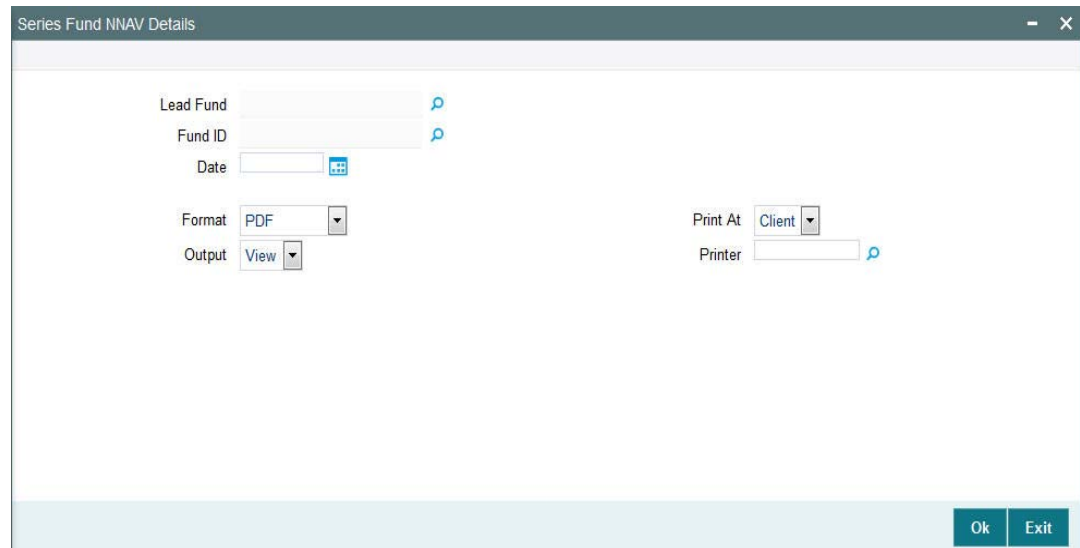
Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button. The report details are displayed.

3.32.2 Generating Series Fund NNAV Details Report

You can generate series fund NAV Details report using 'Series Fund NNAV Details' screen. You can invoke this screen by typing 'UTR00225' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Lead Fund

Alphanumeric; 6 Characters; Optional

Specify the lead fund. Alternatively, you can select lead fund from the option list. The list displays all valid lead fund maintained in the system.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Date

Date Format; Optional

Select the date from when the series fund NAV details needs to be printed from the adjoining calendar.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button. The report details are displayed.

4. Appendix A - Reporting for Capital Gains Tax

This chapter contains the following sections:

- [Section 4.1, "Capital Gains Tax"](#)

4.1 Capital Gains Tax

This section contains the following topics:

- [Section 4.1.1, "Processing Capital Gains Tax"](#)
- [Section 4.1.2, "Maintenance for Capital Gains Tax Computation"](#)
- [Section 4.1.3, "Computation of Capital Gains Tax"](#)
- [Section 4.1.4, "Weighted Average Unit Cost approach for computing Capital Gain / Loss"](#)
- [Section 4.1.5, "Computation of EUSD Average Cost/Capital Gain"](#)
- [Section 4.1.6, "Computation of Capital Gains for Redemption"](#)
- [Section 4.1.7, "Computation of Capital Gains for Transfers"](#)
- [Section 4.1.8, "Reporting in Respect of Capital Gains Calculations"](#)
- [Section 4.1.9, "Generating Capital Gains Detailed Report"](#)
- [Section 4.1.10, "Capital Gains Summary Report"](#)

4.1.1 Processing Capital Gains Tax

The gains made by an investor over investments attract taxation, and the tax applied is called the Capital Gains Tax.

Oracle FLEXCUBE Investor Servicing provides the facility to compute and deduct capital gains tax on a unit holder's gains. Reporting on the computation of the tax, at each transaction level, is also available.

In case transactions are reversed or backdated, appropriate reversal and adjustment transaction entries are initiated and processed, along with adjustments to the gain. A history of transactions, with the appropriate reversals and adjustments, can be obtained as a report.

4.1.2 Maintenance for Capital Gains Tax Computation

To set up the processing of capital gains tax in the system, you must do the following:

- Set up the capital gains tax as a load in the Load Definition screen. The frequency of processing for the tax must be 'Post-allocation'.
- Associate the load with the funds for which capital gains tax processing must be done, in the Fund Load Maintenance profile for each fund.
- In the Entity Maintenance record for the AMC or Distributor, specify the effective date following which capital gains computations must be performed.
- If any expressions for the NAV have been defined in the Fund Formula Maintenance record for a price component for a fund, you can indicate the component that must be excluded in the calculations for capital gains tax, as desired.

4.1.3 Computation of Capital Gains Tax

The computation of capital gains tax applicable on transactions on a fund is triggered as part of the allocation process after the fees; price and units calculations in respect of the transaction are completed.

4.1.4 Weighted Average Unit Cost approach for computing Capital Gain / Loss

The system uses the Weighted Average Unit Cost approach for calculation of capital gains. By this approach, the 'gain' (upon which the tax may be applied) is computed based on the weighted average unit cost for the unit holder.

The Weighted Average Unit Cost (WAUC) is computed for each transaction that results in an inflow (i.e., subscription, switch-to or transfer-to), but not for a transaction that results in an outflow (redemption, switch-from or transfer-from). The gains are computed based on the WAUC, for each outflow transaction.

The computations of WAUC begin from the effective date for capital gains calculations maintained for the entity (AMC or Distributor) in the Entity Maintenance.

Note

It must be remembered that this feature of capital gains computation is only available if your installation has specifically requested for it.

Some important terms

The following terms must be taken into consideration to understand the process of WAUC or gain calculation for a transaction:

- An 'original transaction' is a normal transaction entered and allocated in the system on any date.
- A 'reversal transaction' is a transaction in which the amount, units or percentage applied for in an original transaction is amended to zero, on a date later than the allocation date of the original transaction.
- A 'backdated transaction' is one that is entered with a transaction date being earlier than the allocation date.
- A 'dependant transaction' is a transaction entered for a unit holder and fund, for which the transaction date is earlier than that of a reversal or backdated transaction for the same unit holder / fund combination.
- An 'adjustment transaction' is an original transaction for which the WAUC or the gain / loss has been recalculated because the transaction was 'dependant' on a reversal or backdated transaction.

From the effective date following which capital gains computation is to be done, the WAUC on every inflow transaction and the gain on every outflow transaction is computed. The system also facilitates the processing of the effect of reversed and backdated transactions on the WAUC and the gain.

