

Reports User Guide

Oracle FLEXCUBE Investor Servicing

Release 12.0.4.8.4

Part Number E57474_01

October 2018

Reports User Guide
October 2018
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1. 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 1.1, "Unit Holder Register Report"
- Section 1.2, "Transaction Load Listings"
- Section 1.3, "Creations/Liquidations Report"
- Section 1.4, "G2-G1 Unit Conversion Post Dividend Process Report"
- Section 1.5, "Swinging Price Report"
- Section 1.6, "Dilution Levy Report"
- Section 1.7, "Creations/Liquidations History Report"
- Section 1.8, "UCITS-KIID Received Override Report"
- Section 1.9, "UCITS-KIID Received SI Report"
- Section 1.10, "Share Class Conversion Report"
- Section 1.11, "SI/IDS Conversion Transaction Report"
- Section 1.12, "Global Order Report"
- Section 1.13, "Hedge Fund Report"
- Section 1.14, "Series Funds Report"
- Section 1.15, "Back Data Propagation Enquiry Report"

1.1 Unit Holder Register Report

This section contains the following topics:

- Section 1.1.1, "Generating Unit Holder Register Report"
- Section 1.1.2, "Contents of the Unit Holder Register Report"

1.1.1 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 is Fund ID's, All Unit Holders/Top <N>, Investor Type. This report will be ordered by Unit Holder ID, Investor Type, Country of Residence, Agent, Holdings, and Zip Code. You can invoke the 'Unitholder Register' screen by typing

'UTR00127' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



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

1.1.2 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.

1.2 Transaction Load Listings

This section contains the following topics:

- [Section 1.2.1, "Generating the Transaction Load Listings"](#)
- [Section 1.2.2, "Contents of the Transaction Load Listings Report"](#)

1.2.1 Generating the Transaction Load Listings

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

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

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

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

1.2.2 Contents of the Transaction Load Listings Report

Transaction Number

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

Transaction Date

Displays the date of the transaction.

Fund ID

Displays the fund for which the transaction had taken place.

Unit Holder ID

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

Transaction Units

Displays the units applied for in the transaction.

Transaction Amount

Displays the Amount applied at the time of the transaction.

Mode of Payment

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

Agent

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

Branch

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

Broker

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

Parent Broker

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

Base Price

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

Load ID

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

Load Type

Indicates whether the Load is a Fee or an Incentive.

From Entity

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

To Entity

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

Processing Frequency

Displays the frequency at which the loads are processed.

Amount

Displays the Load amount applicable for the transaction.

Load to Price

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

Plus or Minus

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

Free Transaction

Indicates whether the transaction is a free transaction or not.

Price After Load

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

Amount After Load

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

Units Allotted

Displays the actual number of units allotted in the transaction.

1.3 Creations/Liquidations Report

This section contains the following topics:

- [Section 1.3.1, "Generating the Creations/Liquidations Report"](#)
- [Section 1.3.2, "Contents of the Creations/Liquidations Report"](#)

1.3.1 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:

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

1.3.2 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

1.4 G2-G1 Unit Conversion Post Dividend Process Report

This section contains the following topics:

- [Section 1.4.1, "Generating the G2-G1 Unit Conversion Post Dividend Process Report"](#)
- [Section 1.4.2, "Contents of G2-G1 Unit Conversion Post Dividend Process Report"](#)

1.4.1 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.



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

- Fund ID: Select the fund ID from the adjoining option list. On selection of the Fund ID, the name of the fund is displayed in the Fund Name field.
- Dividend Number: Select the dividend number from the adjoining option list.

1.4.2 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.

Dividend Number

Displays the Dividend 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.

Dividend Number

Displays the dividend 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

1.5 **Swinging Price Report**

This section contains the following topics:

- [Section 1.5.1, "Generating the Swinging Price Report"](#)
- [Section 1.5.2, "Contents of the Swinging Price Report"](#)

1.5.1 **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.



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

- From Date
- To Date
- Fund ID: 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.
- Fund family ID: 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.

1.5.2 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.

1.6 **Dilution Levy Report**

This section contains the following topics:

- [Section 1.6.1, "Generating the Dilution Levy Report"](#)
- [Section 1.6.2, "Contents of Dilution Levy Report"](#)

1.6.1 **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.



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

- From Date
- To Date
- Fund ID: Select the fund ID from the adjoining option list. The option list consists of all funds in which Dilution Levy is marked as 'Yes'.
- Generation Date
- Generated By

1.6.2 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.

1.7 Creations/Liquidations History Report

This section contains the following topics:

- [Section 1.7.1, "Generating the Creations/Liquidations History Report"](#)
- [Section 1.7.2, "Contents of the Creations/Liquidations Report \(Trading Box\)"](#)

1.7.1 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.



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

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

1.7.2 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.

1.8 UCITS-KIID Received Override Report

This section contains the following topics:

- [Section 1.8.1, "Generating the UCITS-KIID Received Override Report"](#)
- [Section 1.8.2, "Contents of the UCITS-KIID Received Override Report"](#)

1.8.1 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.



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

- From Date
- To Date

1.8.2 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.

1.9 UCITS-KIID Received SI Report

This section contains the following topics:

- [Section 1.9.1, "Generating UCITS-KIID Received SI Report"](#)
- [Section 1.9.2, "Contents of the UCITS-KIID Received SI Report"](#)

1.9.1 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.



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

- From Date
- To Date

1.9.2 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.

1.10 Share Class Conversion Report

This section contains the following topics:

- [Section 1.10.1, "Generating the Share Class Conversion Report"](#)
- [Section 1.10.2, "Contents of the Share Class Conversion Report"](#)

1.10.1 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.



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

- From Fund: This field displays all funds where conversion allowed is selected as 'Yes'. Select the appropriate fund ID from the adjoining option list.
- To Fund: This field displays all funds where conversion allowed is selected as 'Yes'. Select the appropriate fund ID from the adjoining option list.
- From Date

- To Date: The default value displayed here is the application date.

1.10.2 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.

1.11 SI/IDS Conversion Transaction Report

This section contains the following topics:

- [Section 1.11.1, "Generating the SI/IDS Conversions Transaction Report"](#)
- [Section 1.11.2, "Contents of the SI/IDS Conversion Transaction Report"](#)

1.11.1 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.



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

- From Fund: This field displays all funds where conversion allowed is selected as 'Yes'. Select the appropriate fund ID from the adjoining option list.
- To Fund: This field displays all funds where conversion allowed is selected as 'Yes'. Select the appropriate fund ID from the adjoining option list.
- SI Status: Select the appropriate SI status from the adjoining option list. The values are as follows:
 - Active
 - Cancelled

- Paused
- From Date
- To Date: The default value displayed here is the application date.

1.11.2 **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.

1.12 Global Order Report

This section contains the following topics:

- [Section 1.12.1, "Generating Global Order Report"](#)
- [Section 1.12.2, "Contents of the Global Order Report"](#)

1.12.1 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.



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

- GO Date: Displays the Global Order Generation Date. The default value is the application date.
- GO Number
- Transaction Number

1.12.2 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

1.13 Hedge Fund Report

This section contains the following topics:

- [Section 1.13.1, "Generating the Hedge Fund Report"](#)
- [Section 1.13.2, "Contents of the Hedge Fund Report"](#)

1.13.1 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.

1.13.2 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

1.14 Series Funds Report

This section contains the following topics:

- [Section 1.14.1, "Generating the Series Funds Report"](#)
- [Section 1.14.2, "Contents of the Series Funds Report"](#)

1.14.1 Generating the Series Funds Report

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

- Lead Fund
- Fund ID
- Date

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

1.14.2 Contents of the Series Funds Report

The report contains the following details:

- Fund ID

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

1.15 Back Data Propagation Enquiry Report

This section contains the following topics:

- [Section 1.15.1, "Generating the Back Data Propagation Enquiry Report"](#)
- [Section 1.15.2, "Contents of the Back Data Propagation Enquiry Report"](#)

1.15.1 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

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



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

1.15.2 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. 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 2.1, "Activity Reports"](#)
- [Section 2.2, "Broker Reports"](#)
- [Section 2.3, "Confirmation Reports"](#)
- [Section 2.4, "Other Reports"](#)
- [Section 2.6, "SI Reports"](#)
- [Section 2.7, "Transaction Reports"](#)
- [Section 2.8, "UH Info Reports"](#)
- [Section 2.9, "Unit Holder Reports"](#)
- [Section 2.10, "Reinvestment Report"](#)
- [Section 2.11, "Certificate Inquiry"](#)
- [Section 2.12, "Certificate Printing"](#)
- [Section 2.13, "Threshold Balance Report"](#)
- [Section 2.14, "Transfer Register Report"](#)
- [Section 2.15, "Tax Statements Reports"](#)
- [Section 2.16, "Investment Simulator"](#)
- [Section 2.17, "Multi Transaction Error Log Report"](#)
- [Section 2.18, "Tax Credit Report"](#)

2.1 Activity Reports

This section contains the following topics:

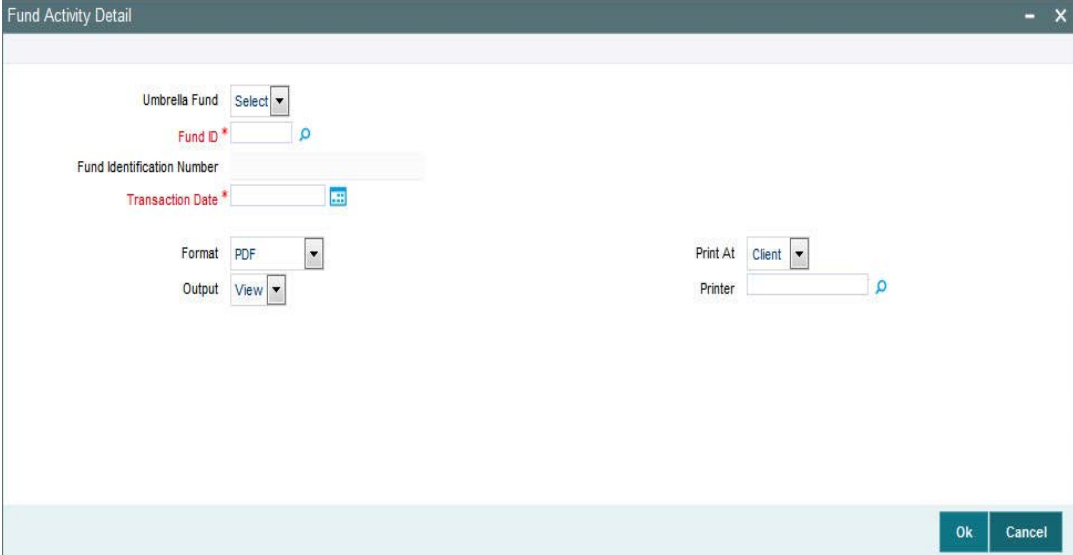
- [Section 2.1.1, "Activity Report Details"](#)
- [Section 2.1.2, "Generating the Fund Activity Report"](#)
- [Section 2.1.3, "Generating Inactive Users Report"](#)
- [Section 2.1.4, "Generating the User Profile Info Report"](#)
- [Section 2.1.5, "Generating SMS Event Log Report"](#)

2.1.1 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.

2.1.2 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.



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

2.1.2.1 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.