A counter is also maintained by the system to identify the order in which transactions are allotted.

Definitions

The following empirical expressions are employed in the computation:

For WAUC,

$$W(i) = (W(i-1) * B(i-1) + A(i)) / (B(i))$$

If transaction (i) is an outflow transaction, $W(i) = W(i-1)$

Capital Gain / Loss is calculated only on outflow transactions. If the transaction (i) is an outflow transaction,

$$G(i) = (U(i) * W(i-1)) - A(i) + C(i)$$

If the transaction (i) is an inflow transaction, then $G(i) = 0$.

Where,

Variable	Variable Definition
(i)	A counter maintained by the system to identify the order in which transactions are allotted. It is incremented by 1 each time a transaction is allotted, and in the order in which transactions are allotted in the system.
W(i)	WAUC corresponding to the 'i'th transaction. For instance, W(3) indicates the WAUC corresponding to the third transaction allotted.
W(i-1)	This is computed by summing up the WAUC for transaction (i-1), taking into account the original transaction and any subsequent adjustments due to back-dated and / or reversal transactions.
B(i)	The unit balance after the allocation of the 'i'th transaction. It is calculated according to the order in which transactions are allotted.
A(i)	The transaction amount in the 'i'th transaction. This would be Amount Applied, or Switch Amount, Transfer Amount, or Redemption Amount, depending upon the transaction type. For the transaction modes 'units' or 'percentage', it is calculated.
W(0)	The WAUC corresponding to the start of capital gains calculations, i.e., the effective date for capital gains calculations. This could default to zero, but there could be an upload of starting WAUC through the Bulk Upload functions.
B(0)	The unit balance at the start of capital gains calculations (the effective date). If the 1 st original transaction occurs after the effective date, this unit balance is zero. If the 1 st original transaction occurs before the effective date, this is the sum of units allocated and confirmed for all transactions before the effective date.
G(i)	The Capital Gain (or Loss) corresponding to the 'i'th transaction. A Capital Loss occurs when G(i) is negative.
U(i)	The number of units allotted on the 'i'th Transaction.
C(i)	The excluded price component factor. It is calculated as (sum of excluded price components) * (number of units allotted in the 'i'th transaction)

Recalculation of WAUC and Capital Gain / Loss for original and dependant transactions

Reversal and backdated transactions have the effect of causing a recomputation of WAUC and Capital Gain / Loss for any original or dependant transactions that have been entered or allocated after the transaction date of the reversal or backdated transaction.

The recomputation involves initiating adjustment transactions to offset the effect of the reversal or backdating on the WAUC or the Capital Gain / Loss.

The process of recalculation can be summarized in the following steps:

1. Reconstruction of the transaction history with the backdated or reversal transactions
2. Calculation of an opening unit balance and opening WAUC for the reconstructed transaction history
3. Calculation of the Gain / Loss and WAUC for the reconstructed transactions
4. Calculation of the adjustment in Gain / Loss and WAUC in respect of each backdated or reversal transaction
5. Steps 1-4 are repeated for each backdated and reversal transaction on the application date.
6. Calculation of Gain / Loss and WAUC in respect of transactions with transaction date being the application date

The reconstruction of the transaction history will have the following information:

Information head	Remarks
Transaction Number	<p>For an "Original Transaction", this is the transaction number of the "Original Transaction"</p> <p>For a "Reversal Transaction", this is the transaction number of the "Reversal Transaction" that is being reversed.</p> <p>For an 'Adjustment Transaction' this is the transaction number of the 'Original Transaction' which is being adjusted, not the transaction number of the associated 'Reversal' or 'Backdated Transaction'.</p>
Linked Transaction Number (LTN)	<p>For an "Original Transaction", this is null.</p> <p>For a "Reversal Transaction" this is null.</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Reversal Transaction" or "Backdated Transaction" that is associated with that "Original Transaction".</p>
Old Transaction Number (OTN)	<p>For an "Original Transaction" that has been reversed, this is the transaction number of the "Original Transaction".</p> <p>For a "Reversal Transaction" this is the transaction number of the "Original Transaction" that is being reversed.</p> <p>For all other transaction types, this is null</p>
Unit Holder ID (UH ID)	<p>This is the Unit Holder ID associated with the "Transaction Number", above</p>
Fund ID	<p>This is the Fund ID associated with the "Transaction Number", above</p>

Information head	Remarks
Transaction Type Description	<p>For an “Original Transaction” this would be Subscription, Switch In, Transfer To, Redemption, Switch Out or Transfer From.</p> <p>For a “Reversal Transaction” this would be the Transaction Description of the Original Transaction concatenated with the word “Reversal”. For instance, “Subscription Reversal”</p> <p>For an “Adjustment Transaction” this should be the Transaction Description of the “Original Transaction” concatenated with the word “Adjustment”, for instance, “Redemption Adjustment”.</p>
Transaction Amount (Amount)	<p>This is the gross transaction amount associated with the “Transaction Number”, above.</p> <p>It will be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p>
Effective Unit Price (Price)	<p>This is the effective transaction price, calculated as (Amount) / (Units), as the Transaction Base Price is stored with the transaction where the fees are mapped as a load to amount. For a reversal transaction, this should be the unit price of the transaction being reversed.</p>
Confirmed Units Allotted (Units)	<p>This is the number of confirmed units allotted associated with the “Transaction Number”, above. These are the units switched out of the From Fund for Switch Out transactions and the units switched into the To Fund for Switch In transactions.</p> <p>For Reversal Transactions, this will have the same value but opposite sign of the Original Transaction’s units.</p> <p>The Amount must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p>
Unit Balance (Balance)	<p>This is the unit balance after allocation of the current record.</p>
Weighted Average Unit Cost (WAUC)	<p>For Original Transactions, this is the WAUC calculated according to the definition described above.</p>
Excluded Price Components	<p>This is the excluded price component factor. It is computed as (Sum of excluded price components) * (units allotted), and the absolute value is considered. If the sum of excluded price components falls below zero, it is defaulted to zero.</p>
Weighted Average Gain or Loss (Gain)	<p>This is gain or loss for the transaction, calculated according to the rules described above.</p>
Transaction Date (Value Date)	<p>This is the transaction date corresponding to the “Transaction Number” transaction.</p>
Date Allotted	<p>The date on which the “Transaction Number” transaction is allocated.</p>

Information head	Remarks
WAUC Adjustment (WAUC Adj)	For an "Original Transaction" this value is zero. For an Adjustment Transaction, this is the WAUC of the Adjusted / Reversed transaction, less the WAUC of the Original Transaction, less the sum of all prior WAUC adjustments in respect of the Transaction Number of the current record.
Gain or Loss Adjustment (Gain Adj)	For an Original Transaction this value is zero. For an Adjustment Transaction, this is the Gain or Loss calculated on the Adjustment Transaction, less the Gain or Loss on the Original Transaction, less the Gain or Loss Adjustment on all previous transactions where the Transaction Number is the Transaction Number for the Adjustment Transaction, and Transaction Number <> Linked Transaction Number.
Entry Date and Time	This is the server date and time, at which the record is inserted into the database.
Record Indicator	This will be "NML" for normal transactions, "ADJ" for Adjustments and "REV" for Reversals. For Reversals, this code will be "NML" for the Original Transaction.

4.1.5 Computation of EUSD Average Cost/Capital Gain

To comply with EUSD (European Union Savings Directive), average cost/capital gain must be computed. EUSD came into effect on 1st July, 2005. For transactions recorded after 1st July, 2005, the Weighted Average Unit Cost approach is applicable for the computation of capital gains. However, for transactions recorded prior to 1st July, 2005, the average cost is the first NAV after 1st July, 2005.

For every transaction done by the unitholder, system tracks the average cost on the TIS (Taxable Income for the Subscription), maintained as part of fund price formula. During redemption, the difference between the TIS for the redemption's price date and the TIS average cost is the basis on which the gain is computed.

The following expression is used to compute gain:

Gain = Minimum of (TIS Component for the price day – TIS WAC) and (Unit cost or NAV – EUSD WAC)

Unit cost is used for all computations of EUSD WAC and EUSD Gain. However, if the transaction does not have any load (other than the CGT load) then the NAV is used instead of the unit cost.

Even if one of the components is less than or equal to 0, capital gain is treated as 0. The following example illustrates this:

4.1.6 Computation of Capital Gains for Redemption

The unit holders, without the joint holders, system will apply the tax on entire capital gain depending on the tax applicability if the RECOVERCGT is checked at Unit holder level.

The unit holders, having joint holders, system will split the Capital gain proportionately amongst all the holders and apply the tax depending on the tax applicability of

RECOVERCGT selected as a part of Unit holder/Joint holder set up at Unit holder/Joint holder level.

4.1.7 **Computation of Capital Gains for Transfers**

If 'Change of Beneficial Ownership' and 'RECOVERCGT' boxes are checked during Transfer transaction as part of Unit holder/Joint holder and if the set up is 1, then system will apply tax on capital gain.

If Change of Beneficial Ownership option is not selected, during Transfer transaction, then system will not apply tax on capital gain.

The tax calculation will be done as follows:

- On transaction unitization date
- Calculation details will be stored separately for each unit holder/ joint holder for information and reporting purposes.
- Settlement Amount at transaction level will reflect the tax deduction
- Capital gains balance check taking place with unit holder fund holdings will not consider provisional holdings in the fund.

4.1.8 **Reporting in Respect of Capital Gains Calculations**

You can obtain a report of the recalculations of Gain / Loss and the WAUC, in respect of each transaction, in the following format:

Information head	Remarks
Transaction Number	<p>For an "Original Transaction", this is the transaction number of the "Original Transaction"</p> <p>For a "Reversal Transaction", this is the transaction number of the "Reversal Transaction"</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Original Transaction" which is being adjusted, not the transaction number of the associated "Reversal" or "Backdated" Transaction.</p>
Linked Transaction Number (LTN)	<p>For an "Original Transaction", this is null.</p> <p>For a "Reversal Transaction" this is the transaction number of the Reversal Transaction.</p> <p>For an "Adjustment Transaction" this is the transaction number of the "Reversal Transaction" or "Backdated Transaction" that is associated with that specific "Original Transaction".</p>
Old Transaction Number (OTN)	<p>For an "Original Transaction" that has been reversed, this is the transaction number of the "Original Transaction".</p> <p>For a "Reversal Transaction" this is the transaction number of the "Original Transaction" that is being reversed.</p> <p>For all other transaction types, this is null</p>

Information head	Remarks
Unit Holder ID (UH ID)	This is the Unit Holder ID associated with the “Transaction Number”, above
Fund ID	This is the Fund ID associated with the “Transaction Number”, above
Transaction Type Description (Txn Type)	<p>For an “Original Transaction” this would be Subscription, Switch In, Transfer To, Redemption, Switch Out or Transfer From.</p> <p>For a “Reversal Transaction” this would be the Transaction Description of the Original Transaction concatenated with the word “Reversal”, for example, “Subscription Reversal”</p> <p>For an “Adjustment Transaction” this should be the Transaction Description of the “Original Transaction” concatenated with the word “Adjustment”, for example, “Redemption Adjustment”.</p>
Transaction Amount (Amount)	<p>This is the gross transaction amount associated with the “Transaction Number” above. For Reversal Transactions, this amount would be equal in value to that of the Original Transaction, but opposite in sign</p> <p>The Amount must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p> <p>For “Adjustment Transactions”, the amount must be changed zero.</p>
Effective Unit Price (Price)	The price will be the same as the price used in the calculation above to reconstruct the Transaction History. Note that the price cannot be calculated here, as for Adjustment Transactions, the amount and units are both changed to zero.
Confirmed Units Allotted (Units)	<p>These are the confirmed units allotted associated with the “Transaction Number”, above. These are the units switched out of the From Fund for Switch Out transactions and the units switched into the To Fund for Switch In transactions.</p> <p>For Reversal Transactions, this would take the same value but opposite sign of the Original Transaction’s units.</p> <p>The Units must be positive for inflow transactions and reversals of outflow transactions, and negative for outflow transactions and reversal of inflow transactions.</p> <p>For “Adjustment Transactions”, the units must be changed to zero.</p>
Weighted Average Unit Cost (WAUC)	<p>For Original Transactions, this is the WAUC calculated according to the definition described in this document.</p> <p>For Reversal or Adjusted Transactions, this is the adjusted WAUC calculated from the reconstructed transaction history.</p>
Excluded Price Components	This is the excluded price component factor. It is computed as (Sum of excluded price components) * (units allotted), and the absolute value is considered. If the sum of excluded price components falls below zero, it is defaulted to zero.