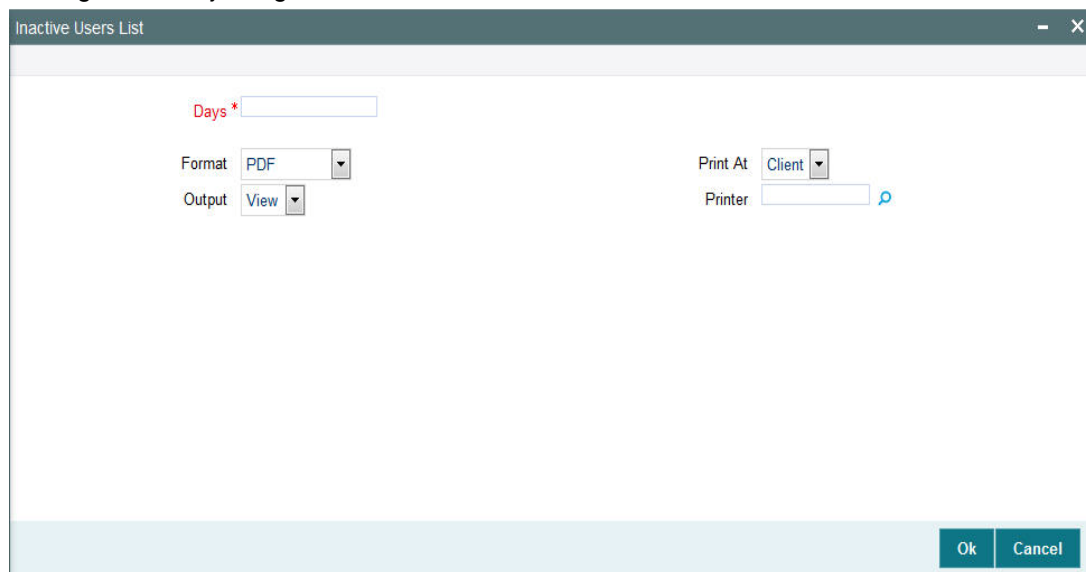
Net

This is the Total Subscriptions minus the Total Redemption made.

2.1.3 Generating Inactive Users Report

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

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



The screenshot shows a window titled "Inactive Users List". At the top left, there is a text input field labeled "Days *" with a red asterisk. Below it, there are two rows of controls: "Format" with a dropdown menu showing "PDF", and "Output" with a dropdown menu showing "View". To the right of these, there is a "Print At" dropdown menu showing "Client" and a "Printer" text input field. At the bottom right of the window, there are two buttons: "Ok" and "Cancel".

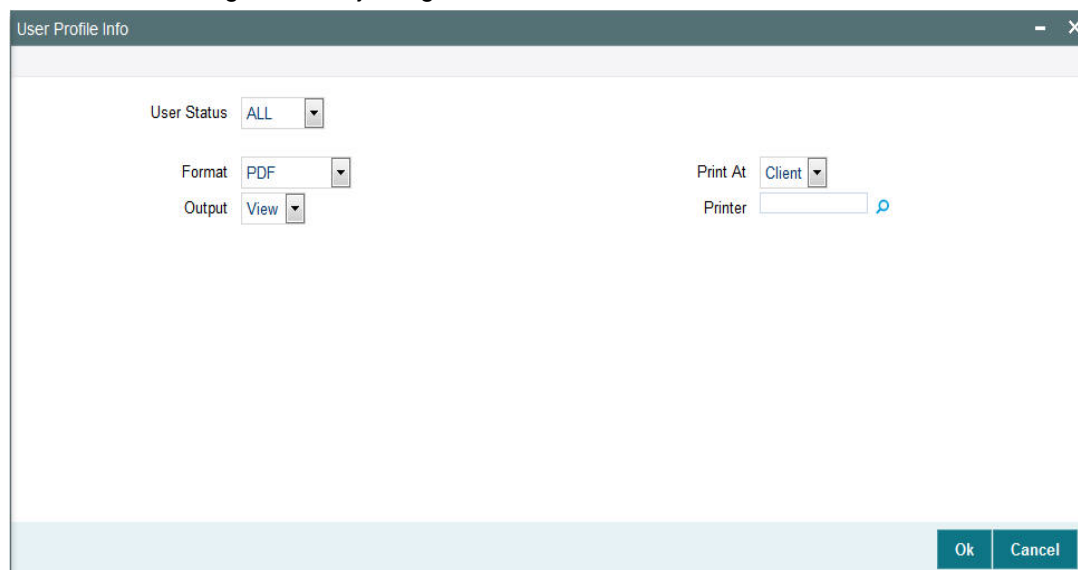
Enter the search criteria and click 'Ok' button to generate the report.

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

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

2.1.4 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 dialog box titled "User Profile Info". It contains the following controls:

- User Status: ALL (dropdown)
- Format: PDF (dropdown)
- Output: View (dropdown)
- Print At: Client (dropdown)
- Printer: [] (text field with search icon)
- Buttons: Ok, Cancel

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

2.1.4.1 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.

2.1.5 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.

2.2 **Broker Reports**

This section contains the following topics:

- [Section 2.2.1, "Broker Reports Details"](#)
- [Section 2.2.2, "Broker Communique Report"](#)
- [Section 2.2.3, "Broker Details Report Description"](#)
- [Section 2.2.4, "Generating Reporting Structure for Brokers Report"](#)
- [Section 2.2.5, "Broker Commission Payment Report Description"](#)

2.2.1 **Broker Reports Details**

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

2.2.2 **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:

2.2.2.1 **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.

2.2.2.2 **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.

2.2.2.3 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.

2.2.2.4 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.

2.2.2.5 Unit holder Balances across Funds and CASA Account Balances

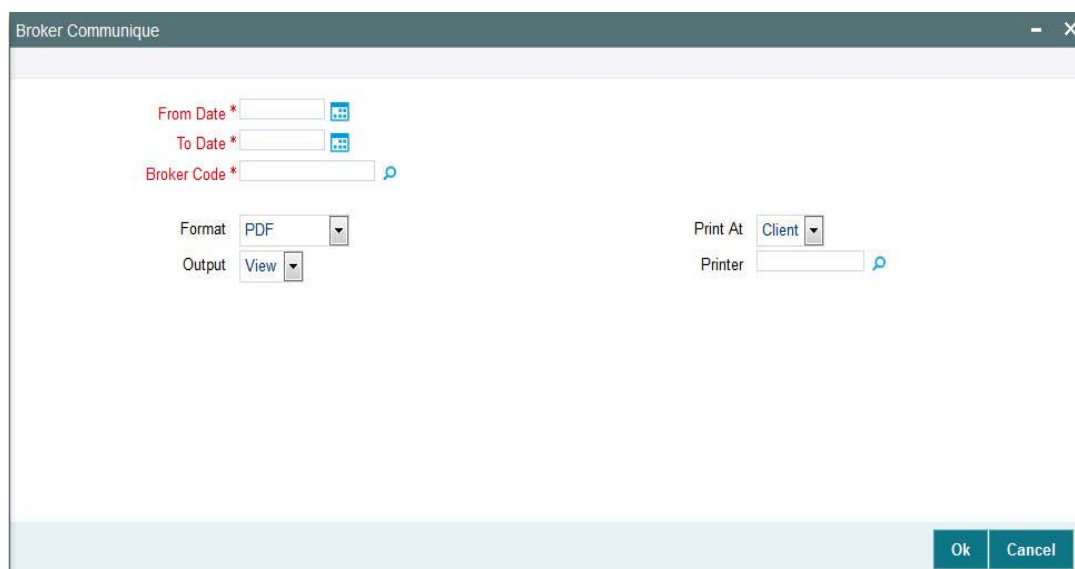
In the final section of this report, the fund-wise balances held by each unit holder whose introducer broker is the broker for whom the report is being printed, are displayed. For each unit holder, the following details are displayed fund-wise:

- 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.

2.2.2.6 **Generating Broker Communique Report**

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



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

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

After making your specifications, click 'Ok' button.

2.2.3 **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

2.2.3.1 **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

2.2.3.2 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.

2.2.3.3 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.

2.2.3.4 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.

2.2.3.5 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:

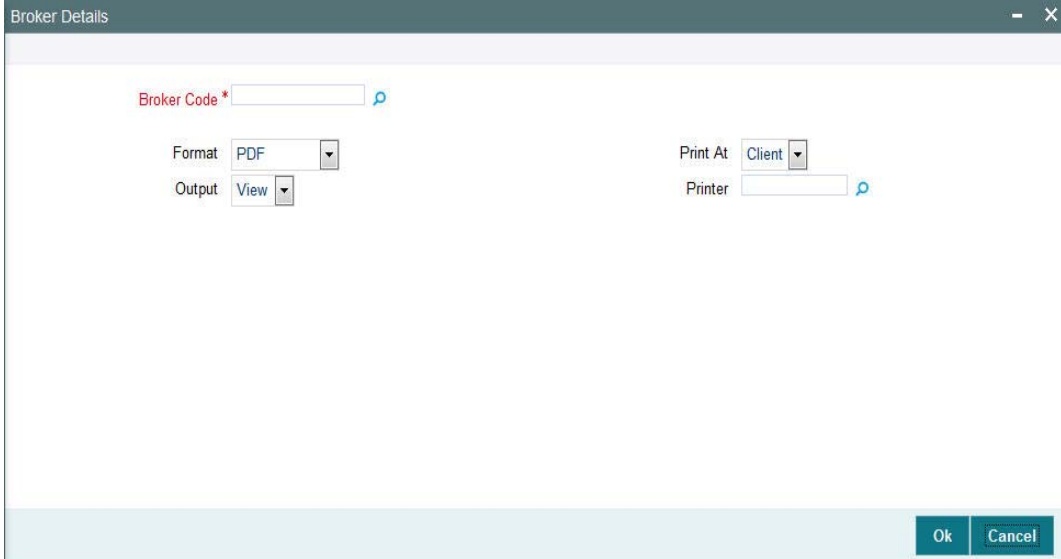
- The Income Distribution Mode, the Payment Split Percentage and the Check or Transfer Payment Split Percentage.
- The Transfer Details such as the Account Type, Number, Bank Name and Branch Name.

2.2.3.6 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.

2.2.3.7 Generating Broker Details Report

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



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

2.2.4 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

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

The screenshot shows a window titled "Broker Hierarchy" with a search bar at the top right. The main area contains the following fields and controls:

- Broker Code***: A text input field with a magnifying glass icon.
- Level 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.

At the bottom right, there are two buttons: "Ok" and "Cancel".

2.2.4.1 Contents of the Broker Hierarchy Report

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

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

Note

None of these details are mandatory.

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

2.2.5 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

2.2.5.1 Broker Details

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

2.2.5.2 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.

2.2.5.3 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.

2.2.5.4 Reinvestment Details

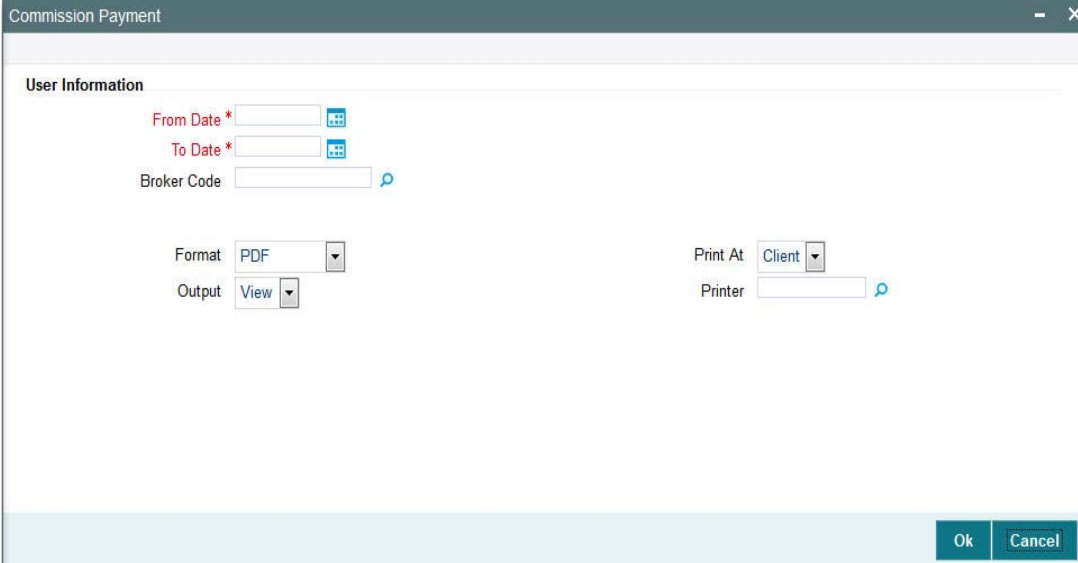
The details of the reinvestment options that are set up for this broker are displayed here. These details include the Payment Date corresponding to the commission which is being reinvested in part or full, the Reinvestment Unit Holder ID, Reinvestment Fund ID and the Reinvestment Amount.