Information head	Remarks
Weighted Average Gain or Loss (Gain)	For an Original Transaction, this is the gain or loss for the transaction, calculated according to the rules described in this document. For an Adjustment or Reversal transaction, this would be the Gain or Loss Adjustment associated with that transaction.
Transaction Date (Value Date)	This is the transaction date corresponding to the "Transaction Number" transaction.
Date Allotted	The date on which the "Transaction Number" transaction is allocated.
WAUC Adjustment (WAUC Adj)	For an "Original Transaction", this value is zero. For a Reversal Transaction or an Adjustment Transaction, this is the WAUC of the Adjusted / Reversed transaction, less the WAUC of the Original Transaction, less the sum of all prior WAUC adjustments in respect of the Transaction Number of the current record.
Entry Date and Time	This is the server date and time at which the record is inserted into the Transaction History Reconstruction Table.
Record Indicator	This will be "NML" for Normal Transaction, "ADJ" for Adjustments and "REV" for Reversals. For Reversals this code will be "NML" for the Original Transaction.

The following reports may be obtained:

- Weighted Average Gain or Loss Detail Report
- Weighted Average Gain or Loss Detail Report

Weighted Average Gain or Loss Summary Report

This report is obtained for every Unit Holder ID, Fund Base Currency and Fund ID combination, from the details in the report format explained above. The following details are presented:

- Unit Holder ID
- Fund Currency
- Fund Name (Long Name)
- Opening Weighted Average Cost – The Opening Weighted Average Cost is calculated as (Opening Unit Balance) * (Opening Weighted Average Unit Cost). The Opening Unit Balance is the unit balance of the transaction where the Entry Date is immediately prior to the "From Date" parameter. The Opening Weighted Average Unit Cost is the Weighted Average Unit Cost of same transaction.
- Inflows – This is the sum of the "Amount" values for inflow transactions added to the sum of the "Amount" values in respect of reversal of inflow transactions. The "Amount" values for reversals of inflow transactions are considered negative, and the "Amount" for Adjustment Transactions is zero. This sum is calculated for transactions where the entry date of the transaction is between the user-entered From and To dates.
- Outflows – This is the sum of the "Amount" values for outflow transactions added to the sum of the "Amount" values in respect of reversal of outflow transactions. The "Amount" values for reversals of outflow transactions are considered negative, and the "Amount" for Adjustment Transactions is zero. This sum is calculated for transactions where the entry date of the transaction is between the user-entered From and To dates.

- Gain or Loss – This is the sum of the Gain or Loss for all transactions where the “Entry Date” is between the user-entered From and To dates.
- Closing WA Cost – The Closing Weighted Average Cost is calculated as (Opening WA Cost) + (Inflows) – (Outflows) + (Gain or Loss)
- Check – The check is to ensure that the Closing WA Cost, as calculated above, balances with the Weighted Average Unit Cost. The check is calculated as (Closing WA Cost) – (Weighted Average Cost associated with the last transaction where the “Entry Date” is less than or equal to the To Date) * (Unit Balance as at the To Date, calculated by “Entry Date”)

Weighted Average Gain or Loss Report

This report is obtained for every Unit Holder ID, Fund Base Currency and Fund ID combination, from the details in the report format explained above. Totals are presented for amount, units and gain for each fund, and also for all funds of the same currency. The following details are displayed for the reconstructed transaction history:

- Unit Holder ID
- Fund Base Currency
- Fund ID
- Transaction Number
- Transaction Type
- Amount
- Price
- Units
- WAUC
- Gain
- Value Date
- WAUC Adjustment
- Entry Date

4.1.9 Generating Capital Gains Detailed Report

You can generate capital gains details for a unit between a date range for a fund or product using ‘Capital Gains Detail’ screen. You can invoke this screen by typing ‘UTR00150’ in the

field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "Capital Gains Detail". It contains the following fields and controls:

- From Date: Text input with a calendar icon.
- To Date: Text input with a calendar icon.
- Unit Holder ID: Text input with a "Find UH" button.
- Fund ID: Text input with a search icon.
- Fund Identification Number: Text input.
- Product ID: Text input with a search icon.
- Policy Number: Text input with a search icon.
- Format: Dropdown menu set to "PDF".
- Output: Dropdown menu set to "View".
- Print At: Dropdown menu set to "Client".
- Printer: Text input with a search icon.
- Ok and Exit buttons at the bottom right.

You can specify the following details:

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view the capital gains details.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the capital gains is to be fetched.

You can also select unit holder ID by selecting 'Find UH' button.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Fund Identification Number

Display

The system displays the fund identification number for the selected fund ID.

Product ID

Alphanumeric; 10 Characters; Optional

Specify the product ID. Alternatively, you can select product ID from the option list. The system displays all valid product ID maintained in the system.

Policy Number

Alphanumeric; 16 Characters; Optional

Specify the policy number. Alternatively, you can select policy number from the option list. The system displays all valid policy number maintained in the system.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

4.1.10 Capital Gains Summary Report

You can generate capital gains summary report for a unit between a date range for a fund or product using 'Capital Gains Summary' screen. You can invoke this screen by typing 'UTR00151' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows the 'Capital Gains Summary' application window. The window title is 'Capital Gains Summary'. The interface includes several input fields and dropdown menus:

- From Date:** A text input field with a calendar icon.
- To Date:** A text input field with a calendar icon.
- Unit Holder ID:** A text input field with a 'Find UH' button below it.
- Fund ID:** A text input field with a search icon.
- Format:** A dropdown menu currently set to 'PDF'.
- Output:** A dropdown menu currently set to 'View'.
- Print At:** A dropdown menu currently set to 'Client'.
- Printer:** A text input field with a search icon.

At the bottom right of the window, there are two buttons: 'Ok' and 'Exit'.

You can specify the following details:

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view the capital gains details.

Unit Holder ID

Alphanumeric; 12 Characters; Optional

Specify the ID of the unit holder for whom the capital gains is to be fetched.

You can also select unit holder ID by selecting 'Find UH' button.

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. Alternatively, you can select fund ID from the option list. The list displays all valid fund ID maintained in the system.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

5. FATCA Reports

Oracle FLEXCUBE Investor Servicing provides FATCA related reporting facility. Following are the reports that are related to FATCA:

- FATCA Status Report
- FATCA Recalcitrant Report
- FATCA Chasing Date Report
- FATCA Document Status Report
- Authorized Representative Expiry Report

This chapter contains the following sections:

- [Section 5.1, "FATCA Status Report"](#)
- [Section 5.2, "FATCA Recalcitrant Report"](#)
- [Section 5.3, "FATCA Chasing Date Report"](#)
- [Section 5.4, "FATCA Document Status Report"](#)
- [Section 5.5, "Authorized Representative Expiry Report"](#)
- [Section 5.6, "Unit Holder Balance Holding"](#)
- [Section 5.7, "FATCA Di-Minimus Report"](#)
- [Section 5.8, "FATCA With Holding Report"](#)
- [Section 5.9, "FATCA Sponsor Report"](#)

5.1 FATCA Status Report

This section contains the following topics:

- [Section 5.1.1, "Generating the FATCA Status Report"](#)
- [Section 5.1.2, "Contents of the FATCA Status Report"](#)

5.1.1 Generating the FATCA Status Report

You can generate FATCA US Indicia report using 'FATCA Status Report' screen. This report provides information on the entities where US indicia is available in their records. To invoke

the screen, type 'UTR300' in the field at the top right corner of the application toolbar and click the adjoining arrow button.

The screenshot shows a window titled "FATCA Status Report" with the following controls:

- Entity Type: All (dropdown)
- FATCA Classification: (text input)
- Description: (text input)
- FATCA Status: All (dropdown)
- Format: PDF (dropdown)
- Output: View (dropdown)
- Print At: Client (dropdown)
- Printer: (text input)
- Buttons: Ok, Exit

5.1.2 Contents of the FATCA Status Report

You can specify the following report parameters:

Entity Type

Optional

Select the entity type from the adjoining drop-down list. The options available are:

- All
- Unit Holder
- CIF
- Auth rep
- Agent
- Agency Branch
- Agency Officer
- IFA
- Broker Code

FATCA Classification

Alphanumeric; 25 Characters; Optional

Select the FATCA classification from the adjoining option list.

Description

Display

The system defaults the description.

FATCA Status

Optional

Select the status of FATCA from the adjoining drop-down list.

- All
- Pending Classification
- Pending Classification-Partial
- Compliant
- Recalcitrant

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

The report contains the following details:

Header Section

Field	Description
Title	Name of the report
Report as on Date	Date as on which date the report is generated
Report Generation Date	Application date
Generated by	Maker ID

Detail Section

Field	Description
Entity Name	First name and last name of the corresponding UH
FATCA Classification	FATCA classification of the UH
FATCA Classification Reason	FATCA classification reason of the UH
FATCA Compliant	FATCA compliance status of the UH
FATCA Status	FATCA Status of the UH
Nationality	Nationality of the corresponding UH
Dual Nationality	Dual nation of the corresponding UH
Country of Birth	Country of birth of the corresponding UH
Country of Incorporation	Country of incorporation of the corresponding UH
Country of Domicile	Country of domicile of the corresponding UH
Correspondence Address	Address lines 1 to 4 with name of the country, separated by comma
Alternate Address	Alternate address lines 1 to 4 with name of the country, separated by comma
Registered/permanent Address	Registered permanent address lines 1 to 4 with name of the country, separated by comma
Telephone Number1	Country code and the first telephone number
Telephone Number2	Country code and the second telephone number
Cell Phone Number	Country code and the cell phone number
TAX ID	TAX ID of the corresponding UH
TAX Circle	TAX circle of the corresponding UH
TAX ID Expiry Date	Expiry date of the Tax ID of the corresponding UH
Auth Rep ID	Authorized representative if any
Auth Rep Name	First and last names of the authorized representative
Auth rep US Indicia Available	Value in the field 'US Indicia Available' for authorized representative CIF

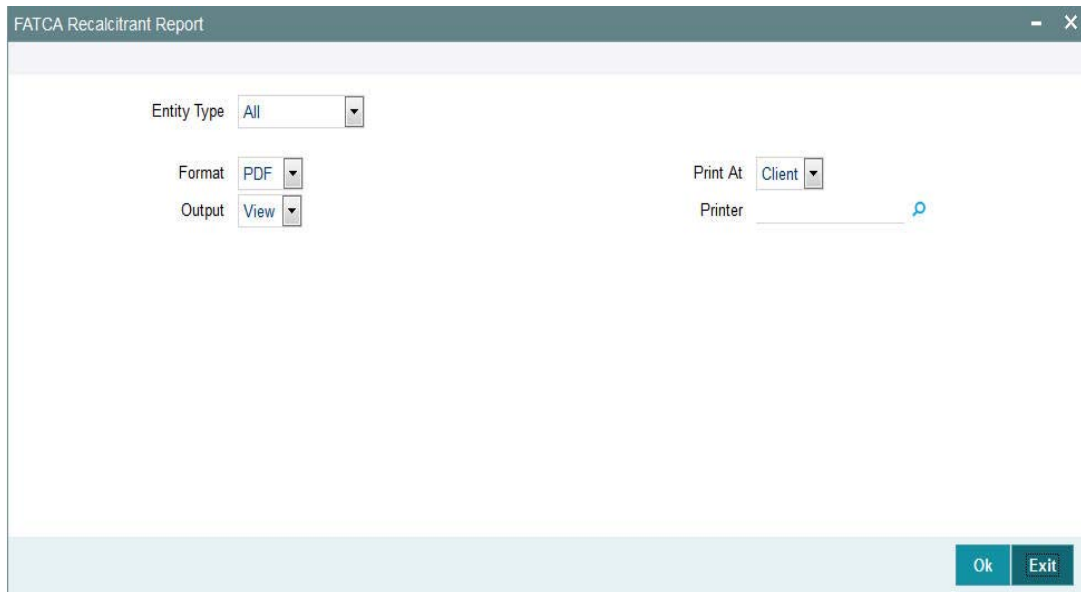
5.2 FATCA Recalcitrant Report

This section contains the following topics:

- [Section 5.2.1, "Generating FATCA Recalcitrant Report"](#)
- [Section 5.2.2, "Contents of the Report"](#)

5.2.1 Generating FATCA Recalcitrant Report

You can generate FATCA Recalcitrant report using 'FATCA Recalcitrant Report' screen. This report provides information on total number of recalcitrant accounts in the records. To invoke the screen, type 'UTR301' in the field at the top right corner of the application toolbar and click the adjoining arrow button.



The screenshot shows a software window titled "FATCA Recalcitrant Report". The window contains the following controls:

- Entity Type:** A dropdown menu currently showing "All".
- Format:** A dropdown menu currently showing "PDF".
- Output:** A dropdown menu currently showing "View".
- Print At:** A dropdown menu currently showing "Client".
- Printer:** A text input field that is currently empty, followed by a printer icon.
- Buttons:** "Ok" and "Exit" buttons are located at the bottom right of the window.