2.2.5.5 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.

2.2.5.6 Generating Broker Commission Payment Report

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



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

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

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

2.3 Confirmation Reports

This section contains the following topics:

- [Section 2.3.1, "Generating Confirmation Reports"](#)
- [Section 2.3.2, "Details in Confirmation Reports"](#)

2.3.1 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.

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

The screenshot shows a software window titled "IPO Confirmation". The window contains a form 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 search icon.
- To Unit Holder ID: Text input field with a search icon.
- From Date: Date picker field with a red asterisk.
- To Date: Date picker field with a red asterisk.
- 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: Text input field.
- Include Related Parties: 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.
- Ok and Cancel 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:

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

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

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

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

2.3.2 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.

2.4 Other Reports

This section contains the following topics:

- [Section 2.4.1, "Other Reports Details"](#)
- [Section 2.4.2, "Generating the Allocation Error Report"](#)
- [Section 2.4.3, "Generating the Derived Load Report"](#)
- [Section 2.4.4, "Generating the Entity Details Report"](#)
- [Section 2.4.5, "Generating the Exchange Override Report"](#)
- [Section 2.4.6, "Generating Fund Price Report"](#)
- [Section 2.4.7, "Generating IDS Summary Report"](#)
- [Section 2.4.8, "Generating Income Advice Report"](#)
- [Section 2.4.9, "Generating LOI Non Fulfilment Report"](#)
- [Section 2.4.10, "Generating Transaction Load Override Report"](#)
- [Section 2.4.11, "Generating Load Override Report"](#)
- [Section 2.4.12, "Generating Trailing Commission Report"](#)
- [Section 2.4.13, "Generating Transaction Summary Report"](#)
- [Section 2.4.14, "Generating Transaction Summary Report"](#)

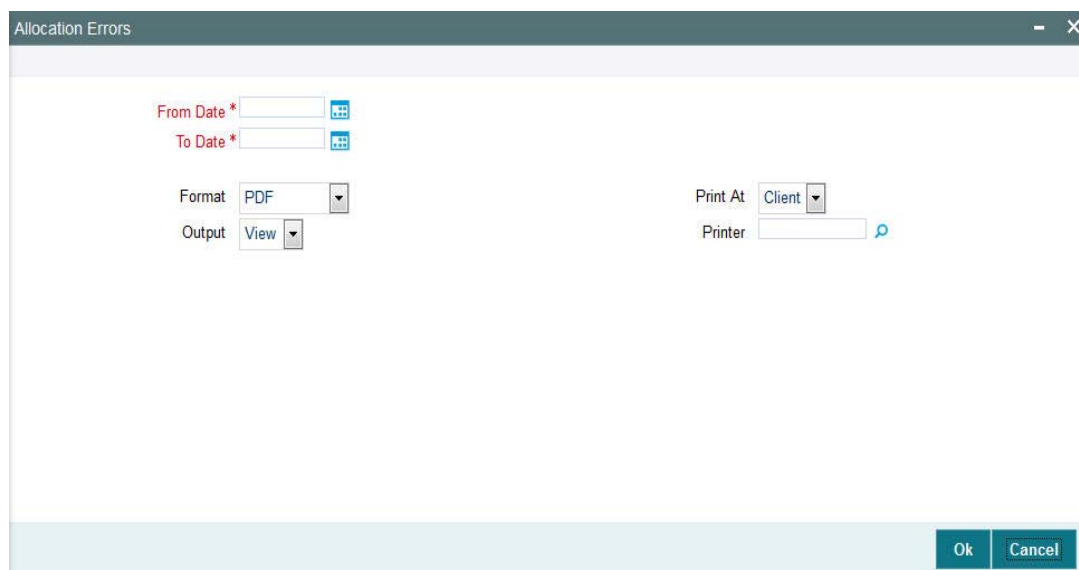
2.4.1 Other Reports Details

Some other types of reports are discussed here.

2.4.2 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.



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

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

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

2.4.3 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

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

The screenshot shows a dialog box titled "Derived Load Details". It contains the following fields and controls:

- To Entity:** A text input field with a search icon to its right.
- Default Language:** 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 to its right.
- Buttons:** "Ok" and "Cancel" buttons are located at the bottom right of the dialog.

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

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

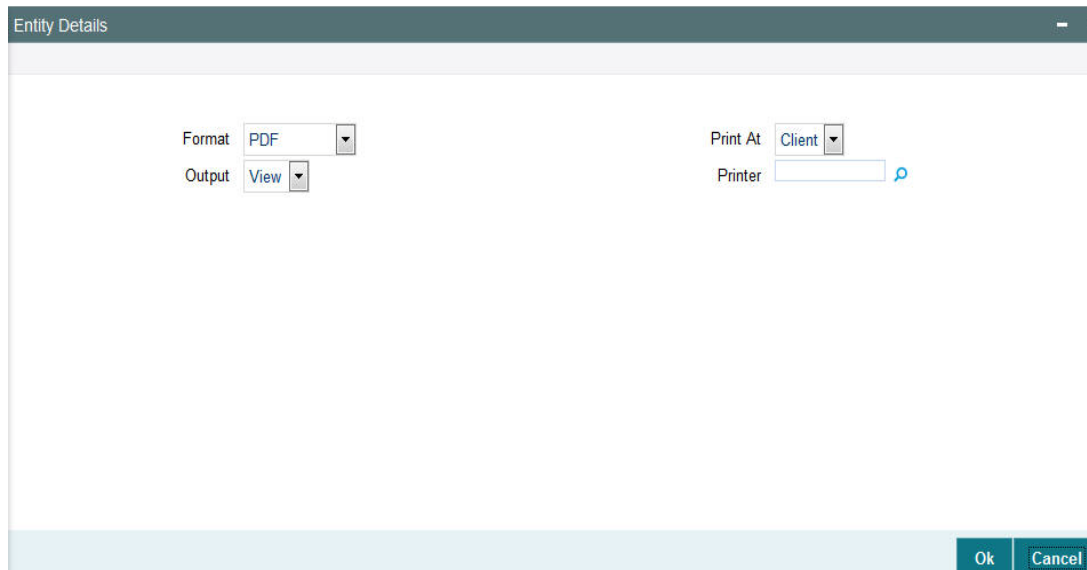
After making your specifications, click 'Ok' button. The report details are displayed.

2.4.4 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.

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



Enter the following details:

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

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

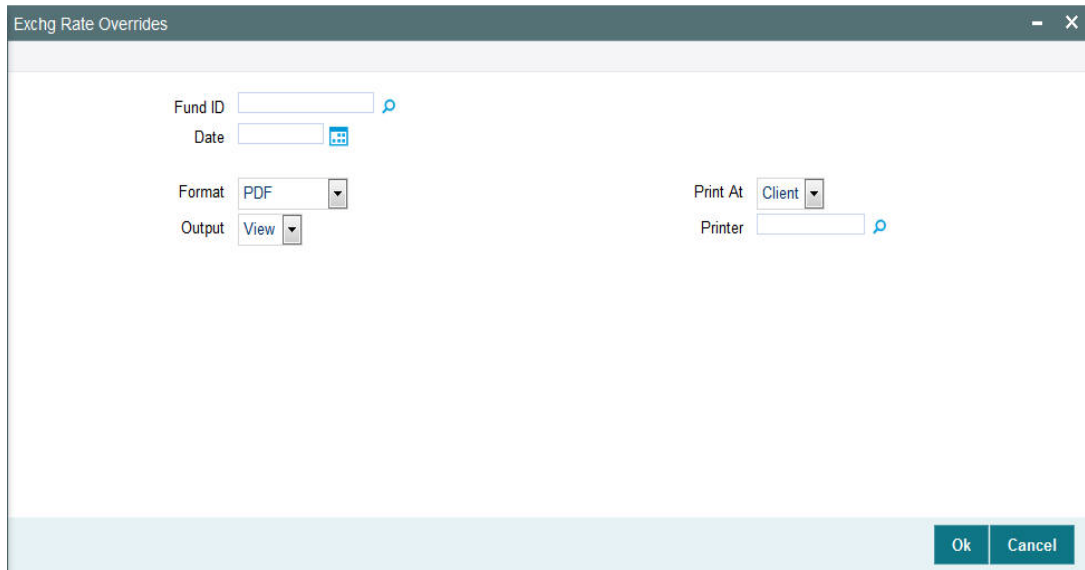
2.4.5 Generating the Exchange Override Report

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.

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



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

- The ID of the fund, for which the exchange rate override was performed, in the Fund ID field.
- The date on which the exchange rate was overridden, in the Date field.
- The language in which the report must appear, in the Report Language field.

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

2.4.6 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, Total assets, Outstanding Units, Total Foreign Investors Outstanding Units, Total number of Unit Holders. It also has details of the base prices of the all the transactions that are operational with the fund as of that particular date.

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

The screenshot shows a window titled "Fund Price Details". Inside the window, there are several input fields and dropdown menus. The "Fund ID *" field has a search icon. Below it is the "Fund Identification Number" field. The "Date *" field has a calendar icon. There are two dropdown menus: "Format" set to "PDF" and "Output" set to "View". To the right, there is a "Print At" dropdown set to "Client" and a "Printer" field with a search icon. At the bottom right of the window, there are "Ok" and "Cancel" buttons.

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

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

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

2.4.7 Generating IDS Summary Report

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

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

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

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

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

2.4.8 Generating Income Advice Report

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

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

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

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

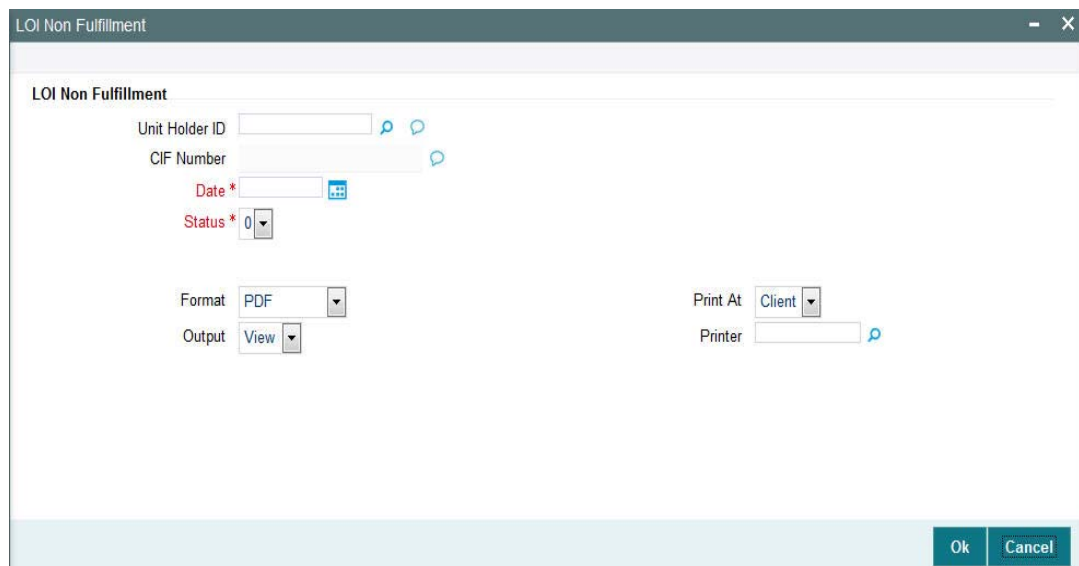
- The ID of the unit holder for whom the income payment was made, in the Unit Holder field.
- The details of the payment, such as the Payment Mode and the Payment Date.