You can specify the following report parameters:

Entity Type

Optional

Specify the entity code for which the report is being generated. The option list displays following options:

- All
- Unit Holder
- CIF
- Auth Rep
- Agent
- Agency Branch
- Account Officer
- IFA
- Broker Code

Select the appropriate one.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Once you have set the parameters, click 'OK' button. The system generates the report in MS Excel format.

5.2.2 Contents of the Report

The report contains the following details:

Header Section

Field	Description
Title	Name of the report
Report As On Date	Date as on which date the report is generated
Report Generation Date	Date on which the report was generated
Generated by	Maker ID

Detail Section

Field	Description
Entity Type	Individual / Corporate
Number of Recalcitrant Accounts	Total number of recalcitrant accounts
Total Holding Value	Total holding value of all the recalcitrant accounts

5.3 FATCA Chasing Date Report

This section contains the following topics:

- [Section 5.3.1, "Generating FATCA Chasing Date Report"](#)
- [Section 5.3.2, "Contents of the Report"](#)

5.3.1 Generating FATCA Chasing Date Report

You can generate FATCA Chasing Date report using 'FATCA Chasing Date Report' screen. This report provides information on all the entities whose chasing date has expired or will expire within a specific period mentioned in the report options. To invoke the screen, type 'UTR302' in the field at the top right corner of the application toolbar and click the adjoining arrow button.

The screenshot shows the 'FATCA Chasing Date Report' application window. The interface includes the following elements:

- Report as On:** A text input field with a calendar icon to its right.
- Entity Type:** A dropdown menu currently set to 'All'.
- No of Days:** An empty text input field.
- Format:** A dropdown menu currently set to 'PDF'.
- Output:** A dropdown menu currently set to 'View'.
- Print At:** A dropdown menu currently set to 'Client'.
- Printer:** An empty text input field with a search icon to its right.
- Buttons:** 'Ok' and 'Exit' buttons located at the bottom right of the window.

Report As On

Date Format; Optional

Specify the date as on which the report needs to be generated. You can use the adjoining date button to select the appropriate date from the calendar.

Entity Type

Optional

Specify the entity code for which the report is being generated. The option list displays following options:

- All
- Unit Holder
- CIF
- Auth Rep
- Agent
- Agency Branch
- Account Officer
- IFA
- Broker Code

Select the appropriate one.

No of Days

Numeric; 22 Characters; Optional

You can include the entities with chasing date that are about to expire in a certain number of days. Specify the number of days here.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Once you have set the parameters, click 'OK' button.

5.3.2 Contents of the Report

The report contains the following details:

Header Section

Field	Description
Title	Name of the report
Report As On Date	Date as on which date the report is generated
Entity Type	The type of entity, whether individual, corporate, entity, broker or auth rep
Entity ID	The ID of the entity
No of Days	The number of days for which the documentation is pending
Report Generation Date	The date on which the report was generated
Generated by	Maker ID

Detail Section

Field	Description
Entity Details	
Entity	Unit holder
Entity ID	ID of the entity listed
Document Details	
Document ID	The document ID maintained as part of Entity FATCA Classification Maintenance
Document Name	Name of the Document (the document type maintained against each entity in the document maintenance)
Expiry Date	Date of expiry of that document

5.4 FATCA Document Status Report

This section contains the following topics:

- [Section 5.4.1, "Generating FATCA Document Status Report"](#)
- [Section 5.4.2, "Contents of the Report"](#)

5.4.1 Generating FATCA Document Status Report

You can generate FATCA Document Status report using 'FATCA Document Status' screen. This report provides information on the status of the FATCA documents. To invoke the

screen, type 'UTR303' in the field at the top right corner of the application toolbar and click the adjoining arrow button.

The screenshot shows a window titled "FATCA Document Status Report". Inside the window, there are several controls for configuring the report: "Expiry Date" (text field with a calendar icon), "Entity Type" (dropdown menu with "All" selected), "Format" (dropdown menu with "PDF" selected), "Output" (dropdown menu with "View" selected), "Print At" (dropdown menu with "Client" selected), and "Printer" (text field with a printer icon). At the bottom right of the window, there are "Ok" and "Exit" buttons.

You can specify the following report parameters:

Expiry Date

Date Format; Optional

Specify the expiry date of the documents that should be covered the report. You can use the adjoining date button to select the appropriate date from the calendar.

Entity Type

Optional

Specify the entity code for which the report is being generated. The option list displays following options:

- All
- Customer
- Unit Holder
- Broker
- Auth Rep
- Agent
- Agency Branch
- Account Officer
- IFA

Select the appropriate one.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF

- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Once you have set the parameters, click 'OK' button.

5.4.2 Contents of the Report

The report contains the following details:

Header Section

Field	Description
Title	Name of the report
Report Generation Date	Date as on which date the report is generated
Expiry Date	Expiry date provided in the search criteria
Generated by	Maker ID

Detail Section

Field	Description
Entity Details	
Entity	Entity name
Entity ID	ID of the entity listed
Document Details	

Field	Description
Document ID	The document ID maintained as part of Entity FATCA Classification Maintenance
Document Name	Name of the document (the document type that will be maintained against each entity)
Expiry Date	Date of expiry of that document

For a given entity, you can find the details of multiple documents in the report.

5.5 Authorized Representative Expiry Report

This section contains the following topics:

- [Section 5.5.1, "Generating the Authorized Representative Expiry Report"](#)
- [Section 5.5.2, "Contents of the Report"](#)

5.5.1 Generating the Authorized Representative Expiry Report

You can generate Authorized Representative Expiry Report using 'Auth Rep Expiry Report' screen. This report provides information on the status of the authorized representatives that have expired or are going to expire on the date of report. To invoke the screen, type 'UTR304' in the field at the top right corner of the application toolbar and click the adjoining arrow button.

The screenshot shows a dialog box titled "Auth Rep Expiry Report". It contains the following fields and controls:

- Expiry date:** A text input field with a calendar icon to its right.
- No of days:** A text input field.
- Format:** A dropdown menu currently showing "PDF".
- Output:** A dropdown menu currently showing "View".
- Print At:** A dropdown menu currently showing "Client".
- Printer:** A text input field with a search icon to its right.
- Buttons:** "Ok" and "Cancel" buttons are located at the bottom right of the dialog.

You can specify the following report parameters:

Expiry Date

Date Format; Optional

Specify the date as on which you need to generate the report. You can use the adjoining date button to select the appropriate date from the calendar.

No of Days

Numeric; 4 Characters; Optional

You can include the authorized representatives that are about to expire in a certain number of days. Specify the number of days here.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

Once you have set the parameters, click 'OK' button.

5.5.2 Contents of the Report

The report contains the following details:

Header Section

Field	Description
Title	Name of the report
Report Generation Date	Date as on which date the report is generated
Generated by	Maker ID

Detail Section

Field	Description
Entity	
Entity	Entity name
Entity ID	Authorized representative ID
Document Details	
Expiry Date	Date of expiry of the authorized representative
Linked UH Details	UH ID of the linked unit holder
Linked UH ID	Name of the linked unit holder
No of Days	The number of days left for expiry

5.6 Unit Holder Balance Holding

This section contains the following topic:

- [Section 5.6.1, "Generating Unit Holder Balance Handling for US Source Accounts Report"](#)

5.6.1 Generating Unit Holder Balance Handling for US Source Accounts Report

You can generate Unit Holder Balance Handling for US source accounts Report using 'Unit Holder Balance Handling for US source accounts Report' screen. You can invoke this screen by typing 'UTR00401' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

Unit Holder Balance Handling for US source accounts Report

Date

Investor Type

FATCA Classification

FATCA Fund Id

FATCA Status

Format

Output

Print At

Printer

Ok Exit

You can specify the following details:

Date

Date Format; Optional

Select the date to generate unit holder balance handling report from the adjoining calendar.

Investor Type

Optional

Select the type of investor from the drop-down list. The list displays the following values:

- Individual
- Corporate
- Both

FATCA Classification

Alphanumeric; 1000 Characters; Optional

Specify the FATCA classification.

FATCA Fund ID

Optional

Select the FATCA fund ID status from the drop-down list. The list displays the following values:

- Yes
- No

FATCA Status

Select the FATCA Status from the drop-down list. The list displays the following values:

- Recalcitrant
- Pending Classification
- Compliant

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client

- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button. The report details are displayed.

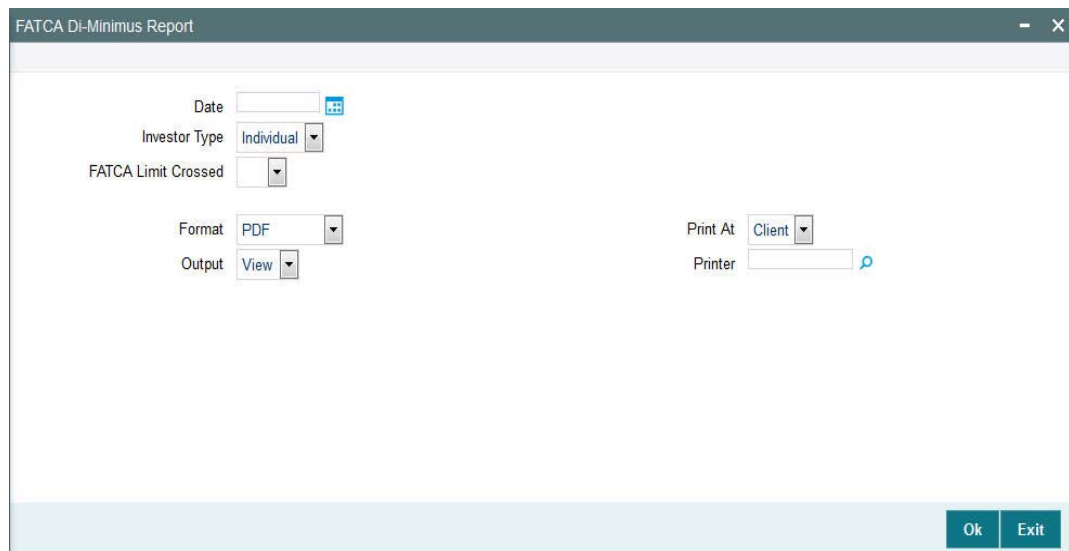
5.7 FATCA Di-Minimus Report

This section contains the following topic:

- [Section 5.7.1, "Generating FATCA Di-Minimus Report"](#)

5.7.1 Generating FATCA Di-Minimus Report

You can generate FATCA Di-minimus report using 'FATCA Di-Minimus Report' screen. You can invoke this screen by typing 'UTR00402' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

Date

Date Format; Optional

Select the date to generate FATCA Di-Minimus Report from the adjoining calendar.

Investor Type

Optional

Select the type of investor from the drop-down list. The list displays the following values:

- Individual
- Corporate
- Both

FATCA Limit Crossed

Optional

Select if FATCA limit is crossed or not from the drop-down list. The list displays the following values:

- Yes
- No

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

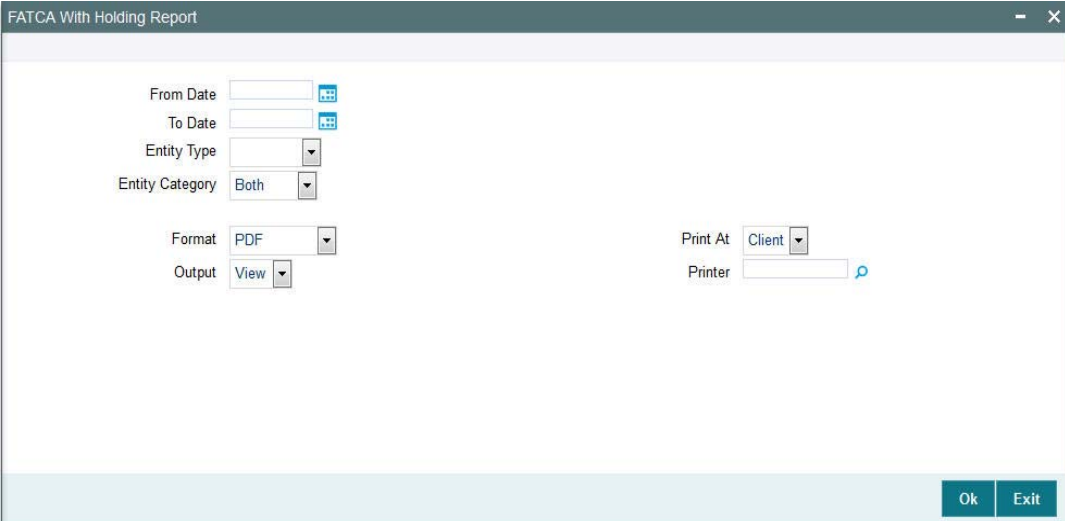
5.8 FATCA With Holding Report

This section contains the following topic:

- [Section 5.8.1, "Generating FATCA With Holding Report"](#)

5.8.1 Generating FATCA With Holding Report

You can generate FATCA With Holding report using 'FATCA With Holding Report' screen. You can invoke this screen by typing 'UTR00403' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



You can specify the following details:

From Date and To Date

Date Format; Optional

Select the dates that specify the period between which you want to view FATCA holding details.