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

2.4.9 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.

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



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

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

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

2.4.10 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.

2.4.10.1 Fields in Transaction Load Override Report screen

Transaction Number

Display Only

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

Transaction Date

Display Only

The dates of the concerned transactions are displayed here.

Unit Holder Number

Display Only

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

Unit Holder Name

Display Only

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

Fund ID

Display Only

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

Broker Code

Display Only

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

Load ID

Display Only

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

Transaction Mode

Display Only

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

Value Applied

Display Only

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

Original Load Percentage

Display Only

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

Override Load Percentage

Display Only

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

Original Load Amount

Display Only

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

Override Load Amount

Display Only

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

Date Allotted

Display Only

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

Units Allotted

Display Only

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

Maker ID

Display Only

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

Checker ID

Display Only

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

Agent Code

Display Only

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

Branch Code

Display Only

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

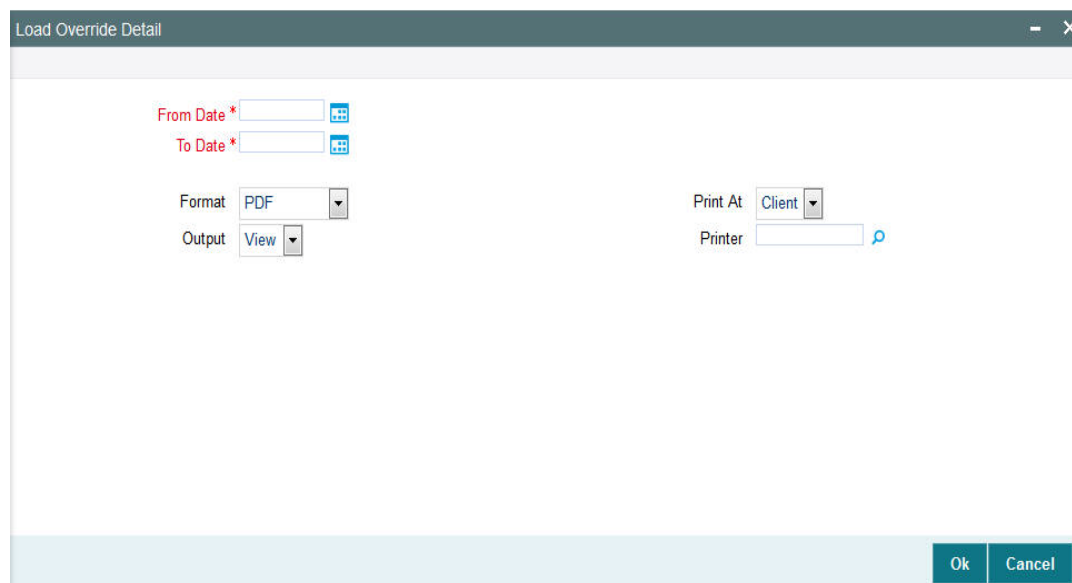
Override Module

Display Only

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

2.4.11 Generating Load Override Report

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



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

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

2.4.12 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.

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

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

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

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

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

2.4.13 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.

2.4.13.1 Transaction Summary Report Information

For each transaction type, the following details are displayed:

Unit Holder ID

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

Unit Holder Name

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

Agent Code

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

Branch Code

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

Broker

The code of the broker involved in the transaction.

Sub Broker

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

Amount or Units

Enter the mode of the transaction.

Transaction Value

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

Net Units Allotted

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

Total VAT %

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

Total Fee

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

Total Incentive

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

Gross Fee

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

Net Consideration

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

Total Amount

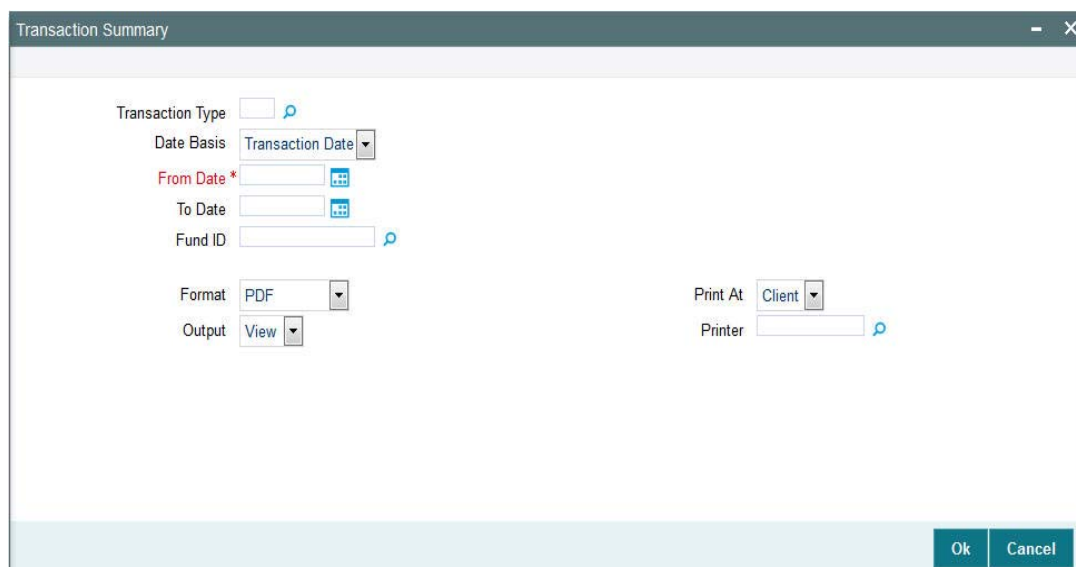
Displays the total amount value of transactions for the transaction type made for the day.

Remarks

Enter the Remarks for the transaction.

2.4.14 Generating Transaction Summary Report

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



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

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

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

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

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

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

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

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

2.5 Queries

This section contains the following topics:

- [Section 2.5.1, "Queries Reports Details"](#)

- [Section 2.5.2, "Generating Consolidated Inquiry"](#)
- [Section 2.5.3, "Retrieving Unitholder/ CIF Basic Details in Client Enquiry Screen"](#)
- [Section 2.5.4, "Viewing Details of Investor Fund Balances"](#)
- [Section 2.5.5, "Viewing Other Details"](#)
- [Section 2.5.6, "Generating Fund Price Inquiry"](#)
- [Section 2.5.7, "Generating Fund Rules Inquiry"](#)
- [Section 2.5.8, "View Jobs Scheduled"](#)

2.5.1 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

2.5.2 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.

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:

- Unit holder/ CIF information
- Investor fund balance
- Certificates
- Standing Instructions
- Income Distribution Setup
- Summaries of transactions entered into by the unit holder / CIF account customer
- G1 Holding of the investor for the given fund ID
- G2 holding of the investor for the given fund ID
- Equalization Income
- Gross income of the Unit holder and Fund ID.
- Payment Date
- Reinvestment Date

2.5.3 Retrieving Unitholder/ CIF Basic Details in Client Enquiry Screen

- To retrieve a CIF customer account, check the CIF No radio button in the Find For section.

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

2.5.4 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 below:

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

- Purchase – On clicking this link, the 'Subscription' screen gets displayed for the selected unit holder and fund combination. You can then input the transaction amount, mode of payment and settlement date and then save the subscription transaction.
- Redeem – On clicking this link, the redemption screen gets displayed to capture a new redemption for the selected unit holder and fund combination. This process validates

the zero balance in the fund. Here too you need to input minimal mandatory information to save the transaction.

- Switch – On clicking this link, the 'Switch' screen gets displayed to capture a switch transaction for that unit holder and fund combination. The selected fund is treated as a 'From Fund'. This also validates the zero balance in the 'From Fund'.
- New SI – Through this link you can invoke the 'SI' screen for the selected unit holder and fund combination. You can set up a new SI from here.
- Modify SI – This link opens the SI summary screen in 'Amend' mode and lets you amend an existing SI for the selected fund.

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

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.

2.5.5 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.

2.5.6 Generating Fund Price Inquiry

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

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

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

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

2.5.7 Generating Fund Rules Inquiry

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

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

The View Fund Rule screen is opened.

Maker Id	Date/Time	Mod No	Record Status
Checker Id	Date/Time	Authorization Status	Cancel

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

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

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

2.5.8 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 a software interface for viewing scheduled jobs. It includes a search bar, a date range selector, and a table for displaying job details. The table has columns for Job ID, Next Run Start Time, Frequency Basis, Event Code, Job Submission Time, Effective Start Time, and Effective I. The interface is clean and professional, with a light blue and white color scheme.

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

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

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

2.6 **SI Reports**

This section contains the following topics:

- [Section 2.6.1, "SI Reports Details"](#)
- [Section 2.6.2, "Generating Standing Instructions Amendments"](#)
- [Section 2.6.3, "Generating Standing Instructions Escalations"](#)
- [Section 2.6.4, "Generating Standing Instructions Reminders"](#)
- [Section 2.6.5, "Generating Standing Instructions Transaction Details Report"](#)

2.6.1 **SI Reports Details**

These reports display details of standing instructions maintained for investors.

2.6.2 **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. [Section 2.6.1, "SI Reports Details"](#)

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

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

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

2.6.3 Generating Standing Instructions Escalations

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

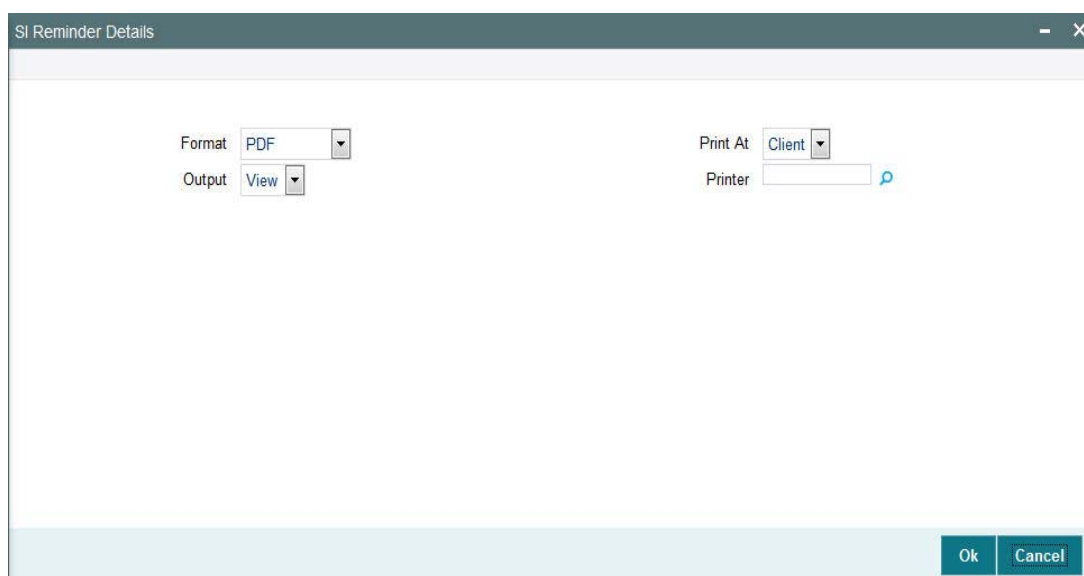
The SI Escalation Report generation screen is as shown below. You can invoke the 'SI Escalation Detail' screen by typing 'UTR00073' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

2.6.4 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.