Entity Type

Optional

Select the type of entity from the drop-down list. The list displays the following values:

- Unit Holder
- Broker

Entity Category

Optional

Select the entity category from the drop-down list. The list displays the following values:

- Individual
- Corporate
- Both

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

5.9 FATCA Sponsor Report

This section contains the following topic:

- [Section 5.9.1, "Generating FATCA Sponsor Report"](#)

5.9.1 Generating FATCA Sponsor Report

You can generate FATCA sponsor report using 'FATCA Sponsor Report' screen. You can invoke this screen by typing 'UTR00408' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a window titled "FATCA Sponsor Report". The window contains several input fields and dropdown menus. On the left, there are two text input fields labeled "Sponsoring Entity Type" and "Sponsoring Entity Id", each with a magnifying glass icon to its right. Below these are two dropdown menus: "Format" with "PDF" selected and "Output" with "View" selected. On the right side, there are two more dropdown menus: "Print At" with "Client" selected and "Printer" with an empty field and a magnifying glass icon. At the bottom right of the window, there are two buttons: "Ok" and "Exit".

You can specify the following details:

Sponsoring Entity Type

Alphanumeric; 1 Character; Optional

Specify the sponsoring entity type. Alternatively, you can select sponsoring entity type from the option list. The list displays all valid sponsoring entity type.

Sponsoring Entity ID

Alphanumeric; 12 Characters; Optional

Specify the sponsoring entity ID. Alternatively, you can select sponsoring entity ID from the option list. The list displays all valid sponsoring entity ID.

Format

Optional

Select the format from the drop-down list. The list displays the following values:

- PDF
- HTML
- Excel
- Excel (.xlsx)
- RTF

Output

Optional

Select the output from the drop-down list. The list displays the following values:

- View
- Print
- Spool

Print At

Optional

Select the printing location from the drop-down list. The list displays the following values:

- Client
- Server

Printer

Alphanumeric; 15 Characters; Optional

Specify the printer details from adjoining option list.

After making your specifications, click 'Ok' button.

6. Function ID Glossary

L	
LER00074	3-222
LER00075	3-223
LER00076	3-224
LER00077	3-226
LER00088	3-227
R	
RPDPARAM	2-3
RPSPARAM	2-4
U	
UTDACCST	3-59
UTDFNBAL	3-62
UTDHINAV	3-196
UTDJBVIW	3-67
UTDLMS	3-69
UTDPENFD	3-198
UTR00001	3-37
UTR00033	3-2
UTR00036	3-106
UTR00040	3-232
UTR00042	3-112
UTR00043	3-115
UTR00044	3-137
UTR00046	3-14
UTR00047	3-103
UTR00048	3-12
UTR00053	3-92
UTR00054	3-93
UTR00055	3-101
UTR00056	3-100
UTR00057	3-96
UTR00058	3-98
UTR00059	3-116
UTR00060	3-88
UTR00061	3-90
UTR00062	3-24
UTR00063	3-22
UTR00064	3-113
UTR00065	3-25
UTR00066	3-21
UTR00067	3-80
UTR0007	3-79
UTR00070	3-135
UTR00073	3-78
UTR00078	3-76
UTR00079	3-79
UTR00082	3-229
UTR00083	3-16
UTR00092	3-36
UTR00094	3-31
UTR00095	3-133
UTR00098	3-207
UTR00099	3-204
UTR00100	3-128
UTR00101	3-210
UTR00102	3-127
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UTR00104	3-30
UTR00107	3-10
UTR00110	3-28
UTR00115	3-26
UTR00121	3-183
UTR00122	3-40
UTR00123	3-154
UTR00124	3-142
UTR00126	3-180
UTR00127	2-7
UTR00128	3-172
UTR00129	3-174
UTR00130	3-176
UTR00131	3-178
UTR00132	3-181
UTR00133	3-119
UTR00134	3-146
UTR00137	3-139
UTR00139	3-230
UTR00150	4-10
UTR00151	4-12
UTR00152	3-35
UTR00154	3-148
UTR00155	3-121
UTR00156	3-108
UTR00157	3-95
UTR00158	3-151
UTR00159	3-152
UTR00160	3-122
UTR00161	3-109
UTR00163	3-111
UTR00164	3-156
UTR00168	3-213

UTR00169	3-149		
UTR00172	3-117		
UTR00173	3-165		
UTR00176	3-162	UTR00310	2-54
UTR00182	3-163	UTR00321	2-56
UTR00183	3-171	UTR00401	5-15
UTR00184	3-215	UTR00402	5-17
UTR00185	3-157	UTR00403	5-19
UTR00186	3-159	UTR00408	5-20
UTR00187	3-131	UTR300	5-2
UTR00188	3-169	UTR301	5-6
UTR00189	3-124	UTR302	5-8
UTR00190	3-168	UTR303	5-11
UTR00191	3-166	UTR304	5-13
UTR00192	3-5	UTR305	2-22
UTR00193	3-4	UTR306	2-24
UTR00194	3-216	UTRDG1G2	2-11
UTR00195	3-218	UTRDLREP	2-16
UTR00196	3-160	UTRGOREP	2-32
UTR00210	2-9	UTRLMS	3-75
UTR00211	2-19	UTRPERCM	2-39
UTR00212	3-141	UTRPEVLG	3-7
UTR00213	3-189	UTRPRQRY	2-37
UTR00214	3-191	UTRSCCVN	2-26
UTR00215	3-193	UTRSIIDS	2-29
UTR00216	3-185	UTRSPREP	2-13
UTR00217	3-187	UTRSTREP	2-41
UTR00218	3-200	UTRTAXCR	3-202
UTR00219	2-46	UTRTXCTR	3-125
UTR00225	3-233	UTSCOINQ	3-42
UTR00226	2-35	UTSENQCE	3-50
UTR00228	3-85	UTSFH	3-52
UTR00230	2-48	UTSFHIDS	3-53
UTR00250	2-52	UTSFIN	3-44
UTR00256	2-51	UTSSPEVW	3-55
UTR00258	2-49	UTSUHLOA	3-56
UTR00259	2-44	UTSURATX	3-57