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



The screenshot shows a dialog box titled "SI Reminder Details". It contains the following controls:

- Format: PDF (dropdown)
- Output: View (dropdown)
- Print At: Client (dropdown)
- Printer: (empty text field with a search icon)
- Buttons: Ok, Cancel

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

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

2.6.5 Generating Standing Instructions Transaction Details Report

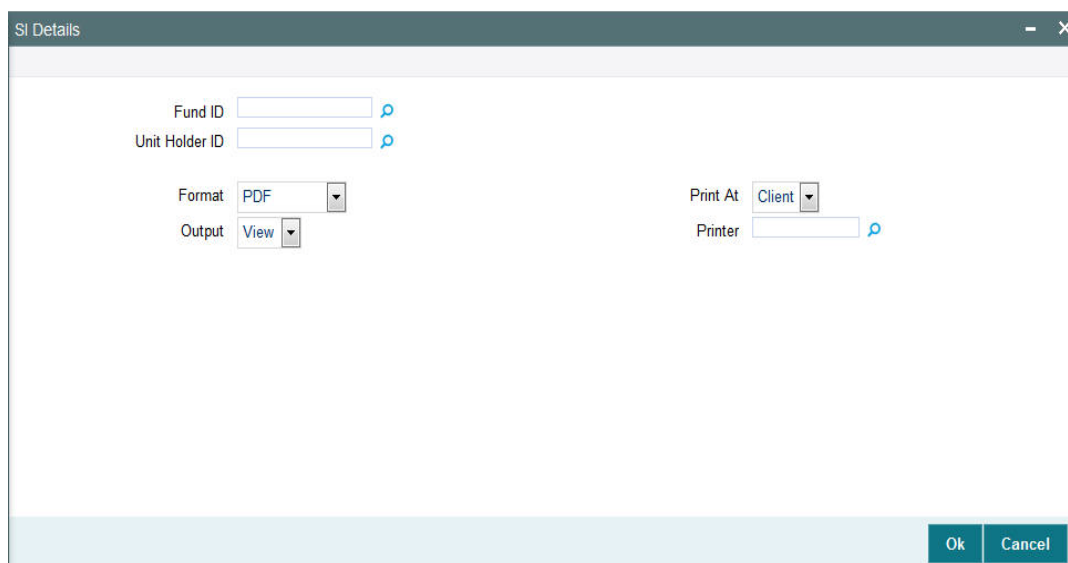
This report will print all the standing instructions for the given fund as of that date. It will only print the details of those standing instructions that are effective as of that date. Details of elapsed standing instructions will not be printed.

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.

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



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

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

2.7 Transaction Reports

This section contains the following topics:

- [Section 2.7.1, "Generating Transaction Reports"](#)
- [Section 2.7.2, "Generating Transaction Enquiry Report"](#)
- [Section 2.7.3, "Generating Daily IPO Transactions"](#)
- [Section 2.7.4, "Generating Daily Subscription Transactions"](#)
- [Section 2.7.5, "Generating Daily Redemption Transactions"](#)
- [Section 2.7.6, "Generating Daily Switch Transactions"](#)
- [Section 2.7.7, "Generating Daily Transfer Transactions"](#)
- [Section 2.7.8, "Generating Daily Block Transactions"](#)
- [Section 2.7.9, "Generating Daily Unblock Transactions"](#)
- [Section 2.7.10, "Generating Daily Split Transactions"](#)
- [Section 2.7.11, "Generating Daily Consolidation Transactions"](#)
- [Section 2.7.12, "Generating Daily Reissue Transactions"](#)

2.7.1 Generating Transaction Reports

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

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

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

The screenshot shows a window titled "IPO Confirmation" 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 search icon.
- To Unit Holder ID: Text input field with a search icon.
- 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 "Yes" selected.
- Communication Mode: Text input field with a search icon.
- From Batch: Text input field.
- 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.
- Buttons: "Ok" and "Cancel" buttons at the bottom right.

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

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

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

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

2.7.2 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. The screen is displayed below:

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

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

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

2.7.2.1 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.

2.7.3 Generating Daily IPO Transactions

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

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

2.7.3.1 By Fund

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

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

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

2.7.3.2 By Payment Mode

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

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

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

2.7.4 Generating Daily Subscription Transactions

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

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

2.7.4.1 By Fund

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

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

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

2.7.4.2 By Payment Type

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

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

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

2.7.5 Generating Daily Redemption Transactions

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

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

2.7.5.1 By Fund

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

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

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

2.7.5.2 By Payment Type

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

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

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

2.7.6 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.

2.7.7 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.

2.7.8 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.

2.7.9 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.

2.7.10 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.

2.7.11 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.

2.7.12 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.

2.8 UH Info Reports

This section contains the following topics:

- [Section 2.8.1, "UH Info Reports Details"](#)
- [Section 2.8.2, "Generating Unit Holder Acknowledgment"](#)
- [Section 2.8.3, "Generating Unit Holder Dividend Details Report"](#)
- [Section 2.8.4, "Generating Unit Holder Zero Balance Report"](#)

2.8.1 UH Info Reports Details

These reports display information regarding unit holder / CIF accounts.

2.8.2 Generating Unit Holder Acknowledgment

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

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

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

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

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

2.8.3 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.

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

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

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

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

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

2.8.4 **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.

2.8.4.1 **Unit Holder Zero Balance Report Information**

Unit Holder ID

12 Character Maximum, Alphanumeric, Display

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

Unit Holder Name

12 Character Maximum, Alphanumeric, Display

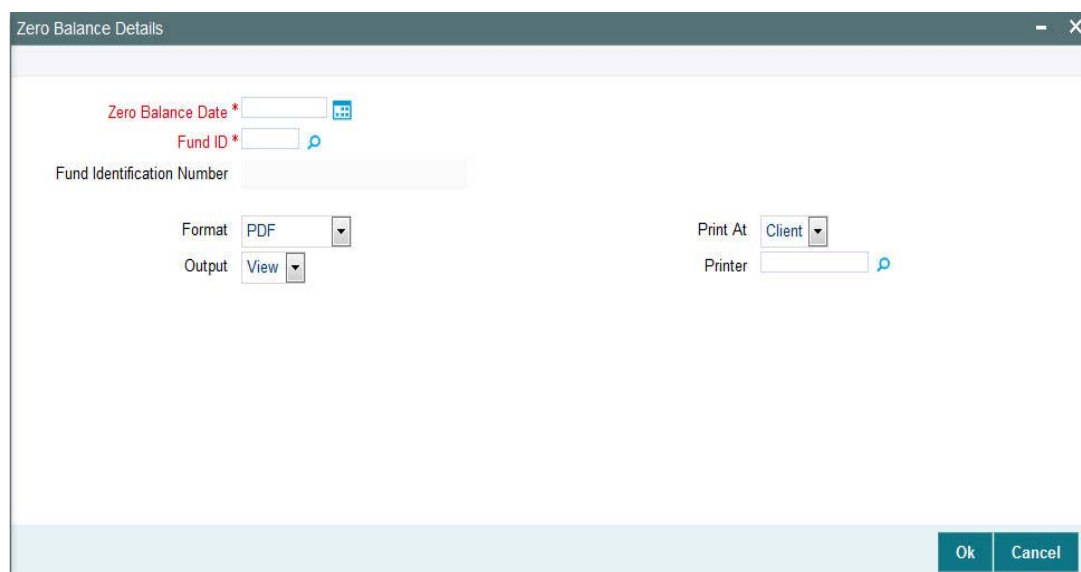
This field displays the Name of the unit holder whose balance has become zero.

Date

Date, Display

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

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



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

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

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

2.9 Unit Holder Reports

This section contains the following topics:

- [Section 2.9.1, "Printing Account Statements"](#)
- [Section 2.9.2, "Generating Auto Investment Reminder Report"](#)
- [Section 2.9.3, "Generating Unit Holder Register Report "](#)
- [Section 2.9.4, "Generating Unit Holder Holdings Summary Report"](#)
- [Section 2.9.5, "Generating Unit Holder Withholding Tax Report"](#)

2.9.1 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.

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

The screenshot shows the 'Account Statement' application window. It contains the following fields and options:

- Fund ID: [Text Input]
- Fund Identification Number: [Text Input]
- From Unit Holder ID *: [Text Input]
- To Unit Holder ID *: [Text Input]
- From Date *: [Date Picker]
- To Date *: [Date Picker]
- Market Value: [Dropdown Menu] (Selected: Latest)
- Include Related Parties
- Format: [Dropdown Menu] (Selected: PDF)
- Output: [Dropdown Menu] (Selected: View)
- Print At: [Dropdown Menu] (Selected: Client)
- Printer: [Text Input]

Buttons: Ok, Cancel

2.9.1.1 Fields in Account Statement screens

AMC Name

40 Character Maximum, Alphanumeric, Display

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

AMC Address

255 Character Maximum, Alphanumeric, Display

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

Unit Holder ID

12 Character Maximum, Alphanumeric, Display

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

Unit Holder Name

100 Character Maximum, Alphanumeric, Display

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

Unit Holder Address

255 Character Maximum, Alphanumeric, Display

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

Fund ID

Alphanumeric, Display

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

Fund Name

Alphanumeric, Display

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

Transaction Date

Display

Displays the date on which the transaction took place.

Transaction Type

25 Character Maximum, Alphanumeric, Display

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

Units Transacted

Numeric, Display

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

Transaction Number

Display

This displays the transaction number.

Price

Alphanumeric, Display

Displays the price at which the transaction was affected.

Unit Balance

Numeric, Display

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

Page 1 of 2

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

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

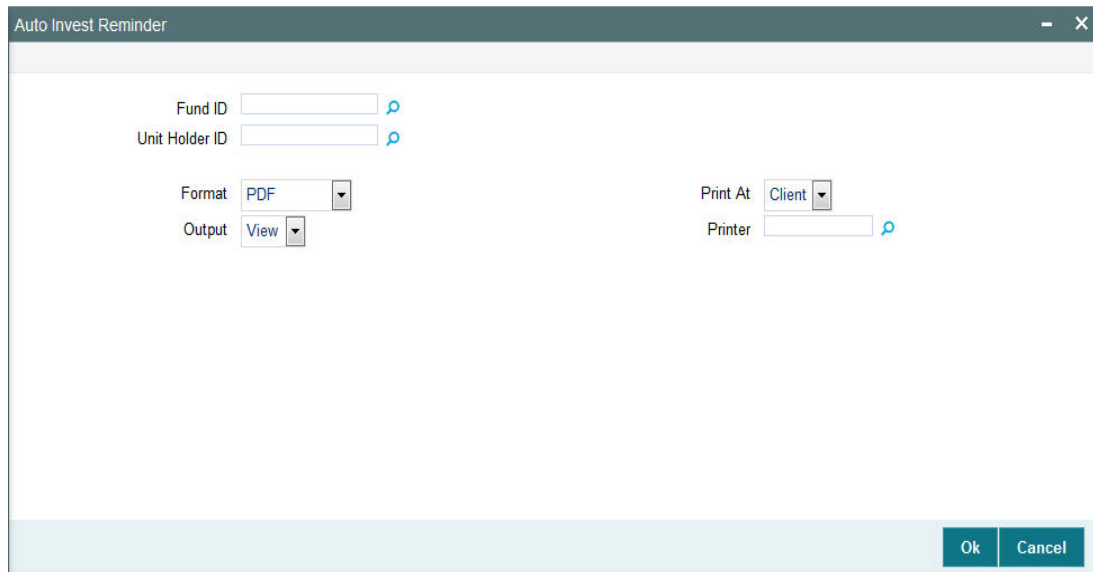
UNIT HOLDER ACCOUNT STATEMENT
FOR THE PERIOD 01/01/2007 To 31/03/2009

Date	Transaction Type	Book Value	Unit Price	Units Transacted	Unit Balance	Market Value	Gross amount	Net amount(In Fundbase) currency)	Load amount
Market Value of total investments held at OMSTA as on 11/01/2008 ZAR 0.00									
* All Book Values are in ZAR									
	Opening Balance	0.00			0.00				
1/10/2007	Normal Purchase	10000.000.00		1000.00	1000.00		10000.00	10000.00	
1/10/2007	UT Interest Transaction - Original	1000.000.00		100.00	100.00		1000.00	1000.00	
1/10/2007	UT Interest Transaction - Reversal	1000.000.00		(100.00)	1000.00		1000.00	1000.00	
1/10/2007	UT Interest Transaction - Amended	0.00.00		0.00	1000.00		0.00	0.00	

2.9.2 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.



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

Fund ID

6 Character Maximum, Alphanumeric, Display

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

Unit Holder

12 Character Maximum, Alphanumeric, Display

Display Only

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

Transaction Number

Display Only

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

Transaction Date

Display Only

The dates of the concerned transactions are displayed here.

Allocation Date

Display Only

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

Investment Date

Display Only

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

Reminder Date

Display Only

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

2.9.3 Generating Unit Holder Register Report

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

The screenshot shows the 'Unitholder Register' application window. The form includes the following fields and controls:

- Fund ID: Text input field with a search icon.
- Domicile*: Dropdown menu with 'Both' selected.
- Top: Text input field.
- Unit Holder ID: Text input field with a search icon.
- Date Basis*: Dropdown menu with 'Allocation Date' selected.
- Date: Text input field with a calendar icon.
- 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 window, there are 'Ok' and 'Cancel' buttons.

You can use this screen to:

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

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

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

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

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

2.9.3.1 Fields in Unit Holder Register Report screen

Fund ID

6 Character Maximum, Alphanumeric, Display

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

Fund Name

20 Character Maximum, Alphanumeric, Display

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

Date

Date, Display

This displays the Date on which the Report is printed.

Unit Holder ID

12 Character Maximum, Alphanumeric, Display

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

Unit Holder Name

85 Character Maximum, Alphanumeric, Display

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

Type of Investor

1 Character Maximum, Alphanumeric, Display

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

Corresponding Address

1 Character Maximum, Alphanumeric, Display

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

Telephone Number

1 Character Maximum, Alphanumeric, Display

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

Country of Residence

3 Character Maximum, Alphanumeric, Display

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

Agent Code

3 Character Maximum, Alphanumeric, Display

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

Total Holdings

Numeric, Display

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

Percentage of Holdings

Numeric, Display

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

2.9.4 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". At the top, there is a "Fund ID*" input field with a search icon. Below this, there are two rows of controls: "Format" with a dropdown menu set to "PDF", and "Output" with a dropdown menu set to "View". To the right of these, there are "Print At" and "Printer" dropdown menus, with "Print At" set to "Client". Both "Print At" and "Printer" have search icons. At the bottom right of the window, there are "Ok" and "Cancel" buttons.

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.

2.9.4.1 Fields in Unit Holder Holdings Summary Report Screen

The screenshot shows a PDF document in Adobe Reader. The document is titled 'Unit Holder Holdings Report as of 11/1/2008' for fund 'NFUND20 NF1000000020'. The report includes a table with the following data:

	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				Corporate			Individual		
Local	13.00	270,560.09	100.00	0.00	0.00	0.00	13.00	270,560.09	100.00
Foreign	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total	13.00	270,560.09	100.00	0.00	0.00	0.00	13.00	270,560.09	100.00
Fund Details				Standard Lot Equals	0.00	Par value	10.00		

Printed on 11/14/2007 4:54:55PM Omia 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.

2.9.5 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 "User Information" section with several input fields and controls. The fields include "Fund ID *" (with a red asterisk), "Fund Identification Number", "Payment Number *" (with a red asterisk), "Investor Category", "Investor Category Name", and "Investor Status" (a dropdown menu currently showing "Resident"). There is also an "Include Related Parties" checkbox. At the bottom of the form, there are "Format" (dropdown menu showing "PDF"), "Output" (dropdown menu showing "View"), "Print At" (dropdown menu showing "Client"), and "Printer" (text input field). "Ok" and "Cancel" buttons are located at the bottom right of the window.

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.

2.9.5.1 Fields in Withholdings Tax Report screen

User Information

Fund ID

6 Character Maximum, Alphanumeric, Display

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

Fund Name

20 Character Maximum, Alphanumeric, Display

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

Date

Date, Display

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

Unit Holder ID

12 Character Maximum, Alphanumeric, Display

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

Unit Holder Name

12 Character Maximum, Alphanumeric, Display

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

Address

255 Character Maximum, Alphanumeric, Display

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

Zip Code

6 Character Maximum, Alphanumeric, Display

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

Unit Holder Tax ID

12 Character Maximum, Alphanumeric, Display

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

Body of the Letter**Units**

Numeric, Display

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

Pay per Unit

Numeric, Display

This is the Rate of Dividend per Unit

Total

Numeric, Display

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

Tax

20 Character Maximum, Alphanumeric, Display

This is the Withholdings Tax percentage multiplied by Total.

Net

20 Character Maximum, Alphanumeric, Display

This is the Total minus the Withholdings Tax

Reference Number

20 Character Maximum, Alphanumeric, Display

This is the Dividend reference Number

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

2.10 Reinvestment Report

This section contains the following topics:

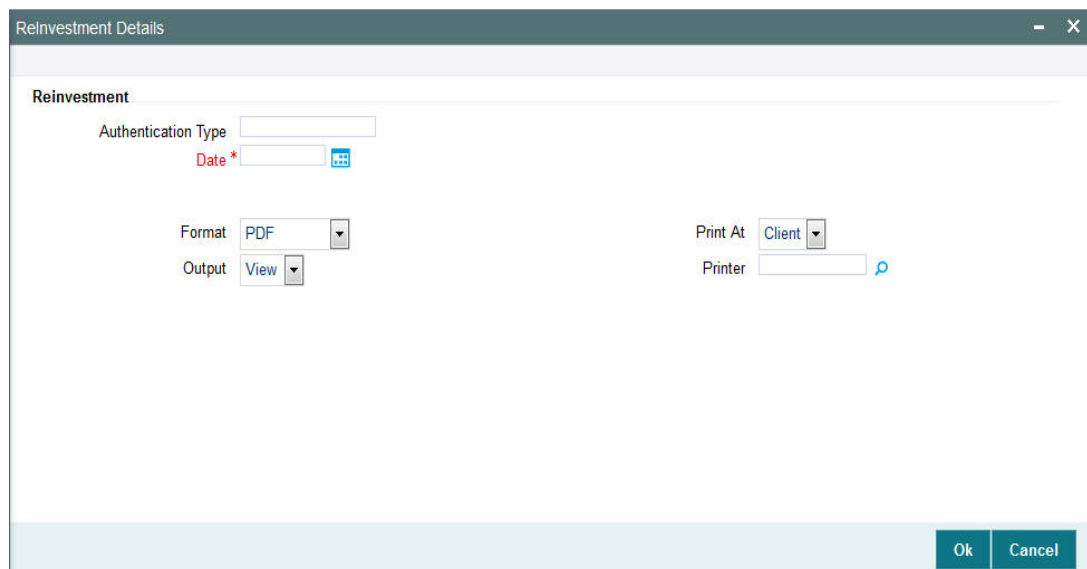
- [Section 2.10.1, "Generating Reinvestment Report"](#)
- [Section 2.10.2, "Contents of the Reinvestment Report screen"](#)

2.10.1 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.



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

2.10.2 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.

2.11 Certificate Inquiry

This section contains the following topics:

- [Section 2.11.1, "Generating the Certificate Inquiry Report"](#)
- [Section 2.11.2, "Contents of the Certificate Inquiry Screen"](#)

2.11.1 Generating the Certificate Inquiry Report

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

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

2.11.2 Contents of the Certificate Inquiry Screen

Fund ID

6 Character Maximum, Alphanumeric, Display

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

Certificate Status

1 Character Maximum, Alphanumeric, Display

The Status of the Certificate is displayed.

Transaction Number

12 Character Maximum, Alphanumeric, Display

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

Unit Holder ID

12 Character Maximum, Alphanumeric, Display

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

Certificate Number

Numeric, Display

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

Units

Numeric, Display

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

Envelope Number

15 Character Maximum, Alphanumeric, Display

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

New Envelope Number

15 Character Maximum, Alphanumeric, Display

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

2.12 Certificate Printing

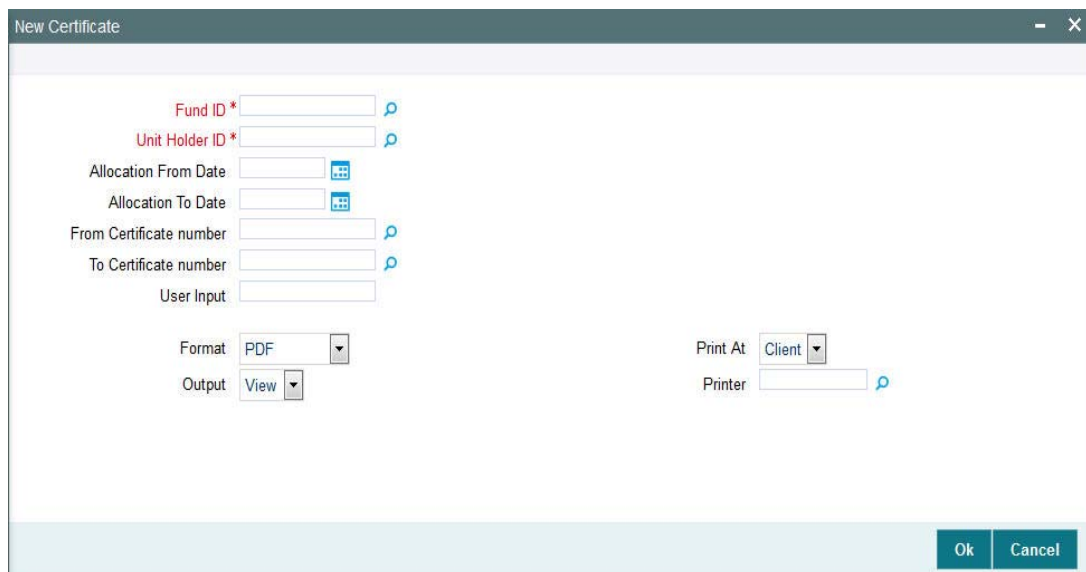
This section contains the following topics:

- [Section 2.12.1, "Printing New Certificates"](#)
- [Section 2.12.2, "Printing Duplicate Certificates"](#)
- [Section 2.12.3, "Reprinting Certificates"](#)

2.12.1 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.



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.

2.12.1.1 Fields in Printing New Certificates screen

Fund

12 Character Maximum, Alphanumeric, Optional

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

Unit Holder ID

12 Character Maximum, Alphanumeric, Optional

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

From Certificate Number

Numeric, Optional

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

To Certificate Number

Numeric, Optional

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

From Allocation Date

Date, Optional

Enter the start date for the Allocation.

To Allocation Date

Date, Optional

Enter the end date for the Allocation.

User Input

Alphanumeric, Mandatory

Enter any characteristic or remark relating to the certificate.

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

2.12.2 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 window titled "Dup. Certificate" with the following fields and controls:

- Fund ID:
- From Certificate number:
- To Certificate number:
- Allocation From Date:
- Allocation To Date:
- Unitholder ID:
- User Input:
- Format:
- Output:
- Print At:
- Printer:
- Buttons: Ok, Cancel

2.12.2.1 Fields in Dup. Certificate Screen

Fund

12 Character Maximum, Alphanumeric, Mandatory

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

Unit Holder ID

12 Character Maximum, Alphanumeric, Optional

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

From Certificate Number

Numeric, Mandatory

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

To Certificate Number

Numeric, Mandatory

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

From Allocation Date

Date, Mandatory

Enter the start date for the Allocation.

To Allocation Date

Date, Mandatory

Enter the end date for the Allocation.

User Input

Alphanumeric, Optional

Enter any characteristic or remark relating to the duplicate certificate.

2.12.3 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 a window titled "Re-Print Certificate" with the following fields and controls:

- Fund ID: Text input field with a help icon.
- From Certificate number: Text input field with a help icon.
- To Certificate number: Text input field with a help icon.
- Allocation From Date: Date picker field.
- Allocation To Date: Date picker field.
- Unit Holder ID: Text input field with a help icon.
- User Input: Text input field.
- 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 help icon.
- Buttons: "Ok" and "Cancel" buttons at the bottom right.

2.13 Threshold Balance Report

This section contains the following topics:

- [Section 2.13.1, "Threshold Balance Report Details"](#)

- [Section 2.13.2, "By Amount"](#)
- [Section 2.13.3, "By Units"](#)
- [Section 2.13.4, "Fields in Threshold Balance Report screen"](#)

2.13.1 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.

2.13.2 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.

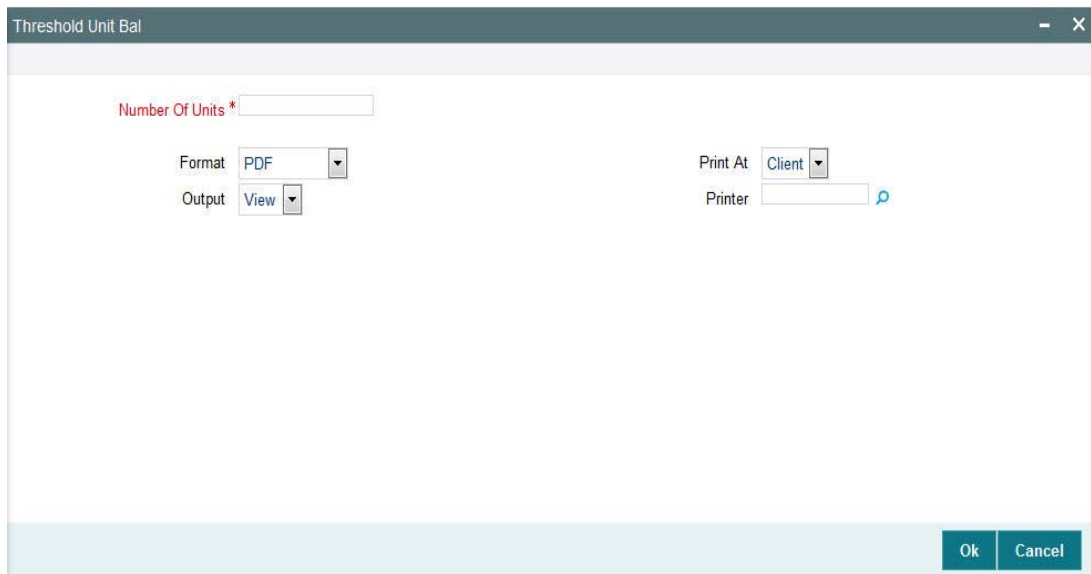
The screenshot shows a dialog box titled "Threshold Balance". It contains the following fields and controls:

- Amount ***: A text input field with a red asterisk and a search icon.
- Currency ***: A text input field with a red asterisk and 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.
- Buttons**: "Ok" and "Cancel" buttons at the bottom right.

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

2.13.3 **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.



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

2.13.4 **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.

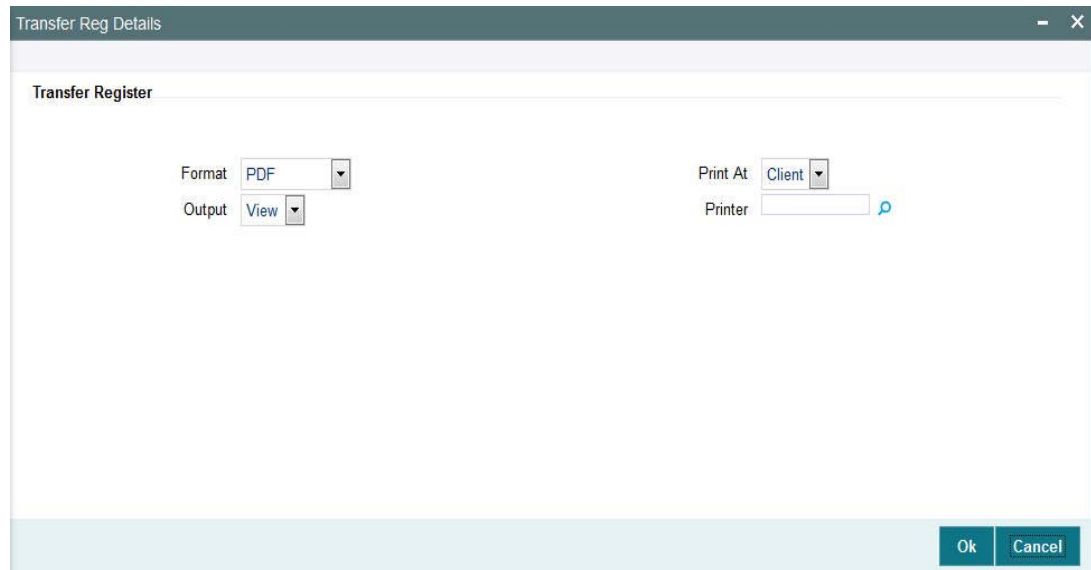
2.14 Transfer Register Report

This section contains the following topics:

- [Section 2.14.1, "Generating Transfer Register Report"](#)
- [Section 2.14.2, "Fields in Transfer Register Report screen"](#)

2.14.1 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.



Click 'Ok' button to generate the report.

2.14.2 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.

2.15 Tax Statements Reports

This section contains the following topics:

- [Section 2.15.1, "Employee Tax IT 3\(a\) Report"](#)
- [Section 2.15.2, "Employee Tax IRP5 Report"](#)
- [Section 2.15.3, "Tax Deduction Directive A&D Report"](#)
- [Section 2.15.4, "Tax Deduction Directive B Report"](#)
- [Section 2.15.5, "Tax Deduction Directive Report"](#)

2.15.1 Employee Tax IT 3(a) Report

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

The Employee Tax 3(a) Report screen allows you to enter search criteria for the generation of an Employee Tax Report. You can invoke the 'Employee Tax Details' screen by typing

'UTR00216' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The screenshot shows a dialog box titled "Employee Tax Details". It contains the following fields and controls:

- Report Id: Text input field
- Fund ID: Text input field with a search icon
- Fund Identification Number: Text input field
- Unit Holder ID: Text input field with a search icon
- From Date: Date picker
- To Date: Date picker
- 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 Cancel

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

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

2.15.1.1 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

2.15.2 Employee Tax IRP5 Report

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

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

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

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

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

2.15.2.1 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

2.15.3 Tax Deduction Directive A&D Report

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

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

The screenshot shows a software window titled "Tax Ded. Directive A". It features a search form with the following elements:

- Report Id:
- Fund ID: (with a search icon)
- Fund Identification Number:
- Unit Holder ID: (with a search icon)
- From Date: (with a calendar icon)
- To Date: (with a calendar icon)
- Format: (dropdown)
- Output: (dropdown)
- Print At: (dropdown)
- Printer: (with a search icon)

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

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

- The type of report to be printed.

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

2.15.3.1 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.

2.15.4 Tax Deduction Directive B Report

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

The Tax Deduction Directive B Report screen allows you to enter search criteria for the generation of a request for tax deduction directive B. You can invoke the 'Tax Ded. Directive

B' screen by typing 'UTR00214' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

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

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

2.15.4.1 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.

2.15.5 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' 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:

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

2.15.5.1 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

2.16 Investment Simulator

This section contains the following topics:

- [Section 2.16.1, "Investment Simulator Reports"](#)
- [Section 2.16.2, "For Non Pension Funds"](#)
- [Section 2.16.3, "For Pension Funds"](#)

2.16.1 Investment Simulator Reports

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

2.16.2 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. The screen is displayed below:

Fund ID *	Fund ISIN *	Investment Amount *	From Date NAV	To Date NAV	Gross Profit
<input checked="" type="checkbox"/>					

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

From Date

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

To Date

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

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

Fund ID

6 Characters Maximum, Alphanumeric; Mandatory

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

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

12 Characters Maximum; Alphanumeric; Mandatory

Select the ISIN Code of the selected fund.

Investment Amount

Numeric, Mandatory

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

From date NAV

Display

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

To date NAV

Display

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

Gross Profit

Display

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

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

Gross Balance

Display

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

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

2.16.3 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. The screen is displayed below:

Description	Declaration without Pension	Declaration with Pension
INSS Paid in the Year		
Deduction Amount		
IR Calculation Basis		
I.R. Allquot		
Instalment to Deduct		
IR Due		

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; Mandatory

Specify the gross annual income of the investor.

Pension fund contribution in the year

Numeric; Mandatory

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

INSS paid in the year

Numeric; Optional

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

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

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

On simulation the following details are displayed.

INSS paid in the year

Display

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

Deduction amount

Display

The deduction amount is displayed here.

IR Calculation Basis

Display

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

I.R. Aliquot

Display

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

Installment to Deduct

Display

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

IR Due

Display

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

2.17 Multi Transaction Error Log Report

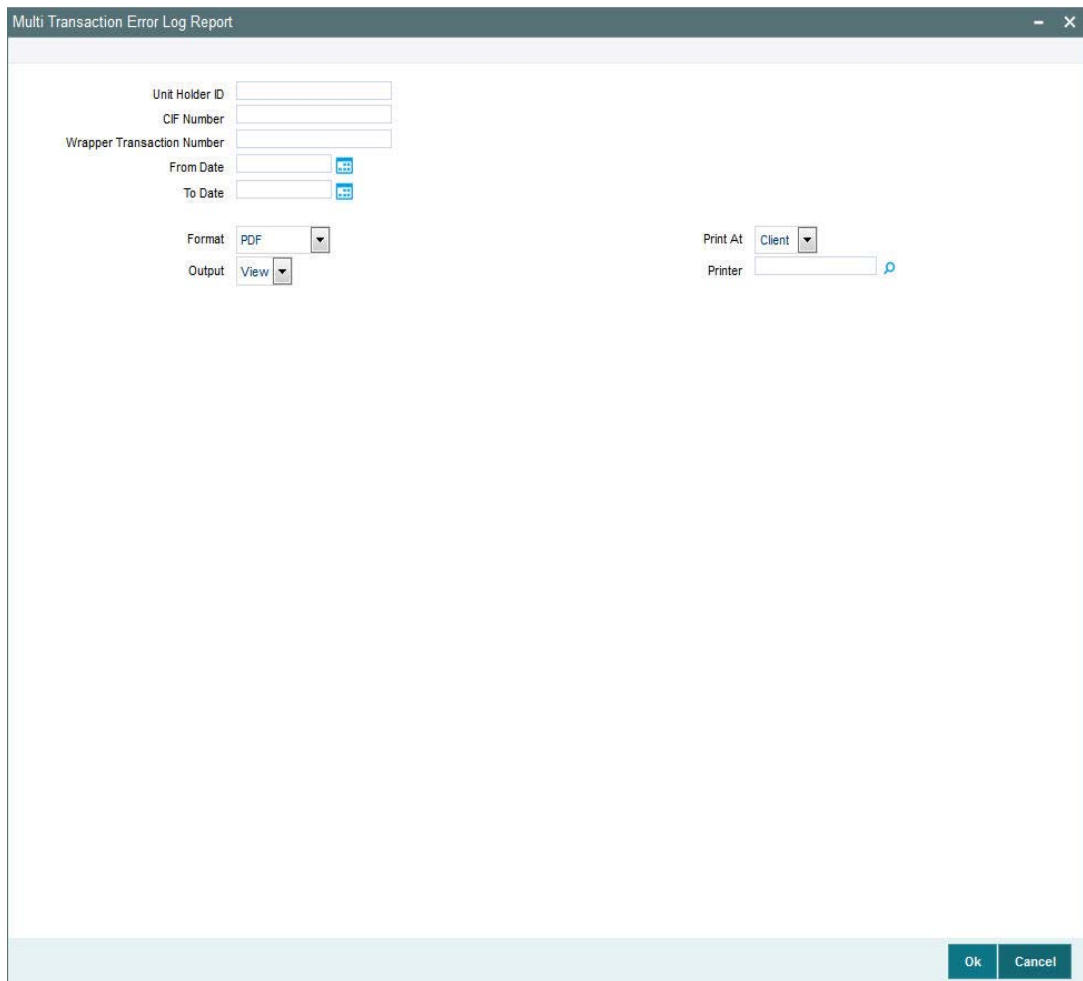
This section contains the following topics:

- [Section 2.17.1, "Generating Multi Transaction Error Log Report"](#)
- [Section 2.17.2, "Contents of the Multi Transaction Error Log Report"](#)

2.17.1 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 screen is displayed below:



The screenshot shows a dialog box titled "Multi Transaction Error Log Report". It contains several input fields and controls:

- Unit Holder ID:
- CIF Number:
- Wrapper Transaction Number:
- 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 printer icon)

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

2.17.2 Contents of the Multi Transaction Error Log Report

You can specify the following details:

Unit Holder

Optional

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

CIF Number

Optional

Specify the customer information number of the unit holder.

Wrapper Transaction Number

Optional

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

From Date

Date; Optional

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

To Date

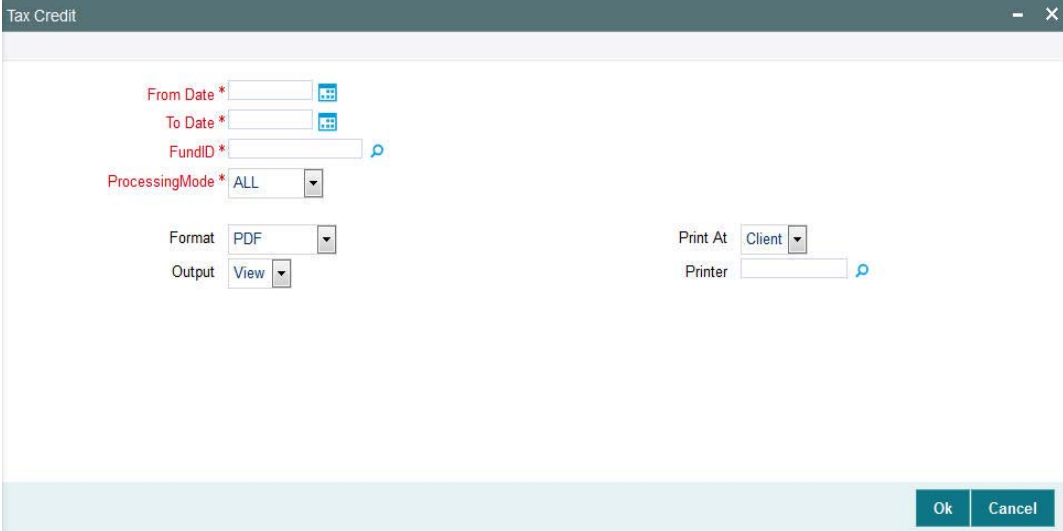
Date; Optional

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

2.18 Tax Credit Report

2.18.1 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 screen is displayed below:



You can specify the following details:

From Date

Date; Optional

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

To Date

Date; Optional

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

Tax Credit Mode

Optional

Specify the tax credit mode from the adjoining drop-down list. Following are the options available:

- All
- Processed
- Reversed

Fund ID

Alphanumeric; 6 Characters; Optional

Specify the fund ID. This adjoining option list displays all valid fund ID maintained in the system. You can choose the appropriate one.

Record Status

Optional

Select the status of the record from the adjoining drop-down list. Following are the options available:

- Both
- Successful
- Unsuccessful

3. Appendix A - Reporting for Capital Gains Tax

This chapter contains the following sections:

- [Section 3.1, "Capital Gains Tax"](#)

3.1 Capital Gains Tax

This section contains the following topics:

- [Section 3.1.1, "Processing Capital Gains Tax"](#)
- [Section 3.1.2, "Maintenance for Capital Gains Tax Computation"](#)
- [Section 3.1.3, "Computation of Capital Gains Tax"](#)
- [Section 3.1.4, "Weighted Average Unit Cost approach for computing Capital Gain / Loss"](#)
- [Section 3.1.5, "Computation of EUSD Average Cost/Capital Gain"](#)
- [Section 3.1.6, "Computation of Capital Gains for Redemption"](#)
- [Section 3.1.7, "Computation of Capital Gains for Transfers"](#)
- [Section 3.1.8, "Reporting in Respect of Capital Gains Calculations"](#)

3.1.1 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.

3.1.2 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.

3.1.3 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.

3.1.4 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 backdated and / or reversal transactions.
B(i)	The unit balance after the allocation of the 'i'th transaction. It is calculated according to the order in which transactions are allotted.
A(i)	The transaction amount in the 'i'th transaction. This would be Amount Applied, or Switch Amount, Transfer Amount, or Redemption Amount, depending upon the transaction type. For the transaction modes 'units' or 'percentage', it is calculated.
W(0)	The WAUC corresponding to the start of capital gains calculations, i.e., the effective date for capital gains calculations. This could default to zero, but there could be an upload of starting WAUC through the Bulk Upload functions.
B(0)	The unit balance at the start of capital gains calculations (the effective date). If the 1 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>
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>

Information head	Remarks
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>
WAUC Adjustment (WAUC Adj)	<p>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.</p>

Information head	Remarks
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.

3.1.5 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:

3.1.6 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.

3.1.7 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.

3.1.8 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	For an "Original Transaction", this is the transaction number of the "Original Transaction" For a "Reversal Transaction", this is the transaction number of the "Reversal Transaction" 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.
Linked Transaction Number (LTN)	For an "Original Transaction", this is null. For a "Reversal Transaction" this is the transaction number of the Reversal Transaction. For an "Adjustment Transaction" this is the transaction number of the "Reversal Transaction" or "Backdated Transaction" that is associated with that specific "Original Transaction".
Old Transaction Number (OTN)	For an "Original Transaction" that has been reversed, this is the transaction number of the "Original Transaction". For a "Reversal Transaction" this is the transaction number of the "Original Transaction" that is being reversed. For all other transaction types, this is null
Unit Holder ID (UH ID)	This is the Unit Holder ID associated with the "Transaction Number", above

Information head	Remarks
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.
Weighted Average Gain or Loss (Gain)	<p>For an Original Transaction, this is the gain or loss for the transaction, calculated according to the rules described in this document.</p> <p>For an Adjustment or Reversal transaction, this would be the Gain or Loss Adjustment associated with that transaction.</p>

Information head	Remarks
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. 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 4.1, "FATCA Status Report"](#)
- [Section 4.2, "FATCA Recalcitrant Report"](#)
- [Section 4.3, "FATCA Chasing Date Report"](#)
- [Section 4.4, "FATCA Document Status Report"](#)
- [Section 4.5, "Authorized Representative Expiry Report"](#)

4.1 FATCA Status Report

This section contains the following topics:

- [Section 4.1.1, "Generating the FATCA Status Report"](#)
- [Section 4.1.2, "Contents of the FATCA Status Report"](#)

4.1.1 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.



4.1.2 Contents of the FATCA Status Report

You can specify the following report parameters:

Entity Type

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

Select the FATCA classification from the adjoining option list.

Description

The system defaults the description.

FATCA Status

Select the status of FATCA from the adjoining drop-down list.

- All
- Pending Classification
- Pending Classification Partial
- Compliant
- Recalcitrant

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

4.2 **FATCA Recalcitrant Report**

This section contains the following topics:

- [Section 4.2.1, "Generating FATCA Recalcitrant Report"](#)
- [Section 4.2.2, "Contents of the Report"](#)

4.2.1 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.



You can specify the following report parameters:

Entity

Specify the entity code for which the report is being generated. The option list displays following options:

- All
- Customer (CIF)
- Unit Holder (UH)
- Broker
- Authorised Representative
- Related Party (Auth Rep, Nominee and Joint Holder)

Select the appropriate one.

Once you have set the parameters, click 'OK' button. The system generates the report in MS Excel format.

4.2.2 Contents of the Report

The report contains the following details:

Header Section

Field	Description
Title	Name of the report

Field	Description
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

4.3 FATCA Chasing Date Report

This section contains the following topics:

- [Section 4.3.1, "Generating FATCA Chasing Date Report"](#)
- [Section 4.3.2, "Contents of the Report"](#)

4.3.1 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.



Report As On

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

Specify the entity code for which the report is being generated. The option list displays following options:

- All
- Customer (CIF)
- Unit Holder (UH)
- Broker
- Authorized Representative
- Related Party (Auth Rep, Nominee and Joint Holder)

Select the appropriate one.

No of Days

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.

Once you have set the parameters, click 'OK' button. The system generates the report in MS Excel format.

4.3.2 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

4.4 **FATCA Document Status Report**

This section contains the following topics:

- [Section 4.4.1, "Generating FATCA Document Status Report"](#)
- [Section 4.4.2, "Contents of the Report"](#)

4.4.1 **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.



You can specify the following report parameters:

Expiry Date

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

Specify the entity for which the report needs to be generated. The option list displays the following options:

- All
- Customer (CIF)
- Unit Holder (UH)
- Broker
- Related Party (Auth Rep, Nominee and Joint Holder)

Once you have set the parameters, click 'OK' button. The system generates the report in MS Excel format.

4.4.2 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	
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.

4.5 Authorized Representative Expiry Report

This section contains the following topics:

- [Section 4.5.1, "Generating the Authorized Representative Expiry Report"](#)
- [Section 4.5.2, "Contents of the Report"](#)

4.5.1 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.



You can specify the following report parameters:

Date

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.

Auth Rep

Select the authorized representative for whom you are generating the report. You can select the appropriate one from the option list.

No of Days

You can include the authorized representatives that are about to expire in a certain number of days. Specify the number of days here.

Once you have set the parameters, click 'OK' button. The system generates the report in MS Excel format.

4.5.2 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. Function ID Glossary

U

UTDFNBAL	2-30	UTR00126	2-62
UTDFNDRL	2-32	UTR00127	1-3, 2-50
UTDFPRIC	2-32	UTR00128	2-57
UTDHINAV	2-72	UTR00129	2-59
UTDJBVIW	2-34	UTR00130	2-60
UTDPENFD	2-74	UTR00131	2-61
UTR00001	2-28	UTR00132	2-63
UTR00033	2-2	UTR00134	2-55
UTR00040	2-20	UTR00137	2-47
UTR00044	2-46	UTR00152	2-26
UTR00046	2-11	UTR00192	2-4
UTR00048	2-10	UTR00193	2-3
UTR00062	2-18	UTR00210	1-5
UTR00063	2-17	UTR00211	1-8, 1-10, 1-13, 1-18
UTR00065	2-19	UTR00212	2-49
UTR00066	2-16	UTR00213	2-68
UTR00067	2-37	UTR00214	2-70
UTR0007	2-36	UTR00215	2-71
UTR00070	2-45	UTR00216	2-66
UTR00073	2-35	UTR00217	2-67
UTR00078	2-35	UTR00218	2-75
UTR00079	2-36	UTR00228	2-39
UTR00083	2-13	UTR300	4-1
UTR00094	2-25	UTR301	4-4
UTR00095	2-44	UTR302	4-5
UTR00103	2-37	UTR303	4-7
UTR00104	2-22	UTR304	4-9
UTR00107	2-8	UTRDG1G2	1-6
UTR00110	2-21	UTRPEVLG	2-5
UTR00115	2-21	UTRPRQRY	1-26
UTR00121	2-64	UTRSCCVN	1-18
UTR00124	2-52	UTRSIIDS	1-20, 1-23
		UTRTAXCR	2-77